

**A FRAMEWORK FOR ARCHIVES AND RECORDS MANAGEMENT
PROGRAMME AT INSTITUTION OF HIGHER LEARNING IN SOUTH AFRICA: A
UNIVERSITY OF VENDA – UNIVERSITY OF WITWATERSRAND COMPARISON**

by

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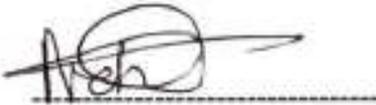
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UNIVERSITY OF SOUTH AFRICA

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DECLARATION

I, Nkholezeni Sidney Netshakhuma, Student Number 36300632 hereby declare that the thesis submitted for the PhD Information Science degree to the University of South Africa, apart from the help recognised, is my own work original work and has not previously been submitted to any university in order to obtain an academic qualification.



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ABSTRACT

Effective Archives and Records Management (ARM) framework is a key enabler towards successful implementation of proper and sound Records Management programmes. Although much research had already been conducted on sound Records Management within Institutions of higher learning, very little attention was paid towards comparing of the record keeping practice between the University of Venda and the University of Witwatersrand. Based on the above context, the study objectives were namely, assessing compliance with the existing statutory/ regulatory framework; examining the ARM best practices; evaluating the ARM maturity level status; and establishing the Enterprise Information Management Business process alignment to ARM process and propose a framework for the management of archives and records. To achieve the above objectives, this study employed qualitative and quantitative methods. The SPSS software was used to analyse quantitative data. Content analysis and literature review were used to analyse qualitative data by comparing data collected from selected divisions, departments and units and review of documents such as the University record management policies. The research is a comparative case study to critically explore ARM both the University of Venda (UNIVEN) and Witwatersrand (WITS). The population for this study was centred on the administrative units of these institutions. Data were collected through a questionnaire, document review and observation. Findings revealed that both universities have not yet developed an effective implementation plan to comply with the sections of the National Archives Act, No. 43 of 1996, Section 14 of the Promotion of Access to Information Act, Protection of Personal Information Act, No. 4 of 2013, The Electronic Communications and Transactions Act, No. 25 of 2002 and Promotion of Administrative Justice Act, No. 3 of 2000. The research established that the maturity status was very low in terms of the value of ARM practices. The study revealed that both universities lack ARM programme integrated into business processes. The study proposed a framework to manage university records.

Keywords: Archives and Records Management processes; Business Processes; University records; Legislation; and Electronic Records Management Systems

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DEDICATION

This dissertation is dedicated to the following people whom I missed when I took time away from them during the years that I was working on this dissertation

- My beautiful wife Thifhelimbilu Reliance Netshakhuma; my children, Mulinda, Murangi, Mulisa, and My late sons, Mukona and Mulanga, I love you. You are always in my heart

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LIST OF ABBREVIATIONS/ACRONYMS

AGSA	– Auditor General of South Africa Archives
ARM	– Archives and Records Management
ARMA	- Association of Records Managers and Administrators.
BCM	– Business Continuity Management
CHE	– Council on Higher Education
CIO	– Chief Information Officer
CRM	– Conceptual Reference Model
DBE	– Department of Basic Education
DHET	– Department of Higher Education and Training
DIRKS	– Australian Design and Implementation of Recordkeeping System
ECTA	– Electronic Communication Technology Act
ERMS	- Electronic Records Management Systems
ESARBICA	– Eastern and Southern Africa Region of the International Council on
GAR	– Generally Accepted Recordkeeping
HAI	– Historically Advantaged Institutions
HAMU	– Historically Afrikaans-Medium universities
HBTs	– Historically Black Technikons
HBU	– Historically Black Institutions
HEMUs	– Historically English-Medium Universities Holdings
HWTs	– Historically White Technikons
ICA	– International Council on Archives
ICOM	– International Council of Museums
IFLA	– International Federation of Library Association
IISDF	– International Standard Description of Function
InterPARES	– International Research on Permanent Authentic Records in Electronic
IRAD	– Illinois Regional Archives Depository System
ISAAR	– International Standard Archival Authority Records – Corporate Bodies,
ISAD	– General International Standard Archival Description
ISDF	– International Standard Description of Function
ISIDIAH	– International Standard Description of Institutions with Archival
ISO	– International Standards Organisation
MAPS	– Model Action Plans
NARA	– National Archives of the United States
NARSSA	– National Archives and Records Management Service of South Africa
NEPAD	– New Partnership for African Development
NP	– National Party
OAIS	– Open Archival Information System
OU	– University of Oregon (UO)
PAIA	– Promotion of Access to Information Act No. of 2000
PAIUG	– Pan African Institute of University governance
PAJA	– Promotion of Administrative Justice Act Persons, and Families
POPIA	– Protection of Personal Information Act
SAA	– Society of America of Archivist
SABS	– South Africa Bureau of Standards
SADC	– Southern Africa Development Communities

SAIHL	– South African Institutions of Higher Learning
SANS	– South African National Standards Systems
TBVC	– Transkei, Bophuthatswana, Venda and Ciskei
UBC	– University of British Columbia
UCT	– University of Cape Town
UK	– United Kingdom
UNIVEN	– University of Venda
UO	– University of Oregon
USA	– United States of America
WITS	– University of Witwatersrand

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CHAPTER ONE

INTRODUCTION TO CHAPTER ONE: PUTTING THINGS INTO PERSPECTIVE

1.1 Introduction

Archives and Records Management (ARM) programme in South Africa is regulated by the National Archives and Records Service of South Africa (NARSSA) Act, No. of 43 of 1996, which recommended for proper management of records from creation stage until the disposal stage. South African universities fall within the auspices of the NARSSA act but have received exemptions. However, they can still use best practices. However, the lack of ARM framework at South African universities poses a risk with compliance and operational effectiveness. The study conducted by Van der Merwe and Zenia (2016:212) indicated that “universities functions as knowledge organisation can create a paradigm shift with the creation and sharing of knowledge to support its sustainability and advancement”. Therefore, the study aims to compare records-keeping practices between the University of Venda and the University of Witwatersrand.

1.2 Background to the Study

The study conducted by Badat (2010a:37) indicated that:

The South African Education system is divided into two components, i.e., the Department of Basic Education (DBE), which is responsible for primary and secondary education, and the Department of Higher Education and Training (DHET), which is responsible for tertiary education and vocational training.

Before 1994, eight national education departments followed different syllabus and offered different standards of teaching and learning. When the National Party came into power in 1948, it introduced the apartheid legislation that introduced 36 tertiary education institutions. Such legislation includes the Bantu Education Act, No. 47 of 1953 and Extension of University Education Act, No. 45 of 1959. In compliance with the 1985 *Constitution of the Republic of South Africa*, pre-1994 higher education was segregated along racial lines following the classification of four racial groups, namely, Whites, Indians, Coloureds and Blacks (Bunting 2006:35).

1.2.1 South African universities under the apartheid era

Historically, the higher education system under the apartheid era was characterised by a lack of a framework to guide the implementation of Records Management programmes (Wangenge-Ouma 2010:482). The study conducted by Koopman and De Jager (2016:47) indicated that “during the apartheid period, there was no evidence of any overarching process to collect, analyse and disseminate information”. South Africa entered the democratic era in 1994 with an inefficient ARM programme that characterises the higher education system (Habib 2016:36). The study conducted by Van Wyk and Du Toit (2016:109) indicated that it was necessary to assess the causes of poor ARM programme at South African universities. The most affected universities were historically disadvantaged universities (Habib, 2016:37). “Lack of proper Archives and Records Management framework was identified as a compliance risk to an efficient institution of higher learning in South Africa,” according to Sulej (2009:169).

South African Institutions of Higher Learning (SAIHL) was divided along the lines of historically advantaged and disadvantaged institutions (Chandru 2005:242). This differentiation of SAIHL was designed to meet the political, social and economic needs of the apartheid system in South Africa. As a result of the geopolitical differentiation of SAIHL during the pre-democratic higher education dispensation, they were grouped according to racial groups (Baloyi 2015:35).

Universities were clustered in the following classifications: Historically White Medium Universities, Historically Black Universities, and the Historically Afrikaans-Medium Universities (HAMU). HAMU were known for their symbiotic intellectual linkage with Afrikaner nationalism. These universities were also previously disadvantages formed to promote the Afrikaner minority group during the apartheid period in South Africa (Du Toit 2009:636). These universities play a role to promote Afrikaner nationalism. Afrikaner nationalism is an ideology that promotes the Afrikaans language. The Afrikaans universities had stood within the operative context of Afrikaner nationalism networking in a complex way into its various correlative institutions (Baloyi 2015:44). These universities included former Rand Afrikaans University (now is referred to as the University of Johannesburg), the University of Stellenbosch, the Orange Free State University and the University of Port Elizabeth known as the Nelson Mandela

University. HAMU was the most passionately to promote the Afrikaans language as opposed to education transformation to include other languages (Baloyi 2015:38).

The Historically English-Medium Universities (HEMU) included institutions such as the University of Witwatersrand (WITS), the University of Cape Town (UCT), the University of Natal (University of KwaZulu–Natal) and Rhodes University. They were also known as Historically Advantaged Institutions (HAIs) because they were previously advantaged universities established to provide for the White minority groups during the apartheid period (Seabi, Seedat, Shangase and Sullivan 2014:67; Bunting 2006:42; Subotzky 1999:516; and Baloyi 2015 38). The form of those whose medium of communication, cultural expression, and instruction was English-medium universities distanced themselves from political commitment and pursued a policy of maintaining academic liaison with international institutions and organisations (Bunting 2002:73). According to Baloyi (2015:44), “HEMU regarded themselves as being part of an international community of scholars that was dedicated to the advancement and propagation of all human knowledge”.

Not all the legislation such as the Bantu Education Act, No. 47 of 1953 and the Extension of University Education Act, No. 45 of 1959 enacted by the apartheid South Africa government were supported by the HEMU universities. These legislations made a provision for the separation of students based on their races. HEMU believed that their commitment to the universal values of academic freedom made it impossible for them to act as servants of the apartheid state (Baloyi 2015:44). These universities played a role in creating the largely White middle class that supported the apartheid system (Reddy 2004:43).

Historically Black Institutions (HBIs) were the most disadvantaged universities in South Africa in terms of the implementation of ARM programme. These institutions were caught in infrastructure underdevelopment (Habib 2016:42). The characteristics of these universities were as follows:

- Lack of ARM infrastructure;
- Lack of Archives and Records Management strategy;

- No dedicated division responsible for the ARM programme; and
- There were no purpose-built building and infrastructure to preserve University's records.

Some of the challenges experienced by HBUs universities were that their teaching, learning and community engagement were not based on the analysed records, which affected by cultural, political and economic realities that impact upon the use of records (Stefani and Blessinger 2018:181). According to Boykin, Hilton and Palmer (2018:124), despite the challenges experienced by the HBUs, their use was uniquely suited to assist Black students to succeed in society. The educational system was purposefully designed for the previously disadvantages communities in South Africa. Historically, Africans were denied access to the previously White universities because of the apartheid segregation policies.

The ethnic differentiation of HBUs has been distributed among the following institutions: the University of the North; the University of Western Cape; the University of Zululand, the University of the North-West and Vista University, the University of Durban-Westville and the University of the Western Cape. The two special-purpose universities were added. These included the Medical University of South Africa (Medunsa) and the University of South Africa (UNISA). HBUs are previously disadvantaged universities designed by the apartheid system as an instrument of racial ideology and state policy established (Du Toit 2009:639). Boykin, Hilton and Pamer (2018:124) and Bunting (2006:45). The study conducted by Reddy (2004:43) indicates that these universities played a role in stimulating an internal resistance movement to fight against apartheid educational policies. Internal resistance movement referred to political movements that fought against the separation of race in the South African universities.

Some of the Historically Black Universities were established in the former homeland states such as the Transkei, Bophuthatswana, Venda and Ciskei (TBVC) (Bunting 2006:47). The apartheid government originally designed these universities to serve the various ethnic groups in South Africa through the enactment of the Extension of

University Education Act, No. 45 of 1959 (Du Toit 2009:64; Ivy, 2001:280; Vuyisile 2007:3; and Subotzky 1999:516). These universities included the University of Fort Hare, the Former University of Bophuthatswana (now known as the North-West University) and the University of Venda. The study conducted by Baloyi (2015:145) indicated that homeland universities' ARM programmes were not at a high maturity level because of the lack of ARM processes. It appears that the ARM programme was not prioritised as the strategic initiative of the institution. They were as explicitly authoritarian and instrumental as the Historically Black Universities in the Republic of South Africa. These universities became sites of struggle against apartheid educational policies (Bunting 2006:47).

It seems that the leadership of these universities were not aware of the importance of aligning university Enterprise Information Management Business Process to ARM processes. HBUs were against the racial allocation of resources based on a racial line. Executive management fought against the imposition of the higher education policies imposed by the apartheid government (Baloyi 2015:46).

The former Historically White Technikons (HWTs) were SAIHL such as the Cape Technikon; the Free State Technikon; the Natal Technikon; the Port Elizabeth Technikon; the Pretoria Technikon; the Vaal Triangle Technikon; and the Technikon Witwatersrand. These were previously advantaged SAIHL established to accommodate White and Afrikaans-speaking students (Bunting 2006:4). These technikons were supported by the apartheid government in the form of financial assistance to run their ARM programme (Bunting 2006:78). According to Baloyi (2015:50), "some institutions tended to be conservative institutions which, like the Afrikaans-medium universities, aligned themselves with the NP government higher education policies".

The former Historically Black Technikons (HBTs) such as the Peninsula Technikon, the Mangosuthu Technikon and the Technikon of Northern Gauteng were established. In the TBVC 'States', three technikons were established; namely, the Northwest Technikon, the Eastern Cape Technikon, and the Border Technikon (Cooper and Subotzky 2001:9-10). HBTs are previously disadvantaged technikons established to

serve only Coloured and Black students by offering an occupational teaching programme to young Black South Africa in South Africa (Bunting 2006:48). A study conducted by Reddy (2004:26) indicated that “the conditions at these black universities were politicisation of black students”. As a result of the above categorisation of institutions of higher learning, South Africa entered its democratic era in 1994 with a low maturity level of ARM Programme (Habib 2016:36). So, the higher education reform entailed a transformation of the SAIHL that had administered the apartheid system, intending to create a central ministry of education and nine provincial education departments (Lee 2007:90).

The apartheid government evaluation processes of corporate governance at higher education institutions did not use the ARM programme. Post-1994 has indications of a lack of processes to collect, analyse and dispose of records. Factors that have contributed to the low maturity level of ARM programme include inadequate governance structures, lack of ARM policy, lack of registry procedure manual, systematic disposal of records, which would contribute to other records preserved in archives repository and other semi-active records preserved in the Records Centre at some universities (Human Rights Commission 2010:3). The exclusion of the ARM programme implies poor administration and little access to information, both of which lead to a lack of knowledge and understanding by university communities.

1.2.2 South African universities post-apartheid era

The transformation of SAIHL exposed categorisation of the institution from Blacks, Whites, and Coloured institutions as the factors towards the integration of information management business process into Archives and Records Management processes (Ranson 2018:49). During the transformation of SAIHL, integration of information management business processes into ARM processes were not recognised as the key strategic initiative to drive the transformation. Hence, the transformation required the University to integrate business and ARM processes. The transformation was justified through the introduction of the Higher Education Act, No. 101 of 1997.

SAIHL are managed in terms of the Higher Education Act, No.101 of 1997. Section 41 of the Act makes provision for the Records Management as a building block for the

preservation of institutional memories. This implied that universities are to develop ARM programmes to ensure that records are collected, analysed and disseminated to various stakeholders.

Besides of lack of compliance with the Higher Education Act, No.101 of 1997 from an ARM perspective, universities lack a framework to support and manage their records. There is no provision in the Act for standards to improve compliance with all universities' records. The act only emphasised to keeping council records. Furthermore, lack of compliance was caused by lack of processes to manage the life-cycle of records.

The study conducted by Katuu (2015:03) indicated that “lack of archives and records management training in South Africa is made worse by the limited number of universities offering courses in archives and records management”. There are few South African universities offering the programme in ARM. The SAIHL offering from in ARM qualifications includes the University of South Africa (UNISA) (Bachelor Degree specialising in Records and archive to Ph.D. Information Science), the University of Fort Hare (Postgraduate Diploma in Archives and Records Management, Masters in Archives and Records Management) and the University of the Witwatersrand (Archives: Theory and Practices at Master’s level) (Research Focus 2010). The Technical and Vocational Education and Training also offers Higher Certificate in Archives and Records Management. Because of a few universities offering a course in the ARM, few pupils enrolled in these courses. Analysis of the ARM programme offered by these universities showed that their programme did not address aspects of Electronic Records Management. This implied that even if students graduate with the ARM programme there would be a limited impact in the workplace to implement the ARM programme. A study conducted by Freda (2014:33) asserts that “a lack of ARM programme offered by universities would limit capacity building”.

SAIHL are struggling to implement ARM programmes that enable them to comply with NARSSA Act, Promotion of Access to Information Act, No.2 of 2002 (PAIA), and Protection of Personal Information Act, No. 4 2013 (POPIA), Electronic

Communications and Transactions Act, No. 25 of 2002. Given universities' roles as knowledge institutions, proper ARM at universities is essential to ensure compliance, good governance and accountability. Chinyemba and Ngulube (2005:5) argue that the enactment of the NARSSA Act, PAIA and POPIA contributed to some of the institutions of higher learning aligning their corporate strategy to comply with these legislations, which positively culminated towards the acknowledgment of the importance of ARM at South African universities. For statutory obligations and business effectiveness, universities are legally obliged to create, analyse and disseminate information to university communities such as students (Ngoepe 2008:48). However, there is no provision for such in the NARSSA Act, specifically concerning the management of university records and archives. This may have contributed to the low maturity level of Archives and Records Management at South African universities. The resultant gaps create a risk of disposal of records, appraisal of records and classification of records.

The study conducted by Le Roux (2013:21) indicated that “ARM was not part of corporate strategy at most South African universities”. The ARM processes are not integrated into the university business process (Lynne and Cesa 2016:306). The maturity of the ARM programme is dependent on the university Enterprise Information Management Business Process integration to ARM processes.

The study conducted by Van Wyk and Du Toit (2016:113) indicated that, to support business functions, universities established an ARM governance framework. Such a framework supported universities to improve the ARM process by ensuring that records are managed from creation until the disposal stage of records. However, a survey conducted at some of the South African universities showed gaps in terms of the establishment of the ARM programme. ARM programmes were not part of a university Enterprise Information Management Business Process in other European countries (Saffady 2016:49).

In 2015, the University of Stellenbosch commissioned a team to assess the state of ARM. A study found that the University did not yet develop a Records Management policy; File Plan; lack of integration of university Enterprise Information Management

Business Process with Archives and Records Management processes; no existence of Electronic Records Management System, lack of purpose-built archives to store inactive archives records; and Records Managers are not appointed at a strategic level to command ARM programme (Breed, 2016:5). Based on the research findings the following were recommended:

- ❖ Establishment of the ARM programme;
- ❖ Development of ARM strategy and Policy;
- ❖ Appointment of Records Manager or archivists at a higher level; and
- ❖ Develop and implement systematic disposal of records.

The study conducted by Kyobe, Molai and Salie (2009:15) found that some of South African universities lack systems and processes to preserve records. Mathew (2015:31) indicated that lack of system and process contributed to non-compliance with legislation governing Records Management programme. Nevertheless, even if this was the case, alignment between ARM and business processes has not been addressed by any preceding study.

Indeed, Van Wyk and Du Toit (2016:09) maintain that there was a lack of alignment between ARM and business processes in most SAIHL leading to the lack of control throughout the records life-cycle. For an ARM programme to improve corporate governance, it must be aligned to an organisation's strategy and policies (Ngoepe 2012:50).

A case study conducted by Kyobe, Molai and Salie (2009:09) assessing the state of Records Management at the University of Cape Town found a lack of ARM processes, procedures and systems. There is a need to compare the records keeping practices of other South African universities (Van Wyk and Duu Toit 2016:114).

The Constitution of the Republic of South Africa came into effect in 1996. Section 195 of the 1996 Constitution of the Republic of South Africa requires a citizen to access accurate, relevant information on a timely basis. Furthermore, Section 195 states that public administration must be accountable and transparent (Stefani and Blessinger

2018: 188). The ARM programme forms the basis to access complete, accurate records.

The SAIHL was guided by the higher education national plan (Harber 2015:171). The national plan led to the merging of SAIHL and the incorporation of sections of institutions (Wessels and Van Jaarveldt 2007:114). The national plan provided the strategic framework for re-engineering the higher education system to include the management of archives and records. Furthermore, “the plan confronted the issue of ARM programme development as it was not included as the strategy to control records,” according to Habib (2016:38).

The technikons were merged with traditional universities to form comprehensive universities such as the former Rands Afrikaanse Universiteit (RAU), Technikon Witwatersrand and East Randse Campus of Vista University were merged to constitute the University of Johannesburg (UJ).

Due to lack of institution of higher learning in Mpumalanga and Northern Cape province, two new universities have since been established, namely, the University of Mpumalanga, based in Mbombela city; and the Sol Plaatjie University, based in Kimberley, both of which have been categorised as comprehensive universities, thus bringing the number of national universities’ total to twenty-six (Netshakhuma 2019e:29). All of this development presented challenges regarding ARM management as part of the management process, as noted by Ngoepe (2014:13). During the educational transition phase, there was evidence that records were not systematically collected, managed, or utilised to inform decision making (Jansen 2013:11). This was acknowledged by Chandru (2005:248), who indicated that histories on the merging universities were not documented, which led to the loss of institutional memories.

The education transformation reflected the universities as a corporate enterprise designed to respond to multiple demands that transform the institutions into a well – developed system (Sibongiseni 2016:277). Universities, as corporate entities, were required to provide research, teaching and learning, of which ARM played an essential

role. A properly structured education sector would be critical to embedded ARM to ensure governance, accountability and transparent (Baloyi, 2015:8).

The transformed higher education system that required to be established had to address research, teaching and learning, engagement and partnerships connected with the phenomenon of the ARM framework with a focus on the central role of the ARM in driving socio-economic development. The study conducted by Baloyi (2015:146) indicated that “the post-1994 government was under pressure to establish universities that would ultimately be able to function and move to standards and sustainable levels of performance”. It was within this context that universities in South Africa need to rethink their approach to develop the implementation plan to comply with legislation and standards governing the ARM programme (Van der Merwe and Zenia, 2016:211).

1.2.3 Archives and Records Management in South Africa

This section presented the National Archives and Records Service of South Africa Act, No. 43 of 1996 and other legislation governing Records Management in South Africa to provide contextual data for this study. The foundation upon which the NARSSA is based is statutory. “NARSSA act is a statutory entity established in terms of the NARSSA act, No. 43 of 1996” according to *Research Focus* (2010:25). It provides NARSSA with the authority to regulate public Archives and Records Management (Yuba, 2013:5). Section 13 of the NARSSA Act 43 of 1996 states that there is a statutory obligation for governmental bodies to ensure proper management and care of public records generated during their business transactions (Dingayo, 2016). However, universities are not regulated by the NARSSA Act. A study conducted by Research Focus (2010:28) stated that South Africa Universities are exempted to comply with the NARSSA Act. Nevertheless, it was in their best interest to align their ARM programmes with the NARSSA Act and its regulations.

According to Sebina (2009:158), the enactment of the NARSSA Act and Promotion of Access to Information Act, No. 2 of 2000 (PAIA) “exposed non-compliance to South Africa institution of higher learning with the legislation governing ARM programme in South Africa”. Research focus (2010:162) further states that South African universities

were not complying with the requirements of PAIA due to inadequate ARM infrastructure such as lack of purpose-built archives and absence of ARM policies. This was mainly because PAIA was implemented by South Africa while ARM programmes were non-existent at most universities that hindered direct access to the information held by these institutions (Sebina, 2009:159). Access to information depends on a well-established ARM programme (Rafoneke and Mnjama 2019).

The NARSSA Act provides limited guidelines on the management of a university's ARM Programme. The absence of South Africa national guidelines, standards, or procedures to govern the universities' ARM poses risk for South African universities to manage their records and archives. Ngoepe (2012:207) suggests that "any study on the role of national archives in the public sector should include universities". Universities in South Africa face a risk of lack of ARM policy, accessing archives and records, implementation of systematic disposal of records and archives infrastructure (Wagner and Smith 2012:538).

The NARSSA Act provides for the legal framework according to which Records Management practice was required to be conducted in South Africa (Ngoepe 2012:74). The NARSSA Act, PAIA—and POPIA form the basis for universities to establish ARM programmes that are supposed to be linked to universities strategies. The study conducted by Procter (2002:53) alluded that "legislation contributes for ARM to be recognised as an important function of the institution".

According to Ngoepe (2008:12):

The lack of executive management support from an organisation, awareness and Records Management, and a shortage of skills and training were some of the risks negatively affecting the implementation of ARM programmes at South African universities.

1.2.4 Functions of Universities in South Africa

Universities are seen as knowledge institutions providing teaching, engagement, learning and research and administration. For universities to perform their mandate, they require the creation, analysis and dissemination of information. This statement alluded to Basil (2005:347) who indicated that "the records support the administrative

and education research of the university". Similarly, the South Australia Department of Higher Education and Training argues that records support administration, teaching, learning and engagement (Government of South Australia 2012:15; and Bowker and Villamizar 2016:61).

Research conducted at universities is to be supported by proper Records Management as the key to disseminating information. Universities create, analyse and disseminate information related to teaching, learning research and engagement (Netshakhuma 2019d). This means that the Records Management programme is the fundamental aspect of the management of research (Abdulrahman 2015:48). The study conducted by Brendan (2013:793) alluded that both internal and external funded research projects are to be stored and preserved in the archives repository. Research output needed to be preserved to be accessible by policymakers (Mathews 2015:3). Researchers rely on records for their researches towards contributing to the knowledge body (Ifedili and Agbaire 2011:57).

Research project processes require the keeping of records (Paterson 2005:115). This study supports the argument that Records Management was a key enabler of teaching, learning, and engagement as the preservation of archives is essential to disseminate information. Irrespective of organisation, the effectiveness and efficiency of the ARM programme depends on a statutory framework and ARM policy (Maseh and Mutula 2015:22). A strategic approach to Records Management was, therefore, an essential step in facilitating a proper ARM programme (Mat-Isa 2005:63). Furthermore, Records Management is important for good governance, transparent, accountability, protection of citizens' rights and entitlements, the rule of law, management of state resources, and international obligations (International Records Management Trust 1999:1). Universities belong to society and therefore have to be both transparent and accountable (Habib 2016:45).

The quality of the services that universities deliver to various stakeholders depends on sound Archives and Records Management integrated into the business process. Universities have responsibilities beyond the academic communities to engage in research (Stefani and Blessinger 2018:12). It is the responsibility of universities to

collect and preserve records of communities as a form of engagement and partnerships. The ARM framework should be developed to incorporate university communities' archives as part of the university collection (Nwaomah 2015:39, Sulej 2009:169; and Abdulrahman 2015:49).

The process of improving education in South Africa requires the existence of sound and effective ARM programme to support university functions. Good Records Management is essential for any university to function effectively (Mulauzi, Hamooya, and Munsanjie 2015:36). Improvement in the management of records at HEIs becomes essential once one realises that some records were generated in an educational setting whether it be through teaching, research, or engagement. There was a lack of Records Management policies and procedures to govern a Records Management programme at universities in North Central Nigeria (Abdulrahman 2015:49). Based on the above context, it was argued in this study that it would be of benefit to outline an ARM framework for HEIs as the lack of ARM framework thereof was instrumental in perpetuating poor administration and research.

South African universities established Records Management Forum at the University of Johannesburg in 2017 intending to comply with NARSSA regulations. (Netshakhuma 2019a). A Case study conducted by Abdulrahman (2015:50) at the Universities in North Central Nigeria supported the establishment of a forum as a platform to share ARM best practices. The forum is to play a role to improve compliance with applicable legislation governing the ARM programme (Yusuf 2015:89).

1.3 Contextual Settings

This section introduces basic information on the University of Witwatersrand and the University of Venda, where the study was conducted.

1.3.1 University of Witwatersrand

This is a formerly previously advantageous university in South Africa. The university was initially called Transvaal University College until it assumed a university status in 1922. The university has over 30 000 students, over 4000 academic staff, and 37

departments. Its archives and records centre consist of student records, papers relating to College administration, as well as the papers of former staff and students. It also holds private collections, including the Nelson Mandela collection (Phiri and Tough 2018).

The Extension of University Education Act, No 45 of 1959 led the university to admit only a few Black students. The Higher Education Act No. 101 of 2007 regulates higher education, governance, provide quality assurance, and quality promotion in higher education. This legislature provides a sound framework for the governance and management of universities (De La Rey, 2015:4). The admission of the university is open to all students irrespective of colour.

The university originated in the South African School of Mines in Kimberley in 1896 and was transferred to Johannesburg known as the Transvaal Technical Institute (Osman and Hornsby 2016:1840). It was then renamed the South African School of Mines and Technology. In 1920, the name was changed to the Transvaal University College, Johannesburg. The status of the university was granted in 1922, this was after the incorporation of the College at the University of the Witwatersrand.

The first Chancellor of the university was Prince Arthur of Connaught, Governor-General of the Union of South Africa. Professor Jan H. Hofmeyr was appointed as the first Vice-Chancellor of the University. The university is situated in the area known as Milner Park, Johannesburg. In 1923, the University started with six faculties, namely, the Faculty of Arts, the Faculty of Science, the Faculty of Medicine, the Faculty of Engineering, the Faculty of Law, and the Faculty of Commerce (Phiri and Tough 2018:49). The University consisted of 37 departments. The Graduate School of Business was established in Parktown in 1968.

The university sits at a student body of 30 000 and an academic and support staff of approximately 4000. WITS has a history as a research-driven institution with institutional resources placed in fostering academic staff to publish (Osman and Hornsby 2016:1840).

1.3.2 University of Venda

This is a formerly previously disadvantaged university established in 1982 through the enactment of the University of Venda Act (Act 19 of 1981) (Molapo 2012: 4) to educate only Black students from the former Venda homeland state as a result of the Extension of University Education Act, No 45 of 1959. The mission of UNIVEN is to provide a comprehensive information service to students, staff and community outside the university. UNIVEN was established in 1982 as a branch of the then University of the North (known as the University of Limpopo). Its status as the branch of the University of the North changed when the former Venda homeland government passed the University of Venda Act, No. 19 of 1981.

The Extension of University Education Act, No. 45 of 1959 enacted to strengthen the development of the University of Venda (Molapo 2012:4). The Act made a provision for non-White people to attend such universities. The University was established to serve the mainly Black disadvantaged community in South Africa. The apartheid government could not support the University in terms of infrastructure (Molapo 2012:8). Lack of infrastructure also contributed to inadequate management of ARM, deteriorating infrastructure (Bunting 2006). UNIVEN transformed into a national institution that provides tertiary education for rural and regional development in southern Africa in 1994. Professor Gesler Nkondo was appointed as the vice-chancellor and principal. After the appointment of the Vice-Chancellor, the initiative was done to streamline effective information management per the Higher Education Act No. 101 of 1997.

In 2002, the Department of Education in South Africa mandated the university to transform into a comprehensive university. After the transformation, UNIVEN is categorised as South Africa's comprehensive rural-based university and is located in the Thulamela Municipality (Tlakula and Fombad 2017:863). Now, the university student population is 11 000 and an academic and support staff of approximately 1000. The university generates a lot of student records that capture data of students, and when not managed effectively and efficiently, that can pose a challenge to institutions.

1.4 Problem Statement

As stipulated by the NARSSA act, proper care and management of records are instrumental in good governance and accountability concerning the business of any institution (Gilder 2017). The lack of an effective ARM framework at South African universities has already been established in selected universities such as the University of KwaZulu-Natal (Chinyemba and Ngulube 2005). Based on the above statement, the study seeks to compare records-keeping practices between the University of Venda and the University of Witwatersrand with the view of recommending best practices.

Although much research has been conducted on Records Management at South African universities, little attention has been paid to compare the records-keeping practices between the University of Venda and the University of Witwatersrand. Chinyemba and Ngulube (2005) conducted a study on the status of Records Management at the University of KwaZulu-Natal, while Coetzer (2012:2) has researched the status of Records Management at the University of Zululand. Such studies were limited in scope as they have focussed on a single institution and they exclusively dealt with Records Management and ignored the archives management component. Furthermore, as they were specific case studies of particular institutions, one cannot generalise based on their findings. Another related research was made by Matthew (2015:22) and Brendan (2013:804) who “has explored the place of records management in an organisation’s strategic planning to provide an alternative framework for managing university archives and records”. However, this research did not cover South African universities’ ARM programme in depth. The current study attempted to fill the gap left by these studies by undertaking an in-depth study.

Despite studies conducted on South African universities’ handling of archives and records, an audit conducted by the Council on Higher Education (CHE) in 2011 found a lack of integration of university Enterprise Information Management Business Process to ARM processes, Records Management policy, systematic disposal of records, records and archives infrastructure (Council on Higher Education 2011:17). A study conducted by Stefani and Blessinger (2018:188) shows that further audit needs to be conducted by SAIHL to identify gaps in the university structure to improve

governance and accountability. Based on the audit outcome, CHE recommended that SAIHL develop an ARM programme aligned with university business processes, university strategy; develop ARM policy; and develop and build a purpose-built archive to store inactive records. The CHE is of the view that the establishment of a university ARM programme would enhance the planning and decision making of the SAIHL. Despite the audit conducted by the CHE, it seems that SAIHL continued not to prioritise ARM as part of their strategy. In 2014, the Department of Higher Education and Training commissioned the CHE to assess the state of ARM in universities. The assessment was limited to the level of universities compliance with legislation governing the ARM programme. The results found that universities had not yet developed implementation plans on the legislations such as the NARSSA Act, POPIA, etc. It appeared that there was a lack of executive commitment, may be interest, from universities to implement the legislation. A study conducted by Kaczmarek (2006:32) argues that the “ARM programme continues to lack strong or consistent support at universities”.

Furthermore, a survey conducted by Cloete (2007:276) on South African universities revealed that lack of integration of university Enterprise Information Management Business Processes to Archives and Records Management processes governance contributed to the loss of institutional memories. Universities communities complained about the loss of institutional memories and lack of systematic disposal of records by universities. It appeared that most of the decision taken by the university management was not based on records.

History is embedded in the records created by an institution. This statement is alluded to by Sinclair and Salter (2014:14) who indicate that “university history was lost due to a lack of an ARM strategy to guide on the preservation of institutional memory”. Similarly, Schina and Wells (2002:48), along with Leveille and Timms (2015:169), emphasised the importance of developing an ARM programme. The ARM programme must be designed to be linked to the University Enterprise Information Management Business Process. However, none of these scholars attempted to develop a framework and processes as to how the university ARM programme is integrated into the Enterprise Information Management Business Process. Given the above context,

this study attempted to address the risks of a poor ARM by comparing the records-keeping practices between the University of Venda and the University of Witwatersrand with the view of recommending best practices.

1.5 The Purpose of the Study

The study aimed to compare the records-keeping practices between the University of Venda and the University of Witwatersrand with the view of recommending best practices.

1.6 Objectives

Based on the above purpose, the study aims to address the following objectives:

- i. To determine the current status of Records Management of the two selected Universities;
- ii. To assess the level of compliance to statutory requirements of Records Management by the selected universities;
- iii. To evaluate the ARM maturity level in the selected universities;
- iv. To establish the Enterprise Information Management Business Process alignment to ARM process in the two selected universities; and
- v. To propose an integrated ARM framework in the two selected Universities.

1.7 Research Questions

In addressing the above objectives, the study is focused on answering the following questions:

- i. How is the current state of Records Management in the two selected Universities?
- ii. To what extent do two selected universities comply with the relevant ARM statutory obligations?
- iii. What was the ARM maturity level throughout the records life-cycle?
- iv. How does an integrated ARM framework contribute to the university functions?
- v. How to develop a suitable integrated ARM framework for implementation within a university?

Table 1 - 1: Objectives, Research Questions and Data Collection Tools

Objectives	Research Question	Research Method	Data Collection tools
1. To determine the current state of Records Management of the two selected Universities.	Do the universities comply with the relevant ARM statutory obligation?	Qualitative and quantitative	A questionnaire, Document review, and Literature review
2. To assess the level of compliance to statutory requirements of Records Management by the selected universities	To what extent does two selected universities comply with the relevant ARM statutory obligations?	Qualitative and quantitative	Questionnaire, Document review, questionnaires and Literature review
3. To evaluate the ARM maturity level in the selected universities	What was the ARM maturity level throughout the records life-cycle?	Qualitative and quantitative	Questionnaire, Document review, questionnaires and Literature review
4. To establish the Enterprise Information Management Business Process alignment to Archives and Records Management process throughout the Records Life Cycle.	How does an integrated ARM framework contribute to the university functions?	Qualitative and quantitative	Questionnaire, Document analysis, questionnaires and Literature review
5 To propose a framework for the management of archives and records throughout UNIVEN and WITS	How to develop a suitable integrated ARM framework for implementation within a university?	Qualitative, and supplemented with quantitative data	Questionnaire, Document review, questionnaires and Literature review

1.8 Significance of the Study

ARM function is a statutory requirement in South Africa because all governmental bodies are required to comply with the NARSSA act (Gilder, 2017). Hence, South African Universities are still lagging in managing and implementation Records Management. Apart from examining the existence of Records Management programmes at particular universities, very little research on the ARM programme at HEIs in South Africa has been conducted to date. This study is of importance in assisting SAIHL to develop and implement an integrated ARM programme. Furthermore, the study aims to compare records-keeping practices between the University of Venda and the University of Witwatersrand, with the view of recommending best practices such as the development of a framework. Such a

framework establishes the Enterprise Information Management Business Process alignment to Archives and Records Management process throughout the Records Life Cycle.

Furthermore, the framework ensures the ARM is adopted best and compliant with the existing statutory framework. Lessons learned from the findings of this study could also be useful to other universities particularly in Africa.

Apart from South African universities, it was anticipated that this study will also contribute towards strengthening Archives and Records Management practice in South Africa in general. The universities currently face risk in addressing the needs of various institutions about sound ARM programme. This study proposes an integrated framework for the management of archives and records in universities, with specific reference to UNIVEN and WITS. This is a significant contribution to the body of literature on the university ARM programme.

1.9 Theoretical Framework

The theoretical framework is the introduction from which all knowledge is constructed for a research study (Grant and Osanloo 2016). The theoretical framework underpinning this study the records life-cycle and Association of Records Managers and Administrators (ARMA) International' information Governance Maturity Model The records Life-cycle and ARMA International Information Governance Maturity Model in this study serves as the structure and support for the rationale for this research, the problem statement, the purpose, the significant and the research question. The Records Life-Cycle Model and ARM International' information Governance Maturity model provides a base for the literature review and the methods and analysis. The researcher's choice of Records Life-Cycle Model and ARM Information Governance Maturity Model provides structure to this study. The researcher was able to think worldview from which to support one's thinking on the problem and analysis of data. The Records Life-Cycle Model and ARM International' Information Governance Maturity Model provides a basis to understand, analyse and design ways to investigate a problem. This provides opportunities to analyse the

research problem. The literature review provides a platform to support records Life-cycle and ARM International Information Governance Maturity Model.

1.10 Research Methodology

A research methodology is the systematic investigation of research questions to establish new facts and draw a conclusion. It is a general approach a researcher adopts in carrying out the research project (Casey and Murphy 2009:202). The research approach stages include theories, research questions, sampling cases, data collection and data analysis (Brauin, Clarke and Gray 2017:18). The investigation is about the interpretation and revision of current knowledge and the discovery of new knowledge (Hickson 2008:3).

The research process involves asking questions; collating and integrating current knowledge on the topic; designing a method to collect information to inform the research question; and finally developing new conclusions from the evidence (Hickson 2008: 3). Depending on the objective of the study, a research approach can be either qualitative, quantitative or mixed-method. Proper selection of a suitable research approach is critical for the success of the research project.

1.10.1 Qualitative and quantitative approach

The study adopted constructivism, interpretivism and positivism paradigms and used a qualitative and quantitative approach that focused on collecting, analysing data in a comparative case study. Qualitative research is a means of exploring and understanding the meaning of individuals or groups ascribe to social or human problems (Devlin 2017:194). This process of conducting research involves emerging questions and procedures, as well as building data from a topic to general themes. Qualitative research was used in this study to gain an understanding of a social phenomenon that involves the human subject. This research involved collecting insights from human subjects, namely, the archives and records users and occurred in a natural setting where the participants experienced the issue under study. A qualitative approach was followed as the researcher aimed to develop an understanding of human lived experienced and did so by relying on first-person accounts obtained through a questionnaire, document review and observing

behaviour. The data are supplemented by quantitative data during the analysing processes. Quantitative research is “a means of testing objective theories by examining the relationship among variables” (Leedy and Ormond 2014:97). These variables, in turn, can be measured, typically on instruments, so that numbered data can be analysed using statistical procedures. The qualitative approach was best suited to investigate what goes on in the workplace; what the problems were; and how could they be addressed. Its processes involve a literature review, theoretical framework formulation, purposive sampling, fieldwork, data collection, and analysis of results (Pickard 2013).

1.10.2 Research design

The research was intended as a comparative case study to develop an Archives and Records Management framework to guide the implementation of Records Management programmes in South African universities. This research involves two cases that were different in certain ways to make comparisons and build a framework (Leedy and Ormrod 2015:271).

1.10.3 Research methods

The use of a triangulation plan in terms of methodology leads to the collection of different types of data in this study. There were multiple methods of data collection such as questionnaires, observation and document review. Due to the nature of the research objectives for this study, a questionnaire was utilised to collect data. The researcher first gathers data on the state of ARM in one particular university, next evaluates the data against practices as derived from the Records Life-Cycle Model. Furthermore, university visits and review of university documentation assisted in learning and confirming the content of the case studies.

1.10.4 Data analysis

Data analysis was regarded as the choice of procedures whereby the researcher moves from the qualitative and quantitative data that have been collected to some form of explanation, understanding or interpretation of the situations investigated (Leedy and Ormrod 2014:99). Data were gathered and analysed through a questionnaire, and document review supplemented by observations to create a sort of

relationship between data gathering and data analysis. Coding was the analytical strategy employed by the researcher. It was the analytical process through which data were fractured, conceptualized and integrated to develop a framework.

1.11 Originality of the Study

Academic research conducted to date has not compared the records-keeping practices among universities in Southern Africa. It was therefore imperative that such a study be undertaken. This study was conducted by examining in detail the ARM programme at UNIVEN in comparison with WITS.

This study, therefore, extends preceding research on the university's ARM programmes. It was anticipated that any subsequent framework would make a substantial impact on South African universities in ensuring control of records throughout the Records Life Cycle. Most likely, it inspired others to do further research regarding Archives and Records Management of universities in Africa.

Furthermore, wide-ranging research and literature on university ARM, in general, is minimal. The researcher, therefore, felt that there was a need to start this study to contribute to the existing research relevant to university ARM.

1.12 Definition of Terms

This section defined the key terms, as used in this study. They were presented below:

1.12.1 Archives

Archives refer to records of the enduring value selected to be preserved in archives repository or national archives (Choy 2004:13). Waakimoto and Bruce (2015:190) further define archives as the historical records that document history. Archives are “records of organization selected for permanent preservation because they provide key evidence of the entity’s history” (Crockett 2016:4). ARM programme enables the university to document historical events and activities (Wagner 1999:108). The connection was seen as important between archivists and the general communities. Archives are unique materials because of their provenance (Brown, 2014:158). According to Pearce-Mose (2005:51), and for this study, archives are records created

and received by a person, organisation, public or private, in the conduct of their business affairs and preserved because of the enduring value contained in the information they hold. The archives examined in this study are those held by particular universities.

1.12.2 Records

According to Millar (2010:3), the term records is defined as “a piece of information that has been captured on fixed medium”. In supplement of the above scholar, Crockett (2016:1); and Pearce-Moses (2005:328) refer to records as recorded information in any media or format, providing reliable evidence of human activity. Records are created for the preservation of memory and service as evidence of decision making by the institution (MacNeil and Eastwood 2017:59). The National Archives of South Africa provided a most encompassing definition of records as “all recorded information regardless of physical forms or received by public or universities in pursuance of their legal obligations” (Department of Arts and Culture 2007:i). For this study, identified Universities are assessed on how they create, analyse and disseminate records with various stakeholders within the University through the Records Lifecycle Model.

1.12.3 Records Management

Crockett (2016:32) defined Records Management as “the broad management that controls records throughout their lifecycle”. In support of the definition of the above-mentioned scholar, Penn and Pennix (2017:10) defined Records Management as taking responsibility for the systematic control of the creation, maintenance, use, reproduction and disposal of records. Managing records throughout their life-cycle from their creation until their destruction or permanent preservation is the basis of ARM programme. For this study, Records Management practices of UNIVEN compared with WITS were investigated.

1.12.4 Developing countries

Developing countries are countries with less developed economies. Generally, little money is spent on developing ARM programme (Masha, Fadi and Kaj 2017:154). Based on the above features, developing countries would include countries such as South Africa, Zimbabwe, Nigeria, Ethiopia, Kenya and Malawi, etc.

1.12.5 Developed countries

Developed countries refer to countries whose markets are advanced and which possess technological infrastructure as compared to developing nations, e.g., the United States of America, Canada, Australia, European countries, and Japan. These are industrialised nations with high levels of technological advancement. Generally, they are also advanced in terms of the development of the Archives and Records Management systems (Cooper 2015:194). These countries direct resources towards examining Records Management models and their policy implications (Thomas and Jensen 2008:128).

1.13 Delimitation and scope of the Study

Delimitation defines the parameters of the study and narrows the scope (Leedy and Ormrod 2014:15). Sekaran and Bougie (2013:358) said that essential for the research report on the study to indicate delimitation and scope of the study. The research restrictions were essential because they help the researcher to communicate and know what might affect the legitimacy of conclusion and generalisation (Kumar 2011:237). This study is an exploratory case study of UNIVEN compared with WITS. These universities were selected largely because of its geographical location and accessibility. These meant that the researcher would be able to conduct site visits. This study does not include colleges or other private institutions in South Africa as they offer little ARM practices.

Due to resource constraints, it was virtually impossible to travel to all South Africa public universities to conduct research. The study was, therefore, a comparative study. This research employs interpretivism and the constructivist approach. It used a limited number of phenomena. This being the case, one should not expect fully-fledged projecting enlightenments to continue from this study. The findings of this study may be transferable rather than generalizable. Generalisation usually employs a positivist approach, including the use of statistical information and analysis.

The main limitation of the study was located in its scope of analysis by aiming at only selected Historically Black Universities compared with Historically English-Medium Universities within several of a revamped higher education landscapes. This means

the historically Afrikaans-medium universities, Historically Black Technikons (HBTs), and the former Historically White Technikons (HWTs) were not covered by this study.

1.14. Research Outline

Chapter 1 provided the background to this study and the study's objectives. It set these within the setting of the larger project. This implies amalgamate the main problem statement of the study, as indicated by Bloom and Trice (2007) that the introduction of a research paper begins with a broader perspective of the problem and will become narrower as the introduction continued. This was the basis upon which Chapter One was based.

Chapter 2 provides a theoretical framework for the study by reviewing the current literature on South African universities. Literature about the methodology for qualitative and quantitative research, specifically regarding case studies, and methods of interview analysis and the implications of these methods was also reviewed. The relevant literature was linked to the theoretical framework and the latest development of model concepts.

Chapter 3 enlightens the methods that have been used to conduct the research and to analyse the data collected in this study. It describes the study sites and participants, the operational procedures used for this study, the instruments for data collection, the selection of data for analysis and the methods of questionnaire analysis.

Chapters 4 and 5 present results of the questionnaire analysis based on a mixture of research objectives and afford a discussion of these objectives and the issues raised. Chapter 5 reports on the results of questionnaire analysis regarding themes relating to South African Universities' archives and records.

Chapter 6 summarises the research findings, pulls conclusions from those findings and indicates some of the implications of the findings. Limitations of the study and suggestions for further research in the field were considered. It provided the intergraded developed framework. This framework will become a hands-on tool that

South African universities can use to develop, assess, reflect and know when change is needed.

1.15 Summary

Chapter 1 was an introduction to the study as well as a stimulus for the study. The problem statement, the research enquiries and the objectives of the study were provided. A transitory description of concepts frequently used in this thesis to avoid misconceptions was also given. The research methodology was also concisely explained in this chapter. This included a descriptive research design and the data collection methods that were employed. The chapter concluded with an overview of the chapters contained in the thesis.

The next chapter reviews the literature concerning the assessment with the statutory and regulatory framework; examination of ARM best practices guided by international Records Management standards; and determination of the ARM maturity practices; assessment of the alignment of ARM strategy to the university functions, to establish roles and responsibility of stakeholders in ARM at universities.

CHAPTER TWO

THEORETICAL FRAMEWORK AND LITERATURE REVIEW

2.1 Introduction

In the previous chapter, the study presented aspects relating to the background of the research problem, the research methodology, the limitations and significance of the study and the chapter layout were discussed. The purpose of this chapter is to review the literature and the application of the theory to be applied in this research. The literature review provided an opportunity to explore relevant research carried out on university Archives and Records Management. The review of the literature established the methodologies and research techniques that have been used before, it identified the theories used to conceptualise the variables that were investigated by the study (Ngulube and Tafor 2006:60).

2.1.1 Theoretical Framework

Theories have a purpose for description, explanation, prediction, and control of research projects (Kemoni 2008:106). The theoretical concepts guide design and data collection (Yin 2012:27). Ocholla and Le Rox maintain that:

By its application, theory in the social sciences is of value precisely because it fulfils explanation of the meaning, and challenges of a phenomenon, often experienced but unexplained in the world in which we live, so that we may use that knowledge and understanding to act in more informed and effective ways.

(Ocholla and Le Rox 2011:41)

The use of theory in conducting case studies is an enormous benefit in outlining the applicable research design and data to be collected (Yin 2014:44; and Yin 2012:27). Various Records Management theories were developed by scholars and institutions (Kemoni 2008:106). These theories include the Records Life-Cycle Model, records continuum model, and integrated Records Management model and ARMA International' Information Governance Maturity Model. These theories were created to support organisations direct, benchmark and develop ARM program (Feng and Pan 2016:130). Theories were also applied in the implementation of the ARM programme in most organizations (Feng and Pan 2016:130). However, achieving agreement on

internationally agreed theories for the ARM theories was not an easy task and part of the reasons for this lay with different theoretical perspectives.

The examination of the research problem is determined by the theoretical framework to align and support the structure of the study. ARM framework is the basis for the organisation to collect, analysed and disseminate historical records, identifying records according to its type and relevant rules, classify the information, accessibility (Azmee, Kassim and Abdullah 2017:03). In this study, the records life-cycle and ARMA International' Information Governance Maturity Model are chosen as a theory of this study because of its alignment with the purpose and objective of the study. The review of literature centred on the objective of the study.

2.1.1.1 Records Life-Cycle Model

“The Records Life-Cycle Model is the framework advocating for the management of records from creation until the disposal of records” (Mcleod, Hare and Catherine 2010:26). The study conducted by Hansen (2015:54) alluded that “the ARM programme is concerned with records through their life cycle from their creation, through their useful lifespan and when they were obsolete. This implied that records act like living organisms. Records have their life-cycle that passes through stages, namely: the current, the semi-current and the noncurrent” (Asogwa and Ezema 2017:320). “This means that records were managed in the form of the life cycle from the creation, through its use, storage, retention inactive files, to its transfer to inactive files, storage and disposal” (Yusuf and Chell 2005:51). “In the last stages of records life-cycle, records are appraised to determine its archival value (Asogwa and Ezema 2017:320).” “Nevertheless, the Records Life-Cycle Model provided a framework that can be associated with key Records Management responsibilities only” (MacNeil and Eastwood 2017:88).

“The model indicates that records were not static, but have a life similar to that of biological organisms: records are born and die” (Shepherd and Yeo 2003:5). “This approach has been only useful in promoting a sense of order on the life-cycle of records” (Kyobe, Molai and Salie 2009:2). This method is suitable to be applied to this research. This approach may ideal in the management of university records. This was

because at universities some records were created through systems integration. The university business processes required records to be created, analyse, dispose and archives by the Archives and Records Management processes.

Based on the above context, the Records Life-Cycle Model is applied in this study because of its alignment with the research purpose, questions and objectives. Given the researcher's intention to assess Records Management from creation to disposal, the Records Life Cycle model was the most suitable for both selected institutions of higher learning, i.e., WITS and UNIVEN. It is important to examine how the records life-cycle is applied to records in the universities. Based on the technological advancement and nature of the study, the Record Cycle Model needs to be complemented by the ARMA Information Governance Maturity Model.

2.1.1.2 ARMA International Information Governance Maturity Model

“Information Governance is defined as a strategic framework that contains standards, processes, roles, and a matrix containing the controls and responsibilities for creating, organising, storing, maintaining, utilizing, and deleting records as per organisation policy” (Halim, Yusof and Zin 2018:236). “The model stresses the need for records professionals to comply with the Generally Accepted Recordkeeping standards. Under the ARM International Information Governance Maturity Model, Records Managers and archivists need to develop a strategy to improve compliance with the ISO 15489, which is set in the United Kingdom, provides a standard for Records Management policies and procedures”. “The purpose of the standard is to ensure that appropriate attention and protection apply to all records, and that the evidence and information that they contain can be retrieved effectively and efficiently using standard practices and procedures”. “Furthermore, the legislative framework forms the basis of implementing the model” (Mullon and Ngoepe 2019).

“The model is based on the level of maturity of the recordkeeping practice in an organisation InIU” (Janah and Mayetsi 2020). “The maturity model aims to provide an accurate, reliable, and honest summary of the current level of maturity of the Records Management measures of selected universities” (Hagmann 2013). This methodology

attempts to gauge the level of maturity of the recordkeeping practices in an organisation.

Level 1 Non-compliance

“Records Management is unpredictable, the enterprise information management is weakly controlled and reactive. At this level, there is a lack of awareness of Records Management, and lack of development of Information Governance policies. The required skills are identified only for a critical business area”.

Level 2 Partially comply

“The documentation, policies and procedures that allow for effective Archives and Records Management programme are defined. There is recordkeeping of skills requirements for all job positions within the universities. There is a formal training plan described even though it is not fully implemented”.

Level 3 Fully compliant

The universities monitor their organizational environment to determine when to execute their own policies and procedures. Skills requirements are regularly assessed to guarantee that the required skills are present in the universities. Policies are developed to provide guidelines for the management of records. Organisational processes and procedures are put in place. Standards and best practices are applied. There is an effort for the university to undergo assessment for certification of standards. The university is seen as an example of the effective management of universities among its university communities. However, there is a need for continuous improvement in the skills of organisation and personnel. Knowledge sharing is recognised by universities. There is an Information System that monitors the technological environment and detects when changes to hardware and software are needed.

“It is evident from the review of literature and practice that a framework is required to implement the ARM framework”. According to Merkus, Kusters, and Helms (2019), reasons for the researcher to adopt this model as the basis to develop the ARM framework were as follows:

- ❖ Formalises rules and organisational conventions defining information behaviour;
- ❖ Universities are required to comply with the legal framework;
- ❖ Aligns Records Management policy with the requirements of the university's strategic plan;
- ❖ To improve Risk Management;
- ❖ Bring together ICT and Records Management;
- ❖ Select the university information's assets;
- ❖ Control the quality of information;
- ❖ To raise awareness records and archives management;
- ❖ To enable organisation to participate easily in the organisation decision making; and
- ❖ To enhance organisation the university's information assets through appropriate means and methods.

However, previous research has created a framework with limited digital management. The absence of Electronic Records Management within the framework could affect university Information Governance. Information Governance must be developed since the Records Life Cycle model is insufficient and appropriate for solving Electronic Records Management. The disadvantage of the ARMA International Governance Maturity Model is that implementation is dependent on the system used by the university. The researcher did not adopt theories such as the Records Continuum and Integrated Records Management Model because aspects such as ad digital management are also covered by the ARMA International Information Governance Model.

2.1.2 Literature review

The literature review of this study is based on the objectives of the study as follows:

1. To determine the current state of Records Management in the two selected Universities;
2. To assess the level of compliance to statutory requirements of Records Management by the selected universities;
3. To evaluate the ARM maturity level in the selected universities; and

4. To establish the Enterprise Information Management Business Process alignment to ARM process in the two selected universities.

2.1.2.1 The current state of Records Management

Applying ARM international standards enables archivists and Records Managers to manage records. A best standard, tools and procedure strategy assists organisations to become more competitive, improve the skills of the workplace, use technology more effectively, improve quality and respond to innovations (Tsabedze 2019a). The methodologies that govern Archives and Records Management system rely on the application of a standard that underpins strategies whose value and relevance has been proven elsewhere.

Feng and Pan (2016:130) indicated that “universities are to establish ARM programme and ensured that monitoring and evaluations are conducted against standards.” Erima and Wamukoya (2012:37) alluded that there was a challenge of managing records both from developed and developing countries because of the lack of the adoption and implementation of an appropriate standard.

It is essential to adopt a national and international minimum standard so that organisational systems are interoperable and share a common baseline for ARM (Tsabedze 2019a, b). ARM international standards provide benchmarks for measuring ARM systems and programmes. Most of the institutions lack ARM programme to conduct internal and external audits. The study conducted by Feng and Pan (2016:133) indicated that the review of the literature showed that there are various international standards to assess the ARM programme. Various assessment methods have been developed to address the risk of poor ARM programme. The following standards were a key for the control of ARM (Redgrave, Peay and Bulander 2014:39). These standards include the following:

- ❖ ISO 15489 – Information and Documentation; Records Management;
- ❖ Generally Accepted Recordkeeping;
- ❖ RiskProfiler;
- ❖ Information Governance Toolkit;

- ❖ Australian Design and Implementation of Recordkeeping System (DIRKS) Manual; and
- ❖ The Lord Chancellor's Code of Practice and Compliant Records Management.

ISO 15489 – Information and documentation; Records Management standards were based on the Australian Records Management Standards (Brown 2014:4). ISO 15489-1 is a general record management standards with a specification that applies across universities. “The standard emphasised information regarding records management requirements including the characteristics of records; design and implementation of records systems record management processes and control monitoring and auditing and training,” according to Frank (2013:233). Standards provide a sophisticated framework for Records Management, addressing the benefits of Records Management, the regulatory consideration affecting ARM programme operations and the importance of assigning responsibilities for Records Management programmes (Millar 2010:213). The standard further provides implementation guidelines, a methodology and an overview of processes required for compliance. Universities’ policies and procedures reflected the application of the regulatory environment to the business process.

Universities are to complying with the legal and regulatory environment relating to privacy and security. According to ISO 15489–1, the regulatory environment consists of statute and laws and regulations governing the educational sector and business environment (Noonan and Chute 2014). These include legislation associated with records, archives, access, privacy, evidence, electronic commerce, data protection and information, mandatory standards of practice, voluntary codes of best practice, voluntary codes of conduct and ethics. The universities control whether they meet the obligations outlined in the standard.

Assessment of ARM programme in the United Kingdom was done through the Generally Accepted Recordkeeping (GAR) (Feng and Pan 2016:131). GAR assesses the maturity of ARM projects such as the development of classification records at universities; accountability; compliance; transparent; availability of information;

integrity; retention of records; and protection and disposition of records (Frank 2013:312). Nevertheless, these principles are comprehensive in opportunity, but general in nature.

The maturity level based on the standards gauges the progress of a Records Management system (Bigirimana, Jagero and Chizema 2015). The aim of the Records Management Maturity model was developed to assist universities in England and Wales to assess their ARM programs against the Lord Chancellor's Code of Practice on the management of records. The code is issued under Section 46 of the Freedom of Information Act of 2000 in the United Kingdom.

Risk profiler Assessment Standard was established by the Archives, Records Management Association (ARMA) to identify risks of non-compliance with legislation and regulations in the United Kingdom (McLeod, Sue and Susan 2007:14). The ISO 15489 formed the basis of this framework to measure the organisation's demographic details; policies and procedures, program structure; File Plan effectiveness; inactive ARM programme, monitoring and training. This standard enables an organisation to compare its records compliance with other organisations. However, for the structure to be effective, it requires an effective ARM programme to be developed by various institutions (McLeod, Sue and Susan 2007:21; and Smyth 2005). Many universities, especially from developing countries, lack effective ARM programme to adopt this standard.

Information Governance Toolkit is the United Kingdom (UK) framework developed to assess Records Management governance and compliance with legal and regulatory requirements. UK universities' ARM programme were assessed based on the Information Governance Toolkit. "The Information Governance Toolkit includes the following components: Information governance management, records, freedom of information, Records Management for administrative records and information security" (McLeod, Sue and Susan 2007:12).

Australian Design and Implementation of Recordkeeping System (DIRKS) Manual Model points universities towards systematic, enterprise-wide, business-driven

solutions for Records Management instead for the ad hoc practices (Swan, Cunningham and Robertson 2002:81). The framework is the expansion of the design methodology outlined in AS 4390 and ISO 15489 to assist universities to establish Records Management infrastructure. “This framework emphasised on the inspection of records conducted to determine universities’ needs and requirements for Records Management and then use the same information to establish an effective ARM programme system” (Feng and Pan 2016:131).

DIRKS Manual was developed to provide a comprehensive approach to Electronic Records Management System, to assist with recordkeeping functionality that is specific and meet business requirements (Swan, Cunningham and Robertson 2002:81). “DIRK requires Records Managers and archivists to embark on the following activities:

- ❖ Initial exploration;
- ❖ investigation of business functions;
- ❖ identification of ARM requirements;
- ❖ assessment of existing ARM systems;
- ❖ identification of strategies for ARM;
- ❖ design of an ARM programme;
- ❖ implementation of an ARM programme; and
- ❖ post-implementation review”.

Despite the above characteristics, the system was removed from usage by NAA, as it was not effective on the implementation of ARM programme. Notwithstanding the popularity of the system, not all institutions embraced this system.

The Lord Chancellor’s Code of Practice and Compliant Records Management is the standards developed in the United Kingdom in 2002 for university compliance. “The code fulfilled the duty of the Lord Chancellor set out in section 46 of the United Kingdom Freedom of information Act 2000,” as indicated by Shepherd, Stevenson and Flinn (2010:7). The study conducted by Allan (2014:3) indicated that “the code applied to all institutions manage in terms of the Public Records Act of 1958 or the Public Records Act (Northern Ireland) of 1923”.

According to Shepherd, Stevenson and Flinn (2015:21), the code was developed to do the following:

- ❖ “To develop Records Management processes from the creation until the disposal of records;
- ❖ To review an ARM programme;
- ❖ To provide an ARM framework to manage all types of records; and
- ❖ To guide on reviewing and transfer of public records that have been selected for permanent preservation”.

“The Lord Chancellor’s Code of Practice and Compliant Records Management Compliance framework require universities to develop a Records Management policy, conduct staff development, management of record throughout the life-cycle, preservation of records, aligned business processes to Records Management processes, maintain security and access control, disposal of records, partnerships with relevant stakeholder and monitoring of the ARM programme” (Procter 2002:51; and Coates 2007). However, the standard was not developed to assist universities in developing the ARM programme. The framework advances Model Actions Plans aims at implementing the standards. The interpretation of this framework was found in the Model Action Plans (MAPS). MAPS described the implementation of the model through business process integration with Records Management processes without consideration of the disposal of records stage. Universities faced the risk of interpreting the model to meet the functions of universities. Nevertheless, MAPS was not enforced by the institutions. The level of compliance was dependent on certain institutions. The study conducted by Mcleod and Hare (2010:29) indicated that “this code contributed to United Kingdom university compliance and appointments of records managers”.

2.1.2.2 The level of compliance to statutory requirements of Records Management by the selected universities

After 1994, various legislation governing the ARM programme was the enactment in South Africa. The following legislations were enacted to improve the status of records and archives management in South Africa: the National Education Policy Act, No. 27

of 1996, the South African School Act, No.84 of 1996 and the employment of educators Act, No. 76 of 1998. The study conducted by Feng and Pan (2016:46) indicated that “universities records are managed in terms of legislation governing records and archives”. Similarly, Frank (2013:31); and Hansen (2015:53) encouraged universities to keep to legislation, regulations and standards. They also emphasised that universities are expected to comply with legislation governing ARM programme.

Any developed ARM programme is to be based on the legislation of a country. The study conducted Ferguson-Boucher and Conner (2011:233) indicated that ARM regulatory framework is the driver of universities' ARM programme. Universities are bound by the laws that govern types of the institution even if they have rules and procedures for their business that are similar to those of any other organisation (Cox and Wallace 2002:284). The legislation governing the ARM programme in South Africa is as follows: *The Constitutions of the Republic of South Africa of 1996*, the Higher Education Act, No.101 of 2007, PAIA, POPIA, NARSSA and ECTA. Universities may develop their ARM programme based on the legislation.

The study conducted by Katuu and Van der Walt (2016:2) indicated that “the democratic changes that took place in 1994 necessitated legislative and organisational changes to address the inequality”. *The Constitution of the Republic of South Africa, 1996* is the supreme law of the country, law or conduct inconsistency with it is invalid, and the obligations imposed by it must be fulfilled. Section 195 of the Constitution provides amongst others for the effective, economical and efficient use of resources; provision of timely, accessible and accurate information and requires that the public administration must be accountable. “Therefore, the government must use the constitution to ensure archives and records are properly managed and preserved over time” (Hamooya, Mulauzi and Njobvu 2011:117). It is in this regard that the constitution becomes an essential component of the broader regulatory framework of accountable and effective government. Having a constitution that takes into account ARM issues would empower the NARSSA to adopt a more strategic approach in facilitating the application of international standards and best practice in Records Management in public institutions.

The Higher Education Act, No. 101 of 2007 regulates higher education, governance, provide quality assurance and quality promotion in higher education. The Act establishes single coordinate governance and provides for the programme based on higher education. “This legislature provides a sound framework for the governance and management of universities” (De La Rey 2015:4). “However, unsuitable governance over the education system and outdated institutional management methods prevent universities from fulfilling their missions of providing teaching and learning, research and engagement and partnerships” (Collins 2014:42).

The Electronic Communications and Transactions Act, No. 25 of 2002 offers for the facilitation and directive of electronic communications and transactions; to provide for the improvement of an e-strategy; to promote access to electronic communications and transactions. The purpose of the Act is to legalize electronic communications and transactions and to build requirement in electronic records. “Digital records are to provide authenticity and reliability as true evidence of a transaction beyond any doubt. Authentic and reliability of Electronic Records Management programme is dependent on proper Electronic Records Management System. According to the Department of Arts and Culture” (2010:4), “records created in electronic record-keeping systems contain the memory of the decision- making of the institution and its impact”.

The Protection of Personal Information Act, No. 4 of 2013 act requires security of personal information, to provide for the issuing of codes of conduct; and automated decision making; to regulate the flow of personal information across South Africa. The study conducted by Millar (2010:56) indicated that “archivists and records managers must understand the requirements of access and privacy laws and acknowledge individual privacy rights irrespective of legislative controls”. In the United Kingdom, individual information is prevented from public disclosure unless individuals signed the disclosure clause (MacNeil and Eastwood 2017:255). The study conducted by Crockett (2016:104) shows that “legislation defines and governs the way personal information about individuals was gathered, managed, shared and destroyed”. This means that institutions are to play a role by ensuring that individual right information is protected.

The review of the literature indicated that universities preserve records containing personal data, to the extent, the records contain a historical value (Netshakhuma 2019a:29). South African universities are charged with the responsibility to protect personal information used during their functions, especially student data. They are obliged to be protected by stipulated legal obligations and principles of privacy. The growth of personal information requires universities to develop rules and guidelines to govern the flow of information and to protect the confidentiality and individual privacy (Singh and Ramutsheli 2016:165). The Protection of Personal Information Act, No. 4 of 2013 act is “read in conjunction with Chapter 5, principles 5.6 of the King Code of Governance for South Africa which states that university council ensures that information assets are managed effectively” (Institute of Directors in Southern Africa 2009:165).

“The Promotion of Access to Information Act, No. 2 of 2000 offers the public the right of access, upon request, to records held by public or private bodies to the extent that a requested record is required for the exercise or protection of rights” (Currie and Klarens 2002:1). The Act seeks to provide for the right of access to personal information held by an individual. Compliance with the requirements of the Act requires universities to develop an ARM programme that addresses all university functions. “The rationale for the right to information is developed in the concept of open and transparent government” (Adams 2006:29). Universities' archives are responsible for providing access to information to various stakeholders such as universities communities (Segaetsho 2014:1). The Act conveys citizens with a statutory right to know and makes the government accountable to the people being governed. The study conducted by Cox and Wallace (2002:69) argued that “besides the benefits of ARM programme, access to records is a challenge in Sub- Saharan Africa because of limited resources (skilled personnel, finance and Information Communication Technology) to access institution archives”. “It appears that some institutions allocated less budget on the ARM programme to develop archives repository to make provision of access to information. Similarly, even in the developed countries such as the University of Illinois State University in the USA, access to an institutional repository, provision of online access to records became a nightmare because of restriction to access some of the collection” (Hansen 2015:44).

The study conducted by Asogwa and Ezema (2017:333) indicated that “despite the challenges experienced by African universities, literature revealed that access to records across the world improves public confidence and trust in universities.” Similarly, Adams (2006:33) argued that “access leads to making governments open, accountable and available to the people”. Nevertheless, initiatives such as awareness were conducted to improve upon the management of public records.

“In a democratic society such as South Africa, ARM programme was meant to enable accountability by providing access that can empower citizens against maladministration, corruption and autocracy” (MacNeil and Eastwood 2017:57). Universities' archives are responsible for providing access to information to various stakeholders (Segaetsho 2014:1). “Archives are essential to support access to information by ensuring that findings aids and archives guidelines are developed and made available” (Millar 2010:20). Similarly, Cox and Wallace (2002:11) agreed that “open access in the United Kingdom to university records is the assurance of a democratic government of open policy”. “Records Managers and archivists played a role to provide ARM services such as the provision of access to information, disposal of records and training of staff regularly” (Wamukoya and Mutula, 20055). This statement has been alluded to by Ngoepe (2008:16); Levelle and Timms (2015:169); and Masanes (2006:132) who indicated that “establishments of the ARM programme are the basis of providing records access to university stakeholders”. This implied that ARM programme should be established to provide reliable, accurate and relevant records.

The National Archives and Records Service of South Africa Act, No. 43 of 1996 provides the legislative and legal framework, according to which Archives and Records Management practices in South Africa governmental bodies are required. Per Section 13 of the NARSSA act the National Archivist:

- ❖ Determines File Plans to be applied by governmental bodies; and
- ❖ Examines public records with a view of issuing disposal authorities on all public records to enable governmental bodies to dispose of records no longer required for functional purposes.

NARSSA is mandated to manage public records. However, it seems that some of the South African government institutions applied to be exempted to implement NARSSA Act. The review of the literature indicated that the legislature is not enforced to all public institutions. “ Nevertheless, NARSSA requires universities to utilise NARSSA Act as an opportunity to review all of their Records Management needs and to modify existing systems or design new systems to better meet their responsibilities” (Swan, Cunningham and Robertson 2002:83). “Similarly to the Australian Archives under the National Archives of Australia (NAA), the archives have limited powers to compel universities to conform to its standards and guidelines” (Swan, Cunningham and Robertson 2002:82). The survey conducted by Matangira, Katjiveri-Tjiiuoro, and Lukileni (2015) at the University of Namibia, through the application of Records Life Cycle and Records Continuum model, found that the Archives Act of Namibia, No 12 of 1992 enacted to control all public records includes university records. Quantitative research by Pereira (2018) on the study conducted at the Eduardo Mondlane University in Mozambique found that the National Archives and Records Services Act No. 36 of 2007 (NARSA) was implemented.

2.1.2.3 Archives and Records Management maturity level

This section reviewed ARM maturity from the developed and developing countries with a view of determining the gap on the development and implementation of ARM programmes, compliance with the ARM framework, standards, policies and procedures. The section concludes by gauging the ARM programme in South Africa. The review of the ARM programme of countries determines the level of compliance by universities.

2.1.2.3.1 Archives and Records Management level in developed countries

Most of the institutions of higher learning from developed countries such as in Australia, the UK, Canada and the United States of America (USA) utilised their countries' national legislation to develop the ARM programme. Most of the institutions of higher learning from developed countries utilised their countries' national legislation to develop ARM programme to control records. The study conducted by Frank (2013:31) indicated that “integrated ARM governance framework is effective when it is

linked to the national archives and records legislations”. “For example, in Canada, several government-led ARM frameworks were developed in line with the Canada National archives through the development of the Open data policy” (Levelle and Timms 2015:160). The review of the literature showed that the development of the Archives and Records Management framework was guided by the national legislation of a country.

The review of the literature shows that most of the developed countries allocated resources (finance, human and technology) to develop and implement the ARM programme. The study conducted by Cooper (2015:1195) indicated that “developed countries such as the UK and the USA supported Universities through resource allocation (finance) to develop ARM programme”. The commitment done by the government from the United Kingdom ensured that universities established the ARM programme. However, there some of the gaps when the institution of higher learning such as from the United Kingdom adopted the national legislation as some of the organisation failed to consider the principles of accessing on access to information (Nengomasha and Nyanga 2015:90). However, the adoption of the ARM from various countries did not consider aspects of Electronic Records Management (Waller and Sharpe 2006:10). Xie (2012:18) contends, for example, that “China was experiencing management relating to the authenticity, integrity, and accessibility of electronic records even though their institutions develop ARM programme”. The review of the literature shows that the risk of Records Management was also experienced by developed countries. The risk of managing records occurred despite the historical developments in ARM in these countries.

There were various reasons for the establishment of ARM programme from developed countries that led to the commencement of the national archives. The need to establish national archives was influenced by a need to preserve historical records and a recognition of public records to define social, economic and political relationships. Another reason for the establishment of archives was to resolve the lack of space from government offices. The accumulation of records in the government offices contributed to the decongestion of records; it was not easy to retrieve records from such office, and there was a lack of clear differentiation of records with historical and cultural value.

This implied that there was a lack of control of records from the creation until the disposal stage. After the development of ARM in Europe, there was the establishment of university archives across Europe. “The establishment of archives in France and the USA was influenced by the need to improve government efficiency” (Schellenberg 1956:8). “In England, the Public Records Office Act of 1838 led to the founding of national archives to promote archives management such as the implementation of systematic disposal of records, determination of records with historical and cultural significance” (Shepherd 2016:65). Most of the national archives outline the process of transferring archives from the national institution to the national archives (MacNeil and Eastwood 2017:251).

It seems that universities all over Europe addressed the need to collect and preserve historical memory as their country to promote archives. The necessity to preserve historical records and archives development in Europe influenced the preservation of records. “The development of ARM in universities began to make an impression on the archives sector in 1960” (Shepherd 2009:118). “For example, Nottingham University established the ARM programme and appointed a Records Manager in 1947. The Sudan Archives at Durham University began in 1957 to preserve archival materials. Cambridge University recruited an archivist in 1950 with a view of preserving historical, cultural and scientific significance” (Shepherd 2009:118). Universities such as Manchester and Nottingham collected archives before the existence of a national archive in England. The acquisition of archives by Manchester and Nottingham shows partnerships between universities and the national archives to preserve university records.

The study conducted by Shepherd (2009:119) indicated “[m]ore university archives were established in the 1970s in Europe to preserve history as the result of archives development of various universities”. The role of universities archives extended to collect national records known as the community archives. In 1973, the Leverhulme Trust funded the University of Warwick from the United Kingdom to store records of political parties and records of national significance such as British labour history, industrial relations and politics. The implementation of the collection of preservation of community archives requires collaboration between states and universities.

The University of Liverpool in England acknowledged that development Records Management was essential to improve administration. A case study conducted by Hight and Smith (2016) at the Kansas State University found “the development of retention schedule Effective and efficient Records Management enabled universities to comply with legal and regulatory requirements”. The university was also better prepared in terms of business continuity in case of a disaster by retained and preserved records with historical value. “Liverpool University serves as a model for universities in Sub-Saharan Africa because of its effective ARM programme, which was based on the Records Life-Cycle Model” (Onyancha, Ngoepe and Maluleke 2015:148).

“The survey conducted at the University of Illinois in the United States of America indicated that records with fiscal and evidential value were preserved” (Hansen 2015:67). “The review of the literature showed that some of the universities from developed countries such as the USA also experienced the risk of preserving historical records”. Research conducted by Hansen (2015:36) stated that “some of the historical records about the establishment of some universities were lost as a result of failure to establish an effective ARM programme”.

Monash University in Australia researched to enhance ARM practices at universities. The Records Continuum Research Group (1998:26) also researched “records management to develop record management framework for universities and this research has contributed to the development of international recordkeeping standards”. According to Yusuf and Chell (2005:132), “Records Management could improve the performance of an organisation. The University of Northumbria embarked on an ARM programme survey in 1992 collection of its historical records”. The assessment found that there was a lack of ARM infrastructure; the management was not supporting the ARM programme, non-existence of systematic disposal of records. This finding implied that there was no coordination of records from creation until the disposal of records. The assessment assists the University to realise the importance of records to be recognised as one of the strategic importance.

Despite the availability of Electronic Records Management System in developed countries, some universities, such as the University of Illinois in the USA, experienced a risk of the loss of records (Hansen 2015:53). Studies conducted by O’Flaherty (2015:213) and Wickham (2015:200) acknowledge that “the development of the ARM programme at universities required the development of archives repository and a strategy of ensuring access to records”. The transition from paper-based filing to the Electronic Records Management requires an organisation to adopt appropriate ARM standards. “The adoption of Electronic Records Management plays an essential role to reduce storage costs in manual archives.” The study conducted by O’Flaherty and Capell (2015:32) states that “adoption of ERMS contributed to reducing the challenges of ineffective records”.

Most of the developed countries formulated Records Management standards to improve Records Management and evaluate the value of records (Schellenberg 1956:133; and Sin and Chiu 2014). Luyombya (2010:07) indicated “the Australian National Archives developed standards to design and implement recordkeeping programmes”. Such standards included the Australian National Records Management Standards AS4390 and international standard organisation (ISO 15489). These standards served as the appraisal and disposal of records guidelines. The standards were developed with a view of assisting government ministries to improve Records Management standards.

The developed countries introduced principles of archives arrangements. The arrangement principles were adopted to increase access to archives in the archives repository. For example, in France, records were grouped into fonds (Schellenberg, 1956:170). Fonds was a system of classification through the grouping of administrative records. Records within fonds were arranged by subject matter groups. Studies conducted by Schellenberg (1956:175) and Millar (2010:9) indicated that “the Principle of Provenance emphasised the significance of respecting the individual and organization that created or received the items that make up a unit of archival materials”. “The principle maintains the original order of records in the organisation registry and was adopted by the Netherland and the United States of America”

(Schellenberg 1956:181). According to this principle, records should be kept in separate organisation units that correspond with their sources in the organisation.

“Most of the developed countries such as the USA and Canada developed standards to manage all forms of records in their environment” (Fresa 2015:111). The study conducted by Delaney and De Jong (2015:75) indicated that “there were standards and guidelines used to define levels of records preservation. A preservation plan is required to work towards the Open Archival Information System (OAIS) model to preserve institutional memory”. “Preservation requires a commitment by the institutions to maintain the funding needed to preserve digital objects, investment in staff, equipment, storage space and outsourced services, development of policy on digitisation based on ISO 16363 standard.” The ISO 16363 emphasised on bridging the gap between technological developments of institutional practices (Fresa 2014:113). Universities identifying content to be preserved, which would be the basis for preservation and conservation.

“Some of the universities from the developed countries took an initiative to preserve records” (Fresa 2014:110). For example, In the USA, the University of Adelphi developed archives management policy to preserve archives (Wagner and Smith 2012:54). Some of the universities developed an Electronic Records Management System to enable long-term preservation of institutional memories (Delaney and De Jong 2015:82). However, most of the universities in Africa lacked behind with regards to the development of manual and Electronic Records Management System to preserve such records.

A cohesive approach to ARM programme required an integrated governance strategy to link enterprise information management processes to ARM processes (Xiaomi, Bai, Sun, Zhong and Dung 2017:21; and Harries 2012:138). Integration processes require organisations to developed policies and procedures, guidelines to manage records throughout the records life-cycle. The national legislation governing ARM programme used as a national basis to develop and implement ARM programme. The study conducted by Muchaonyerwa and Khayundi (2014:44) alluded that “legislations forms the basis for the establishment of ARM programme of universities”.

The establishment of the University of British Columbia International Research on Permanent Authentic Records in Electronic System (InterPares) project provided the basic standards of the development of a University ARM to manage records from creation until the disposal of records (MacNeil and Eastwood 2017:87; and Duranti 2017). The InterPares project was based on a Records Life Cycle based on custodial approaches (MacNeil and Eastwood 2017:137). The project provided a guideline on Electronic Records Management by various institutions.

The framework elements are as follows:

- ❖ Conducting of Records Management assessment;
- ❖ Cataloguing of records;
- ❖ Development of File Plans;
- ❖ Development of a procedure to manage information;
- ❖ Differentiate of paper-based records and electronic records; and
- ❖ Completeness, reliability and authenticity of records.

The framework requires staff to be trained on Records Management. This implied that the adoption of the framework requires that staff be trained. The University of Pittsburgh School of Information Science initiated the development of electronic records project with a view of controlling all electronic records created by an organisation (McLeod and Hare 2010:27). The framework was based on the United States of America laws and customs and standards and professional best practices of the United States Society of Archivists. The University of Pittsburgh's Electronic Records Management Development project was based on the Record Continuum Model to manage records from creation until the disposal stage (MacNeil and Eastwood 2017:137). The project was a partnership between the United States of America universities and the National Archives of the United States (NARA). The focus was on the preservation of records evidence generated through the electronic system (Bearman, 2015). The project implementation requires an organisation to design a system to prove the authenticity and completeness of records. The project requirements were not focused on the application requirement for archival or recordkeeping system. Despite the challenge of the system, the systems could be applied manual, electronic or hybrid.

The project focused on the integration of Records Management requirements into electronic Information Systems. The project was aimed at defining record management functional requirements. The legislation, organisation culture and organisational policies form the basis of implementation of the framework (MacNeil and Eastwood 2017:87). The consideration was taken to integrate Records Management functions to organisational policies, culture and use of information technology standards, systems, design and implementation. The requirement of the framework was based on the fact that Records Management systems must be accountable in recordkeeping, captured records, maintained records and usable records.

- ❖ Comprehensive and distinguishable of records;
- ❖ Completeness of records;
- ❖ Records preservation; and
- ❖ Auditable, inviolate, coherent and removable records.

The project adopted the Principles of Respect des Fonds and Provenance to integrate Electronic Records Management to describe records. The framework emphasised on the role of records to be exportable, accessible, available, renderable and evidence of all transactions in the electronic records system. The Electronic Records Management System adopted by an organisation should ensure that records were disposed of in line with the business requirements.

The Pittsburgh project requires an organisation to integrate the business process to the ARM process to manage records from the creation stage to improve trustworthiness. The project contributed to the definition of Records Management functional requirements in Information Systems and raised awareness of the need for metadata. The framework outlined the functional requirements of Pittsburgh conceptualizes records as the product of transactions. The description of metadata to manage Electronic Records Management was essential to be identified during the initial stage of the project (Mcleod and Hare 2010:27). The implementation of the project in an organisation requires executive management support in terms of resources allocation (finance, people and technology) and the development of the

appropriate organisational structure to support the initiation of an Electronic Records Management System.

The framework was implemented at the University of Indiana as a collaboration among the Indiana University Archives, University Computing Services, Financial Management Services and other administrative areas of the university. The fact that most of the universities applied the system implied that it can be adopted by other universities from the developed countries. However, the greatest risk of electronic records was that of lack of specific standards developed to ensure that they can be preserved over a long period. A Records Management required to ensure that records remained under the control of an archival record-keeping system by developing standards for electronic records format, records preservation and the transfer of records. It was important to select the right format for the transfer of records.

The National Archives of Australia initiated an ERMS system based on the framework through the introduction of AS4390 Australian standard: Records Management software applications (McKemmish, Acland, Ward and Reed 2015:8). The system was able to do the following:

- “ Identification of records;
- Authentication of records;
- Maintain records content, structure and context;
- Capabilities to access, use and dispose of records;
- Tracking and documenting the history of recordkeeping events;
- Identification of authorized users; and
- Interoperability in a networked environment”.

Universities need to develop Records Management policies in line with the ARM programme framework (Iwhiwhu 2005:354). The review of the literature showed that most of the developed countries appointed archivists and Records Manager at a higher level. The study conducted by Bowker and Villamizar (2016:66) showed that, in Canada, the University of Ottawa appointed a dean to champion the ARM programme throughout the University. The appointment of a dean as the champion

of the ARM programme at the University contributed to the development of Records Management policy; ARM training and awareness were initiated; regular, systematic disposal of records was conducted; and the university council allocated resources to build purpose-built archives.

2.1.2.3.2 Archives and Records Management programme level at developing countries

“The review of pieces of the literature showed that the ARM programme was not part of the corporate strategy of most of the African universities such as the Moi University in Kenya” (Erima and Wamukoya 2012:34), university administrators in Nigeria (Atulomah 2011). The fact that the ARM programme was not part of the university strategy implied that there was no Records Management policy and strategy to provide a guideline on the management of records, lack of systematic disposal of records to identify records with historical, cultural and scientific value, there was no systematic disposal of records that was conducted. Furthermore, this implied that the organisation cannot plan to migrate from a paper-based environment to Electronic Records Management. The incorporation of an ARM strategy to a university’s strategy would contribute to the allocation of resources (i.e., human, finance and technology) to implement the strategy.

“It was apparent that a lack of relevant integrated ARM strategies was a risk for universities in developing countries” (Van Wyk and Du Toit 2016:109). “Lack of ARM guidelines cited as the cause of ARM problem universities such as the Moi University in Kenya” (Erima and Wamukoya 2012:31). According to Vehkalahti (2016:434), even “the universities with guidelines and policies, such strategic documents were not implemented”. This implied that ARM programmes were not valued or managed properly in most of the universities in developing countries. The researcher is of the view that for the ARM programme to be taken seriously by an organisation should be regarded as the strategic. Hence, ARM programme at universities needs to be managed at a higher level of university echelon and in such a way that the institutional repository can be recognised and incorporated into a university’s governance process.

African countries ARM programme are at the low maturity level because of the ineffective legislation to drive the development and implementation of ARM programme (Okeahalam 2004:366). For example, in Ghana, political and legal governance on corporate governance include an inadequate legal framework to control the risk within an organisation. Most of the African universities overlook the alignment of an ARM with business processes as a result of the lack of staff with knowledge on Electronic Records Management and business process management (Egwunyenga 2009:110). There was evidence of poor Records Management at universities in Western Africa as confirmed by research conducted by Wamukoya and Mutula (2005:69). Furthermore, there were incompetent staff, inadequate Archives and Records Management infrastructure, absence of strategic plans, low awareness, and accountability, lack of coordination in records, absence of legislation, policies and recordkeeping procedures, allocation of a limited budget, the poor security and confidentiality control, lack of records retention and disposal (Philip 2013:93).

The review of the literature showed a pattern of inadequate ARM systems among developing countries. The pattern, according to Kalusopa and Porogo (2017:6), was owing to the ineffective of ARM legislation; absence of ARM standards; technological obsolescence; insufficient knowledge, skills, training and a lack of awareness on ARM. "Most of the legislations enacted in most of the developing countries did not include an element of Electronic Records Management" (Wamukoya and Mutula 2005:75). Similarly, Netshakhuma (2019b:215) indicated that the National Archives of South Africa were not playing their part to introduce ARM programme to universities. This negligence of lack of specific legislation governing ARM programme leads to a lack of standards, practices and procedures for Records Management. An inability to determine appropriate information and communication technologies to develop sound ARM programmes was experienced by most of the organisation.

A Records Management policy requires the institution executive management to be accountable to the ARM programme. The study conducted by Ngulube and Tafor (2006:58) indicated that "weak institutional capacity, absence of comprehensive Records Management policies, guidelines and standards were causes of ARM underdevelopment in Southern Africa. Within some university environments in Eastern

Africa, no policies were governing the ARM programme” (Mutula 2014:370; and Erima and Wamukoya 2012:37). This is made worse by the lack of enabling legislation governing ARM programme. Furthermore, the shift from paper-based records to the electronic environment filing posed a risk to determine authentic and reliable records.

“A Records Management policy is the cornerstone of the establishment of the ARM programme” (Crockett 2016:99). Nevertheless, the development of Records Management policy was a challenge also experienced by universities from developed countries. “Most universities from developing countries do not have adequate ARM controls for major activities of their Archives and Records Management programs” (Frank 2013:230). The study conducted by Erima and Wamukoya (2012:37) at the University of Moi in Kenya found “an absence of an ARM policy to guide Records Management activities, and lack of adequate trained Records Management staff and security of information”. Based on the weaknesses of ARM programme at Kenya, the study recommends the University to initiate a Records Management programme as part of the university strategy. It appears that most of the universities developed the ARM programme after the audit findings on poor ARM programme.

Likewise, a study conducted by Manewe Sisa, Mnjama and Mooko (2016:163) found that “Records Management policy was not followed by the Botswana Ministry of Labour and Home Affairs, which led to non-compliance with legislation”. The fact that a Records Management policy was not followed by institutions implied that there was a lack of implementation of records from creation until the disposal of records. “A Records Management policy viewed as a governance framework of all universities” (Muchaonyerwa and Khayundi 2014:44). The development of Records Management policy in some of the universities in Africa was similar to some of the institutions from developed countries such as the USA and the United Kingdom, where there was lack of established Records Management policy. The research conducted by Hansen (2015:16) indicated that “Records Management policy was absent at the Illinois State University of the United States of America”.

“Efforts were made to establish the ARM framework to control an Electronic Records Management System within the Southern Africa Development Communities (SADC)”

(Wamukoya and Mutula 2005:73; and Kanyengo 2016). These countries were signatories to the ICT protocol whose purpose was to improve and broaden access to ICT to improve socio-economic development. The similar initiatives included the World Links Program to train students to use information communication technology to improve teaching in South Africa, Mozambique, Botswana, Zimbabwe, Tanzania and Swaziland. However, these initiatives were undertaken without the consideration of embedding business processes into ARM processes.

“Despite the existence of regulatory framework such as Botswana National Archives Act Of 1978, amended in 2007, there was a risk that most of the ARM policies exclude Electronic Records Management elements” (Kalusopa and Porogo 2017:7; and Netshakhuma 2019b:229). This was confirmed by the InterPARES Trust project that took place in 2016 around the rollout of enterprise-wide systems to manage digital records in the public sector. According to Kalusopà and Porogo (2017:09), issues relating to poor ARM remain a concern in most of Southern Africa institutions. Furthermore, Dewah and Makhumalo (2017:17) indicate that “there was a shortage of staff with ARM qualifications, unreliable records, incomplete records and poor storage facilities at the Tlokweng Land board”.

The significance of integrating ARM framework resources for their optimal utilisation in universities recognised in the literature. In Kenya, Erima and Wamukoya (2012:01) recommended that “the Records Management model implemented at the Moi University adopted by other universities in the country to enable the alignment of Records Management programme with business processes to ensure that records were preserved and accessible”. Their research was limited in scope as they only focused on Records Management programmes within the university and did not include archives management programmes. This study covers all aspects of ARM programme.

In Zimbabwe, a study conducted by Sigauke, Nengomasha and Chabikwa (2016:24) on the email management as “a form of an electronic record in state universities recommended an integrated framework to manage emails as electronic records”. However, their framework was limited to the management of emails as electronic

records. The inclusion of archives as part of an integrated ARM programme was not addressed.

2.1.2.3.2.1 Archives and Records Management training

“ARM training was key to the implementation of the universities' ARM programme. The reviewed literature indicated that several universities experienced a lack of qualified personnel to conduct ARM training” (Ambika and Amrik 2005:11). Similarly, Beagrie (2003) indicated that “ARM training and awareness were not conducted by most universities in Southern Africa such as the University of Stellenbosch”. A case study conducted by Ovbiagele, Mgbonyebi and Veronica the Polytechnic Office Technology Management Graduates in South-South Nigeria found a lack of competencies of staff to conduct ERMS training. “Instead of the universities facilitating ARM training, they depend on external service providers to conduct training and awareness”. Studies conducted by Manewe-Sisa, Mnjama and Mooko (2016:159) and Abdulrahman (2015:54) found that “there was a lack of awareness and training on ARM in most of the Southern African institutions”. Besides that, there was some Africa institution who never conducted ARM training, there were some institutions that initiated ARM orientation programme to guide their staff on ARM programmes such as the Botswana Ministry of Labour and Home Affairs. The national archives guidelines can be used to train records creators and users. The research conducted by Segaletsho (2014:179) at the University of Botswana found that “staff were not trained on ARM. Hence, ARM training was key in updating knowledge and skills in the ARM programme” (Muchaonyerwa and Khayundi 2014:45). Lack of trained Records Managers and archivists led to the lack of compliance with legislation governing ARM and the effectiveness of the organisation.

“There was an indication that there was inadequate ARM education to address the shortage of skills in ARM” (Katu 2009:136). A survey descriptive research conducted by Popoola (2007) in Nigerian Federal universities found that staff requires motivation from executive management of the university to perform ARM activities. Furthermore, the professional associations such as the South Africa Society of Archivists on the ARM programme were not helpful in the development of the curriculum. Katu argued

that “organisations are to allocate resources to assist with the implementation of ARM programme”.

Furthermore, Katuu (2009:140) argued that “the ARM education offered in Africa was not comprehensively reviewed”. “This has a negative implication on the implementation of an ARM programme in the universities” (Bowker and Villamizar 2017:65). “There is a need for archivists and Records Managers to attend formal and accredited ARM training for a recognition” (Frank 2013:294). Institutional Records Managers and archivists can be expected to develop and conduct Records Management training programs for others for all employees.

2.1.2.3.2.2 Archives and Records Management infrastructure

ARM infrastructure includes elements such as Electronic Records Management Systems. The review of the literature showed that most of the African institutions such as the University of KwaZulu Natal in South Africa have not yet adopted the Electronic Records Management System to enable them to meet technical and university infrastructure to enable the control of records throughout the organisation (Muchaonyerwa and Khayundi 2014:45). The study conducted by Huvila (2008:26) alluded that “the inclusion of ARM infrastructure contributes to the long term preservation of records and archives”.

The study conducted by Christian (2008:3) indicated that “developing countries such as Zimbabwe and Botswana were faced with insufficient information and communication technology infrastructure to embrace Electronic Records Management system”. It seems that ICT infrastructure was affected by the high temperature that occurred in most of the sub-Saharan Africa. The study conducted by Segaletsho (2014:176) found that the University of Botswana had inappropriate storage conditions caused by high fluctuations in temperatures and relative humidity. This implied that special storage facilities for digital records were lacking to preserve archival records.

Nevertheless, in the developed countries such as the USA, the Illinois State University experience a risk of lack of space, poor environment condition to keep archives, and heat and humidity problems to store records and archives to preserve their records.

The lack of space and infrastructure caused a significant inconvenience to researchers desiring to use the archives. This had led to the loss of institutional memory.

2.1.2.3.2.3 Archives and Records Management executive support

The executive management support through the allocation of resources (finance, human resource and information technology) is essential for effective implementation of ARM programme (Franks 2013:199). The literature reviewed recognised that “resource allocation was essential to conduct ARM activities such as Records Management training, disposal of records and appraisal of records” (Erima and Wamukoya 2012:32). The study conducted by Ambika and Amrik (2005:12) indicated that “executive management may support all project of ARM programme. The executive management should be involved in communicating the university goals and plans and in motivating and rewarding the employees towards the adoption and implementation of an ARM programme”. A commitment of executive management was essential for the integration of ARM to be initiated, completed and maintained within a university.

The study conducted by Frank (2013:33) stated, “Justification of the support of ARM programme needs to be supported by the executive management”. The Executive Management provision requires the involvement of the Records Manager to present a business case during the university management meeting about the importance of the ARM programme. “For example, the University of Moi in Kenya Records Manager and archivists had not prioritised the capacity building on Records Management” (Erima and Wamukoya 2012:05). The less prioritisation of the ARM programme by the executive management led to the non-development of ARM strategy throughout the records life-cycle. Hence, the establishment of the ARM programmes in the developed countries was priorities, for example, the establishment of the ARM programme was initiated by the Vice-chancellor of the University of Illinois State University (Hansen 2015:32). This implied that the university management allocated resources to develop the ARM programme.

The study conducted by Ambika and Amrik (2005:11) stated that “most of the failure of the ARM programme in Africa was caused by limited financial resources”. “For

example, the inadequate financial resources limit the implementation of ARM programme at Moi University (Erima and Wamukoya 2012:31)". ARM functions such as disposal of records, the appointment of Records Officers, training were not conducted. This statement alluded to MacNeil and Eastwood (2017:151) who indicated that "the ARM programme requires comprehensive budget sources to ensure its sustainability". Similarly, Crockett (2016:83) indicated that "the executive management to prioritise the allocation of resources to the ARM programme to conduct activities such as training, systematic disposal of records, appraisal of records".

The study conducted by Ngulube and Tafor (2006:63) indicated "allocation of resources had a bearing on the ability of universities to procure electronic records management system to implement ARM programme". Similarly, the developed countries experienced the risk of limited resources on their ARM programme, implementation of ARM systematic disposal of records, training and development. According to Hansen (2015:78), "ARM funding has historically been a problem for many United States of America university archives such as Illinois State University Archives". It appeared that executive management recognised other division to allocate resources such as library department.

Most of the developed countries assigned resources on the implementation of the ARM programme. "The literature review indicated that the Australian National Archives allocated resources on the implementation of the ARM programme" (Asogwa 2012:205). This is contrary to the developing countries where limited resources were allocated to the ARM programme.

2.1.2.3.2.4 Access and security

Security and access to records are an element of the ARM program. Studies conducted by Ambika and Amrik (2005:12); and Hansen (2015:72) state that "safeguarding records from theft, damage and destruction is a concern for archivists and Records Managers". A quantitative survey method conducted at Sunyani Technical University found lack of access and security control in university. Organisations are to develop guidelines on access and security of information

(Crockett 2016:65). The guideline should make a provision to protect records from fire, water, insects and rodents, proper environmental conditions and theft. Access to some of the records should be authorised to specific users.

Most of the developed countries such as the United States of America through their ARM professional association developed standards for access and security of records. The American Society of Archivists (SAA) developed a standard for access and security of information. The standard provides a guideline on fire protection, information security and Electronic Records Management. “The literature review indicated that most archives at Illinois University were housed in the basement; something which was not in line with ISO 15489” (Hansen 2015:72). At the University of Illinois, there was a lack of environmental control to preserve records. On a positive note, at Illinois University, there were surveillance cameras in the reading room and at the entrance of the department to monitor the movement of records by users. Doors into rooms wherein archives and records were preserved were always locked to ensure limited access to records with historical values. Control access for records was the order of the archive.

The study conducted by Muchaonyerwa and Khayundi (2014:47) stated that “most of the African organisations lack a guideline on security and access of information”. This implied a possible bridge on accessing personal and confidential information. There was a need to develop a security management policy to manage access and security of information. The study conducted by Chinyemba and Ngulube (2005:41) alluded that “access and information security identified as a risk, which led to the failure of capturing and preservation of records in Eastern and Southern African universities”. The study by Chinyemba and Ngulube found a lack of storage or space to access records in most of the African countries. Research conducted by Muchaonyerwa and Khayundi (2014:47) at the Office of the Premier of the Eastern Cape, South Africa found that “there was limited space to store records in most of the organisation in South Africa”.

The provision of access to information in the archives depends on the availability of a finding aid. The research conducted by Hansen (2015:24) showed that “there was

lack of access to information at the University of Illinois State University Archives to create a finding aid this led to the loss of institutional memory preserved by the University". There was no standardisation of the collected archives to enhance access.

2.1.2.3.2.5 Establishment of Archives and Records Management division

The implementation of the ARM programme depends on the establishment of the dedicated divisions, department and unit. The ARM division, department or unit was to be established, placed high and visible in the organisational structure. The research conducted by Wagner (1999:108) on ARM professional membership association of America recommended "ARM departments of universities be highly placed, visible and accessible". Abdurrahman (2015:48) alluded that "ARM programme should occupy a strategic position to control records life-cycle throughout the organisation". "The placing of the ARM division at a low level within the organisational structure contributed to the lack of control of the records life-cycle throughout" (Hans 2015:59). Nevertheless, the ARM programme at the University of Illinois was under the Vice President of Business Affairs (Hansen 2015:59). ARM programme from developed countries was recognised as the strategy of their universities compared to universities in South Africa. The study conducted by Ngoepe and Ngulube (2014:142) found that "the majority of organisations ARM structure in South African did not exist".

A librarian, instead of archivists and Records Manager, heads the ARM division (Hansen 2015:17). For example, the University of Illinois State's University Archives Unit lacks to comply with the ARM programme because its departments were headed by a librarian. "The established ARM division is to be supported by appointing qualified personnel". "The appointment of staff with skills and knowledge of ARM led to compliance with legislation and effectiveness" (Ngulube and Tafor 2006:63).

Some universities appointed Records Manager or archivist without appropriate qualifications. "For example, Nigerian universities appointed Records Managers without prejudgment to the principle of Records Management" (Iwhiwhu 2005:351). "At the University of Moi in Kenya, Records Officers employed were lowly placed in their organisational structure" (Erima and Wamukoya 2012:31). Quantitative and

qualitative research conducted by Nyathi and Dewah (2018) at the National University of Science and Technology in Zimbabwe found that Records Managers were not appointed due to a lack of financial resources. To improve unskilled Records Managers and archivists, there is a need of the above-mentioned universities to conduct capacity building. However, the review of the literature shows that continuous professional development is not conducted by these universities. Ngulube and Tafor (2016:64) allude to this statement, who indicated that “continuing professional development in Africa is not done properly in Africa”. This was contrary to the developed countries where Records Managers were appointed at a higher level and continuous professional development on a Records Management Programme (Millar 2010:84).

2.1.2.3.2.6 Records retention and disposal of records

Records retention and disposal of records is a process conducted to destroy ephemeral records after identification of records with historical, cultural and scientific significance. The study conducted by Frank (2013:264); and Brown (2014:34) stated that “the record retention is defined as the process of evaluating records to determine their retention based on administrative, legal and fiscal requirements and historical value”. “The most prominent records retention approaches employed since then have been articulated by university archivists in Europe or North America” (Brown 2014:35). The institutional rationales within which archivists have functioned included administrative, public and documentary records were selected for the records protection. This implies that records were selected to be preserved in the archives based on administrative, fiscal and legal needs of the institutions that created records to promote institutional transparent and accountability. The research was necessary to support of scholarly and other types of secondary use of archives. Records were selected because of their key role in the preservation and utilisation of records as key instruments that can be employed. “Records were appraised through records retention schedules and a life-cycle model” (Brown 2014:35).

“Records retention is viewed as the element of managing records through the process of records life-cycle” (Ngulube and Tafor 2006:67). Similarly, Hansen (2015:54); and Ngulube and Tafor (2006:67) stated that “a retention schedule determines which

records contain historical or legal value to be retained, how long the records must be retained and their disposition”. “A retention schedule is essential at the universities to protect vital records; retaining records of value and historical interest and limiting filing equipment and space to preserve active records because of the following reasons” (Iwhiwhu, 2005:35).

The national archives provide guidelines on retention of records irrespective of the type of records such as email. Developed countries such as the United States of America through NARA developed an approach email framework known as the Capstone approach to retain records with archival value. “NARA published the Managing Government Records Directives in 2012, demanding all government email to be managed per the NARA directives” (Redgrave, Puay and Bulander 2014:36). The Capstone approach was a standardised ARM framework to manage all email records in the United States of America. “The USA felt the need for government records to be appraised to determine the value of records. The Capstone approach recommends managing email records from the creation stage with current technology” (Anderson, Eaton and Schwartz 2015:07). The capstone approach includes retaining all email records accounts of the executive management of the government institutions.

According to Jason (2017:5), capstone approach should compose of the following:

- “Selecting email of the high government officials;
- Schedule of the email of the prominent government officials. belonging to selected officials as permanent; and
- Schedule all middle management as records with temporary value”.

The categorisation of an email allows NASA to systematic dispose of records through the determination of the value of records and its retention schedule asset.

“The study conducted by Vehkalahti (2016:437) indicated that “the disposal of records was essential to universities because it saves resources and protects vital records”. The disposal of records should be conducted systematically after the full Records Life”

Cycle. The study conducted by Dingwall (2010:143) indicated that “the implementation of retention and disposal schedules described as imposing the records life-cycle model on records by establishing definite periods for what happens”. The retention schedule developed by an institution would be used to dispose of records. Systematic disposal of records will lead to the preservation of records with social, cultural, scientific and historical significance.

The review of pieces of the literature shows that most of the institutions in Southern Africa never conducted the disposal of records, which leads to the lack of control of records through the life cycle of records. There was a lack of a standardised framework to dispose of records. This statement is alluded to by the research conducted by Ngulube and Tafor (2006:75) who indicated that “a framework to determine the disposal of records in the Eastern and Southern Africa Region of the International Council on Archives (ESARBICA) region was not available”. The fact that there was a lack of an ARM framework to retain and dispose of records led to a situation of the lack of systematic control of records. These findings were contrary to the developed countries, where there was systematic disposal of records at their universities. Research conducted by Hansen (2015:64) stated that “the Illinois University regularly disposes of inactive records, which ensured that records with archival value were permanently preserved”. The legislation was utilised to dispose of records with archival value. In the case of the United States of America universities, the Federal Records Act of 1950 was adopted as the statutory guideline to dispose of records.

2.1.2.3.2.7 File Plan

“A File Plan is a process followed by an organisation to group records into retrieval units” (Frank, 2013:69). “Records classification was determined by a File Plan that was simple, intuitive and reflected the work that the records arise and support” (Crockett 2016:45). A File Plan development is to be structured to determine the retention schedule of records, to improve access to records and determination of records with historical, cultural, and scientific and research value. This implied that a File Plan is structured according to the reference number, description of the functions and retention schedule. According to the Department of Arts and Culture (2007:15),

“a File Plan in South Africa provides intellectual control overall records of a university. Most of the national archives in Africa provide a guideline on the development of File Plans”. “However, the review of the literature shows that most of the institutions in South Africa were not utilising the national legislation as a guideline to develop a File Plan” (Netshakhuma 2019b:215). The fact that most of the organisations were not guided by national standards to develop a File Plan implied that there would be a lack of control of records.

2.1.2.3.2.8 Risk Management

“Risk Management is the process of assessment of risk within the institution that has an impact on the success of the organisation” (Ferguson-Boucher and Convery 2011:233). According to Erima and Wamukoya (2014:24), the key risks faced by the university on ARM are as follows:

- ❖ “Compliance with regulations and legislation;
- ❖ Lack of a Records Management policy;
- ❖ Management support to the ARM programme;
- ❖ Limited resources (human, Resources and Information Communication Technology) to implement ARM programme;
- ❖ Access to information;
- ❖ Management of electronic records; and
- ❖ Lack of systematic disposal of records”.

There are strategic risks that arise from the fundamental decisions that the university council took concerning university objectives. A university council decides on the risk elements that impact the university’s functions. Most of the records created by the universities that implied strategic risk include commercial records. The commercial records are records about trade and commercial issues such as banks. According to Brown (2014:3), “universities are to keep the evidence of property and insurance”. However, other organisations ensured that commercial records, trade records, geological and mining research were protected in terms of the national legislation (Asogwa and Ezema 2017:333). “Records Managers and archivists considered the value of commercial records when providing access to archives” (Masanes 2006:142; and Harries 2012:113).

The study conducted by Vehkalahti (2016:438) indicated that “the archives and records management programme was to provide information for decision-making to prevent strategic risk on decision making by universities”. This implied that universities are to establish an ARM programme to document council decisions. Section 14 of the Higher Education Act, No.107 of 1997 requires universities to preserve council decisions. Nevertheless, many South African universities lack ARM programme to preserve archives as the result of the absence of the purpose-built archives. This statement alluded to Jones and O’Neil (2014:114) who indicated “that a lack of archives repository implied that the council records were not located in the archives”.

Operational risks are risks that affect an organization's ability to execute its strategic plan. The study conducted by Paterson (2015:115) indicated that “archives and records management programme is an integral part of the university strategic management”. Activities operated within the universities that require the keeping of records include the following: Student services, academic staff administration, research, library services, facilities management, marketing, community engagement and management information.

The study conducted by Ngoepe and Ngulube (2014:148) indicated that “the university financial records management considered inadequate because most of the financial officers were not trained on ARM programme”. The fact that Financial Officers were not trained on the ARM programme implied that they would not manage records according to the guidelines governing the ARM programme such as adhering to the principle of retention of financial records, implementation of systematic disposal of records and access to information.

“Most of the ARM divisions, departments or units in South Africa did not form part of an audit committee” (Netshakhuma, 2019a:64). “The risk related to mismanagement of records were identified by the external auditors during auditing processes in Southern Africa” (Brendan 2013:805). Furthermore, most of the finance departments within an institution's financial business processes were not aligned with the ARM processes to respond to audit queries. For example, developing countries such as

Jamaica also experienced a lack of ARM in their banking system and a weak regulatory framework. “The lack of Records Management audit contributed to the collapse of Jamaica’s commercial banks as the result of a lack of business processes integration to ARM processes” (Cox and Wallace 2002:268).

“The study conducted in Jamaica found a lack of ARM programme that contributed to the weakness of the bank’s system of accountability and control” (Cox and Wallace 2002:217). Hence, a good basis for the ARM programme for accountability was essential to maintain internal control. Weak leadership in Jamaica coupled with a weak internal audit function in the failed banks as reasons that even performance standards were not documented and preserved. Problem with the communication and management of policies, procedures and directives were linked to the fact of the lack of enterprise business processes integration to ARM processes. “Furthermore, there was no dedicated department responsible for the ARM programme to control records from creation until the disposal of records” (Cox and Wallace 2002:272).

The review of the literature shows that most of the organisations fail to consider an ARM programme during a transition from paper-based records to Electronic Records Management. The study conducted by Feng and Pan (2016:125) indicated that “a shift from paper-based records to digital records transformed the ARM programme”. This implied that electronic management in the electronic environment requires infrastructure. Most of the business processes were not linked to the ARM process, which led to a lack of adoption of Electronic Records Management System (Feng and Pan 2016:125). The study conducted by Ferguson-Boucher (2011:229) indicated that “staff was to be familiar with the element of the Electronic Records Management System to ensure information security, protection of data, information retrieval and systematic disposal of records”.

The study conducted by Frank (2013:239) indicated that risk associated with records stored in the Electronic Records Management System include the following:

- ❖ “Security and privacy of information;
- ❖ Users access to information;
- ❖ Compliance with the legislation; and

❖ Completeness and authentic records”.

Organisations were to adhere to Records Management standards to manage Electronic Records Management Systems. According to Frank (2013:151), “the standard to manage Electronic Records Management information is DOD 5015.02.STD was published by the United States of America Department of Defence (USA-DOD)”. The standard offered a mandatory baseline of Electronic Records Management functional requirements such as developing a File Plan according to the Records Management principles, Electronic Records Management System should be able to conduct audit trail, retrieval of information and systematic disposal of records. “DOD 5015.02-Records TD requires the managing of records in physical as well as electronic formats. The most risk was to acquire a Records Management system that works with existing and planned business systems” (Frank 2013:154). However, the risk during the development of the Electronic Records Management System was the identification of the functional provenance of records. The provenance included data content and structure. “This was also a risk even in the developed countries; research” conducted by Hansen (2015:80) indicated that the University of Illinois archives lag behind in implementing Electronic Records Management as a result of the lack of adoption of the Records Management standard, which contributed to the loss of institutional memories. This implied that the university was not complying with the Society of America of Archivist (SAA) standards for adequate archives.

The review of the literature showed that most of the Records Managers and archivists in Africa were not trained in Electronic Records Management. This statement has alluded to Asogwa (2012:202) who indicated that “most of the Records Managers in Africa were not fully trained on basic Electronic Records Management concepts such as digitisation”. “This implied that in Africa, most Records Managers or archivists lack the fundamental skills to manage electronic records. Most of the universities in Africa such as the University of Johannesburg in South Africa embarked on a project to digitise their business process to provide access to various stakeholders” (Netshakhuma 2019a:68). However, most of the digitisation projects in Africa failed because of a lack of a framework to manage ERMS. It appeared that most of the universities adopted ERMS without the development of ARM strategies.

The research conducted by Asogwa (2012:199) indicated that the “introduction of Information Communication Technology into the development of ARM programme compounded this situation and made an electronic record-keeping practice in many African countries failed”. Marutha and Ngulube (2012:39); and Asogwa, (2013) concur that the implementation of Electronic Records Management appears to be a challenge in the institution because most of the staff lack the skills to manage electronic records. This statement was supported by Abdurrahman (2015:53) who indicated that “research conducted at Nigerian universities such as Universities in North Central Nigeria, and they were not yet implemented electronic records management either because of lack of capacity, skills and knowledge”. This review of literature implied that staffs were to be trained on Electronic Records Management Systems, systems design to manage records effectively.

Most of the organisations in Africa adopted Electronic Records Management without integrated ARM strategies (MacNeil and Eastwood 2017:153). For example, a case study by Odhiambo (2019) “assessed digital archives management in the United States through the application of records continuum theory at the International University -Africa found ineffective ERMS”. Most of the ERMS does not preserve records for the long term therefore there was a need to migrate records from one system to another to preserve electronic records. “The technological obsolete was further increased by environmental conditions in Sub- Saharan Africa as the results of high temperature which slow the functioning of computers” (Asogwa 2012:205). Deterioration of a digital media led to the inaccessibility of digital information in Africa (Asogwa 2012:206). It appeared that most records were lost in Africa because of media deteriorates after migration from paper-based filing to Electronic Records Management filing. Changes in information and computer systems require migration of records, which leads to information to remain accessible over time. This transition from paper-based to Electronic Records Management affects the reliability and authenticity of information preserved by the organisation.

It appeared that most of the African institutions implemented Electronic Records Management Systems without a full investigation of electronic infrastructure

(Netshakhuma 2019d: 23). The survey conducted by Abuzawayda, Yusof and Aziz (2013) at “the institution of higher learning in Libya adopted the Records Continuum model theory after they found a poor state of Electronic Records Management. Most of the ICT systems introduced by most of the African institutions were developed without alignment with the organisation strategy”. This means that most of the organisations create large and complex databases without investigation of the ICT system aligned to the ARM programme. The implementation of the Electronic Records Management System without assessment of the system posed a risk of losing institutional memory. This statement is supported by the case study by Bilgirimana, Jagero and Chizemba (2015) at Africa University, Mutare, in Zimbabwe, which found “a lack of maintenance of Electronic Records Management System”. “However, Electronic Records Management was an essential element for the ARM framework to improve business governance in South Africa” (Marutha and Ngulube 2012:41). Similarly, developed countries such as Australia and the United Kingdom initiated a project to develop standards and guidelines on the ARM programme. Countries such as Australia and the United Kingdom initiated a project to develop standards and guidelines on the ARM programme. “The Australian National Archives developed guidelines on keeping records of electronic communications and transactions using online authentication and encryption processes and technologies” (Swan, Cunningham and Robertson 2002:82).

2.1.2.3.3 Archives and Records Management programme maturity level in South Africa

South Africa public institutions are required to comply with the national legislation, standards govern Records Management such as the NARSSA act, PAIA and ISO 15489. “To improve compliance with legislation governing the ARM programme, universities were required to develop the ARM framework to guide the implementation of ARM programmes” (Ngoepe and Ngulube 2014:142). According to Muchaonyerwa and Khayundi (2014:42), “[t]he National Archives and Records Service of South Africa has endorsed the South African National Standards (SANS) 15489 and SANS 15801 which prescribed trustworthiness and reliability of electronic records management”. SANS 23081 requires metadata for records embedded in the ERMS system. This means that public institution such as South African universities is to develop policies,

strategies, procedures and processes to guide the Records Management in line with the above-mentioned legislation and standards.

The review of the literature showed that most of the South African organisations adopted a decentralised filing system. “The decentralisation of the ARM programme led to the establishment of the Office register that contributed to the decongestion of office, lack of appraisal of records and systematic disposal of records” (Ngoepe and Saurombe 2016). There was a lack of Records Management champions to coordinate ARM’s various units and departments as a result of the development of unofficial registries (Ngoepe 2008). The researcher was of the view that centralised ARM was essential to control records throughout the organisation. “Centralisation of records is essential, especially when the organisation intends to adopt Electronic Records Management System to manage all records throughout the records lifecycle” (Netshakhuma 2019b).

The study conducted by Ferguson-Boucher and Convery (2011:232) indicated that “building a risk control-based cyberinfrastructure facilitates the digital transformation on the provision of ARM in a university”. The development of a Risk Management strategy was essential to assess the impact associated with the ARM programme. The study conducted by Xiaomi et al., (2017:27) indicated that a risk control mechanism is used to protect business security, privacy and confidentiality when the university community requests non-disclosure information according to university rules.

The review of the literature showed that the establishment of the ARM programme enables the integration of ARM processes with business processes. The study conducted by Erima and Wamukoya (2012:34); and Xiaomi, Bai, Sun, Zhong and Dong (2017:29) indicated that “partnerships of departments, divisions and units were conducted to strengthen the ARM programme”. “The development and implementation of the ARM programme required the collaboration of the ARM division, legal department and finance department to improve governance, accountability and transparent” (Xiaomi, Bai, Deng, Sun, Zhong and Dong 2017:29). The study conducted by Ferguson–Boucher and Convery (2011:233) alluded that “risk

assessment requires a partnership of various stakeholders such as an ARM department, Risk Management Department and Compliance Office”. Netshakhuma (2019a) concur that “most of South Africa universities lack partnership with internal departments such as Information Communication Technology, legal department and compliance departments”. Chinyemba (2011) alluded that the Records Management programme at the University of KwaZulu Natal in South Africa was not integrated with the business process. A qualitative study conducted by Phiri and Tough (2017) conducted at WITS found “ineffective records and archives management programme. The lack of business process integration contributed to the lack of systematic disposal of records that led to the loss of institutional memories”.

ARM programme weakness in South Africa exposed during the auditing process (Janse Van Rensburg and Coetzee, 2015:11). The study conducted by Ngoepe (2014:147) in South Africa public institutions found that “universities were characterised by poor internal controls, incomplete and inaccurate records that leads to unclean audit results”. Most of the institutions failed to comply with the Public Finance Management Act, No. 1 of 1999. The act requires a public institution to preserve financial records. The study conducted by Ambika and Amrik (2005:14) suggested that “audits conducted in universities must be secure and reliable and covered all ARM management systems”.

The study conducted by Iwhiwhu (2005:353) indicated that “most of the Africa universities lack an archives infrastructure to preserve records”. A case study conducted by Matlala (2019) on digital management at the University of KwaZulu-Natal “through a qualitative research design found a lack of policy framework to manage ERMS”. Quantitative and qualitative research conducted by Garaba (2017) at the University of KwaZulu-Natal (UKZN) found “a lack of strategy to manage university records”. The assessment conducted by Netshakhuma (2019e:23) found that “the University of Mpumalanga preserved archives in a wooden cabinet and shelves, this is despite recommendations by NARSSA to preserve archives in steel cabinets”. For the sustainable preservation of records, institutions were recommended to adopt an Electronic Records Management System. The study conducted by Bowker and Villamizar (2017:58) indicated that “most of the organisations lack the

ARM strategy to migrate from paper-based records to the Electronic Records Management System”. “An effective ARM programme requires the construction of purpose-built archives facilities to prevent the state of poor Records Management” (Iwhiwhu 2005:353).

2.1.2.4 Enterprise Information Management Business Process alignment to the Archives and Records Management process

“Universities’ Enterprise Information Management Business Process functions include administration, teaching and learning, research and engagement that supports social development and economic wellbeing of the communities”. The study conducted by Iwhiwhu (2005:346) indicated that “Universities should develop the ARM framework to integrate their process for ARM processes with their business process. Records served as the enabler to achieve university objectives”. The pillars of university functions are based on the ARM programme that integrates with business processes with ARM processes. “This is because the purpose of a university is to build research and education” (Wessels and Jaarsveldt 2007:108). According to Chinyemba and Ngulube (2005:10), “the core function of universities is teaching and learning, research, engagement and partnerships and administration”. Carrying out the functions of universities creates, analyses and develops records that provide evidence that the university is carrying out its statutory functions in term of Higher Education Act, No. 107 of 1997. Singh and Ramutsheli (2016:177) indicated that “alignment of ARM was essential to support research, engagement and partnership of the universities functions”.

2.1.2.4.1 University Administration

“The role of the administration is to support education, teaching and learning of universities, research, engagements and partnerships” (Adham et al. 2015:523). “The functions of administrations can be verified against the objectives of universities.” The study conducted by Iwhiwhu (2005:347) indicated that “universities' records constitute an appliance of administration without which operational processes and functions cannot be executed”. A qualitative study conducted by Otu, Bempah and Ohene (2014) applied “Records Life Cycle Model to assess the state of governance at Koforidua Polytechnic and found a lack of processes and procedures to manage

student records in Ghana.” “University ARM framework integrated into Enterprise Information Management Business Processes” (Leveille and Timms 2015:179). University processes such as admissions, registration and registration create records essential for the effective functioning of institutions. This statement is alluded to by Nwaomah (2015:16) who argued that “universities’ business processes create records of administrative nature, historical, financial and evidential value”. Paterson (2005:126) emphasized “a need for an integration of enterprise business processes into the ARM process. The incorporation of the ARM framework encompasses the creation and integration of records from the sources of division, sharing of such records to various divisions”.

“Records are created and used by the university council to improve governance (Abdulrahman 2015:48; and Atulomah 2011:48). Collins (2014:42) alluded that good governance was central to improve the ARM programme. In South Africa, there was a lack of universities to comply with the national legislations such as NARSSA act and POPIA to improve governance (Freda 2014:42).

To address the risk of governance in African universities, a Pan African Institute of University Governance (PAIUG) was launched in 2009 to improve governance of university systems and establish expert assessments leadership and organisational effectiveness were components that contributed to the increased efficiency, significance and quality of education (Collins 2014:46). The components included structure within the universities, inclusive of the university council, which is responsible for the effectiveness and efficiency of universities. Despite these leadership structures, South African universities experienced a poor, inefficient, and highly bureaucratic management system (Collins 2014:47). It appears that the university management did not consider the ARM programme as a component of strategic importance despite the council govern in the broad public interest of South African society. The council is responsible for developing an institutional strategy.

In South Africa, universities established various committees to improve governance under the university council. The committees were established by the Council to assist the university management to carry out its functions. The committees established

were, namely: executive, governance, finance and Investment, audit, risk and IT Governance, human resources, strategy, facilities planning and Infrastructure. The university council is responsible for overall governance matters guided by the Higher Education Act, No. 101 of 2007 and stature (CHE 2007:15). The university council is required in terms of the Higher Education Act, No. 101 of 2007 to preserve accounting records and is responsible for the content and integrity of the annual financial statements and related information. The university council is responsible for governance, accountability of the institutions.

A study conducted by De La Rey (2015:5) indicated that “ARM is an integral component of institutional strategy with considerations being how the institutions can best serve with public good imperatives priorities”. For accountability, it was the council's responsibility to require reports from council sub-committees, the senate and the institutional forum and the University Management. The system of reporting regulations was designed to enhance accountability.

Universities must adhere to external and internal environments such as legislation and ARM standards affecting their business processes (Millar 2010:51). South African universities are to comply with all government legislations such as PAIA, NARSSA, POPIA to implement and develop ARM programme. Archivists and Records Managers are required to improve e compliance with all legislations associated with the university ARM programme. Integrated ARM requires a need to redress the imbalances in the focus between information technology and information management. This means that the ARM programme is integrated into the ARM programme. The initiatives include the New Partnership for African Development (NEPAD), the ICT broadband Infrastructure Network, the Bandwidth consortium, the World Digital Library and the African virtual universities (Teferra 2008:130). These initiatives contributed to the universities to adopt Records Management Systems.

ICT is of central importance within universities in all disciplines and holds the potential for advancing learning and development. ICT provided opportunities for effective partnerships (Collins 2014:52). This statement is alluded to by Ferguson–Boucher and Convery (2011:231) who indicated that ARM strategies were successful when is

aligned with wider organizational initiatives of legal, structural, system and operational levels. Improvements in organisational performance are attained through aligning Records Management planning and institutional planning (Paterson 2005:116). Similarly, Van Wyk and Du Toit (2016:112) indicated that Records Management policy and procedures documents should be aligned with universities to improve organisation performance. The effectiveness, efficiency, flexibility and sufficiently of the solutions within the university require proper planning and review stages of the operational process. The effectiveness, efficiency, flexibility and sufficiently can be achieved through strategically harnessing the capacity of Information Systems to shape and enable critical university processes. The integration of the ARM process and strategic organisational capacity was emphasised by universities.

2.1.2.4.2 Teaching and Learning

It is the function of universities to disseminate information through teaching and learning. Universities are providers of education to equip communities with information and knowledge (Wessels and Jaarveldt 2007:109; and Collins 2014:55). This statement alluded to Adham et al., (2015: 516) who indicated “universities are to establish education toolkit through teaching and learning”. Archives serve as an enabler to support the provision of educational materials for teaching and learning. The survey conducted by McFarland (2005) at Unites State College and University archives found that enable archivist to preserve educational materials. The study conducted by Velescu (2013:277) indicated “teaching requires the development of authentic records to serve as a toolkit during teaching and learning.”

The researcher is of the view that the ARM programme can play a role in developing informed and educated nations and in empowering people. The study conducted by Ford (2015:8) indicated “archives provide information about social exclusion and ensuring social justice”. Through education, communities can read and learn about their rights using archives. Literature reviews indicated that universities paid little attention to the preservation of archives to serve as educational material (MacNeil and Eastwood 2017:357). Most of the universities from the developed countries utilised archives as part of the education toolkit during school teaching and learning. At the University of British Columbia, the University of Toronto and the University of

California, Los Angeles and Simmons College, archives supplemented educational materials for teaching and learning (MacNeil and Eastwood 2017:359). This implied that some of the lecturers and archivists design educational toolkit of a course, such as a history and architectural science used archives as a method of teaching.

The review of literature in Africa found that the ARM programme is not yet in the maturity level stage to design an educational toolkit. The study conducted by Erima and Wamukoya (2012) found that the Moyo University in Kenya lack of established ARM programme to design an educational toolkit for teaching and learning. The study conducted by Netshakhuma (2019e:25) found a lack of partnership between communities surrounding universities in South Africa and universities to offer educational materials. Hence, the establishment of the ARM programme is the pillar of the educational toolkits for teaching and learning. The study conducted by Netshakhuma (2019c:649) indicated that there is a lack of partnership among the National Department of Basic Education, the Department of Higher Education, Science and Technology; and the Department of Arts and Culture, to offer lifelong teaching and learning using archives.

2.1.2.4.3 Research

Studies conducted by Chirikov (2013:457) and Iwhiwhu (2005:346) indicated that “universities collect and analyse records during the process of research”. Abdulrahman (2015:48); Delaney and De Jong (2015:85); and Brown (2014:128) concurred that records are primary sources of information of research that serves as a legal copyright depository produced by societies. Similarly, Brown (2014:123) indicates that research conducted in various communities need to be preserved in the archives. This implied that universities are to establish purpose-built archives to preserve researched archives.

In the United States of America, at the University of Ottawa, records were collected and analysed during research conducted by the local, national and international researchers were preserved in the university archives (Bowker and Villamizar 2016:305). This was contrary to the research conducted in most of the South African universities, such as the University of Johannesburg lack a framework to preserve

research conducted by communities (Rodrigues, Van der Walt and Ngulube 2014:95; and Allen 2017:10).

The study conducted by Chirikov (2013:457) indicated that “universities are repositories of records generated through research”. Information is disseminated to various stakeholders through research. The study conducted by Iwhiwhu (2005:346) stated that “records are created, analysed and disseminated during research processes”. Abdulrahman (2015:48) and Brown (2014:128) indicated that records are primary sources of information for research that served as a legal copyright depository produced by societies. University archives played a societal role as a collector of social and cultural record research (Delaney and De Jong 2015:85). Similarly, Brown (2014:123) indicates that communities’ archives need to be researched and preserved in the archives. The long-term preservation of records requires universities to construct a purpose-built repository to preserve archives. According to Rodrigues, Van der Walt and Ngulube (2014:95); and Allen (2017:10), the implementation of ARM contributed to the sharing of expertise in the ARM programme. At the University of Ottawa, there was the production of knowledge and information increased because of the establishment of the archives repository as the central place of preserving the research (Bowker and Villamizar 2016:305).

2.1.2.4.4 Engagements and partnerships

Universities partnerships with stakeholders dealing with ARM to improve compliance and its effectiveness ((Leresche 2008:09; Bowker and Villamizar 2016:305; Sobczak 2015:231; and Leveille and Timms 2015:172). Stakeholders interested in the ARM programme include auditing, community, national and international organisations enforcing compliance with legislation governing the ARM programme. Wagner (1999:121) Bowker and Villamizar (2016:61); and William (2015:369) hypothesised that universities can embark on partnerships internationally, nationally and community level to improve compliance with the legislation governing the ARM programme. Within an organisation, a partnership can be established among ICT, Legal Practitioners, Finance Managers, Compliance Officers to improve the state of the ARM programme, preservation of archives, promotion and marketing of ARM programme (McIntosh 2011:150; McIntosh 2011:150; and Allen 2017:10). ARM stakeholders

provide advisory role on aspects related to auditing, adhering to ARM standards on disposal of records, appraisal, and aligned ARM programme with Enterprise Information Management Business Processes (Allen 2017:13; and Bowker and Villamizar 2016:305).

International partnerships of universities and international archives institutions increased the level of compliance with legislation and international standards governing the ARM programme (Mcleod and Hare 2010:4; and Crockett 2016:15). An international organisation such as the International Council on Archives (ICA) developed standards and guidelines on the ARM programme. For example, ICA collaborated with the International Federation of Library Association (IFLA) to establish standards to describe archives and library collection (Leresche 2008:8). The National Archives of Canada cooperated with ICA to establish a working group of archivists who were familiar with descriptive theory and practice on the development of international standards. This partnership led to the development of General International Standard Archival Description (ISAD), International Standard Archival Authority Records – Corporate Bodies, Persons, and Families (ISAAR), International Standard Description of Function (ISDF); and International Standard Description of Institutions with Archival holdings (ISIDIAH) as indicated by Gueguen, Fonseca, Pitti and Grimouard (2013:569).

The IFLA Study Group on Functional Requirements for Bibliographic Records (FRBR) developed a conceptual framework for bibliographic description. This study group employed ER Conceptual modelling techniques to develop a model to describe archives. The International Council of Museums (ICOM) International Committee for Documentation (CIDOC) developed a conceptual model to describe museum objects. The Conceptual Reference Model (CRM) focused on collecting museum objects, it encompassing archives, library and museum access. “This collaboration was influenced by a lack of conceptual framework on the ARM programme to guide how the standards were envisioned to work together to form a complete description” (Gueguen, Fonseca, Pitti and Grimouard 2013:571).

“The ICA and International Records Management Trust (IRMT) developed ARM educational toolkit to assist universities in establishing the ARM programme. The ARM curriculum of most African universities such as the University of South Africa (UNISA) based on the standards developed by IRMT” (Katu 2009). The educational toolkit developed by the IRMT assist organisational to align their ARM programme with the organisation objectives, conducting an appraisal of records, the implementation of disposal of records, training and development of staff on records. According to Stefani and Blessinger (2018:180), the Model University in Australia collaborated with institutions from the Far East, Europe, Latin America, South America, Middle East and South Asia to assist in the development of archives curriculum. The International Records Management Trust designed the archival materials with the view to assist developing countries such as Africa countries of archives program. Furthermore, the Auditor General in the Australian government plays an essential role in getting Australian government agencies took the ARM programme very seriously by ensuring that they develop ARM programme aligned to enterprise business information management (Cunningham 2015:538).

The review of the literature indicated that most of the international collaboration initiated by universities from developed countries such as the United States of America, the United Kingdom and Australia. In Africa, lack of ARM programme partnership was raised in the Africa Forum in October 2003 in Cape Town during a meeting of the minister responsible for the ARM Portfolio programme in East and Southern Africa (Wamukoya and Mutula 2005:69). The meeting resolved to coordinate the ARM programme within the frameworks of the African Union and New Partnership for Africa’s Development (NEPAD) to promote the culture, heritage and human dignity of the Africa peoples (Wamukoya and Mutula 2005:69). The researcher was of the view that partnership and collaboration would contribute to promoting transparent, accountability and good governance for the betterment of the continent.

There was an absence of partnership of South African universities compared with universities from developed countries universities such as the USA, and Australia. There is a limitation concerning partnerships by most of the South African universities. The study conducted by Chinyemba and Ngulube (2005) indicated a lack of

partnerships of South African universities such as the University of KwaZulu-Natal with international organisations such as ICA concerning the ARM programme.

The Universities collaborated with communities to enhance the ARM programme, to promote local community records, research and engagement. Stefani and Bessinger (2018:173); Netshakhuma (2019c:639); and Millar (2010:22) indicated that “archives served as a collective memory of the University Community”. Archives repositories play a role in safeguarding university archival resources as societal memories (Xiaomi, Bai, Deng, Sun and Zhong 2017:21). The community engagements tend to represent an underrepresented group of people in society (William 2015:370; MacNeil and Eastwood 2017:43; and Rodrigues, Van der Walt and Ngulube 2014:99). Projects were initiated to collect and preserve community archives from developed countries. These community project often form a historical association or other interest groups. Universities identify themselves with the community organisation (Brown 2014:153).

The study conducted by Hansen (2015:12) indicated that the University of Illinois archives collected community archives to increase their collection regarding the following:

- ❖ The suffragette movement;
- ❖ Immigrant from England;
- ❖ Bloomington/Normal women’s clubs;
- ❖ United States of America senators;
- ❖ The league of Women Voters;
- ❖ The Peace Coalition of Southern Illinois;
- ❖ The Carbondale Foundation for a better environment; and
- ❖ Political papers of local, regional, state and national significance.

The University agreed with the various community to utilise the university repositories to preserve community archives (Hansen 2015:50). These community archives were part of the Illinois Regional Archives Depository System (IRAD). These included the collection of organisations such as the following:

- ❖ “the Council of Planning Librarians;
- ❖ The Art Libraries of North America;

- ❖ The National Council of Teachers of English;
- ❖ The American Society of Cybernetics;
- ❖ Local and state collections such as the Cahokia Mounds Collection,
- ❖ Champaign County Greenways; and
- ❖ Trails Committee Records”.

The community collection was essential as part of the university collection to increase its image and raise awareness on the importance of archival collection (Hansen, 2015:36; and Delaney and De Jong 2015:87). Partnership to develop advanced technical infrastructures enabled long-term retention of higher technical quality content is necessary.

The literature reviewed showed collaboration between universities and communities such as the Keele University preserving the Wedgwood Collection, Churchill College Archives Centre House the Winston Churchill’s paper (Shepherd 2009:135). The Model University in Australia collaborated with the Aboriginal communities to preserve the Aboriginal indigenous knowledge (Stefani and Blessinger 2018:178). The initiative led to the establishment of the Aboriginal Educational Program. According to Browker and Villamizar (2016:302), the model led to the establishment of community archives intending to build community relations and University strategies are to align with community strategies.

It appeared that most of the community engagements were initiated by institutions from developed countries (MacNeil and Eastwood 2017:289; and Wagner 1999:112). For example, a partnership between the American Indian Science and Engineering Society (AISES) and researchers from the University of New Mexico (UNM) and the North-Western University (NU) to preserve scientific archives was initiated. The partnership contributed to the development of a Records Management database aligned with the ISO 15489. Scientists from various universities were able to share scientific records available in the database.

A partnership between the ARM division and other internal university divisions, departments and units is viewed as a form of buy-in by the researcher. ARM

programme required a partnership between the ARM division and other internal divisions (Kyobe, Molai and Salie 2009:3). ARM divisions are positioned to partner with other divisions, departments or units themselves (Duranti 2012:15). The internal partnership enabled the control of records. This implied that Records Managers and archivists partnered with the creator of records to improve the ARM programme (Ngoepe and Ngulube 2014:148).

The study conducted by Ngoepe and Ngulube (2014:148) found an absence of a partnership of an ARM division with other internal divisions, departments and units in South Africa, which contributed to the lack of business process integration with ARM processes. Similarly, IRMT (1999); and Cunningham (2015:537) identify a need for a collaboration of departments from other professions to improve accountability, transparent and good governance. Archivists and Records Managers need strong allies such as the Head of the Public Service and the Auditor-General. Studies conducted by Chinyemba and Ngulube (2005) and Netshakhuma (2019c:639) concluded that Records Managers and archivists from most of the universities in South Africa such as the University of KwaZulu-Natal, University of Cape Town and University of Johannesburg worked isolated from other divisions, department and units.

These findings were contrary to international institutions where collaboration exists within Universities' internal divisions, departments or units. For example, the University of Arkansas Archives department partners with various departments such as the library department, Research department, Corporate Supports Service, Communication Department to integrate business processes with ARM processes (Allen 2017:4). University of Ottawa ARM Division partner with the Office of the Registrar, the Office of the Vice-Chancellor and the library Service division to promote the ARM programme (Bowker and Villamizar 2016:302). University of Illinois ARM Division partnered with the Department of Communication Services to promote and disseminate the value of ARM to the University Community (Anderson, Eaton and Schwartz 2015:10). Furthermore, the University of Illinois ARM division partnered with the Library and Research and Innovation Department established a metadata project to promote access to information. Both archives and technical services benefited

through the usage of metadata as most of the records preserved by the institution were accessible (Allen 2017:5). The partnership contributed to the development of ARM guidelines on the ARM programme, development of a digital repository, thesis and dissertation to be managed by the library department (Bower and Villamizar 2016:302).

At the California State University, librarians and archivists collaborated on a digitisation project to promote Electronic Records Management System (Wakimoto and Bruce, 2015:183). The University of Oregon (UO) Folklore Program collaborated with the UO Libraries and Archives Division to improve access to more than 3500 student folklore fieldwork collections (Georgitis 2015:85). The project contributed to improve compliance with the encoded archival description (EAD). EAD is the international standard on a description of archives to promote access to records. Furthermore, the project team developed a metadata scheme for a digital collection based on the Dublin Core Standards (Georgitis 2015:92). The project team evaluated archives to collect metadata required for standards-compliant resource records. The project enabled to improve access to information for research. This was demonstrated by the evidence of several users accessing information. Well, description and defining records enable an increase in the number of access to archives.

The library division at the University of Ottawa partnerships with various faculties and schools (Allen 2017:7). Through the partnership, numerous faculty and school members provided access to research facilities. The partnership established with the Department of Library Service, Corporate and Support Services, Research Department and Officer of the Registrar (Allen 2017:13). The forming of partnerships and the establishment of communication channels between departments created cross-campus workflow. Partnerships between divisions contributed to the university to realise strategic goals to develop an ARM programme. Furthermore, collaboration simplifies the development of ongoing relationships across internal departments. The internal department was part of the university working group as part of the organisation culture.

The University of Ottawa, the ARM division benefited through a partnership with the Central Information Technology by training archivists and Records Officers on ICT skills such as digitisation. The university Central Information Technology Division provides information technologies to provide solutions to the development of the ARM programme. The cross-departmental partnership contributes to Enterprise Information Management Business Processes integration to the ARM process (Bowker and Villamizar 2016:306; and Allen 2017:14).

In England, an informal working group was established between the University of Liverpool archivist, librarians and staff from the Performing Arts and Media Library and librarians from the technical services, to advance the development of Archives and Records Management programme (Bowker and Villamizar 2016:309). The partnership was initiated with the view of identify arts material and select them for archival preservation. “The partnership contributed to the identification and selection of archives. Staff in the Performing Arts and Media Library create the metadata and then work with Technical Services to transform the metadata to MARC library system and load the records into the catalogue” (Allen 2017:09). This implied that university archivists should continue to work with partners across the university to identify records with historical, cultural and scientific significance.

“Implementation of the ARM programme requires a partnership of various universities divisions, departments and units such as Compliance Officer, Office of the Registrar; Communication and Finance Division” (Bowker and Villamizar 2016:305). “The review of the literature showed that the partnership of various divisions, departments and units aligned is the Enterprise Information Management Business Process to Archives and Records Management processes throughout the life-cycle of records” (Allen 2017:10). “The staff was able to integrate business processes into the ARM programme. In most instances, a lack of an integrated approach to managing ARM resulted in the loss of institutional memory, non-compliance with legislation governing the ARM programme”(Hansen 2015:18).

“In South Africa, an initiative to co-ordinate ARM programmes was pursued through a partnership among the NARSSA, the Auditor General of South Africa, the Provincial

Records Management Capacity Building Project, the State Information Agency, the South African Records Management Forum and the Deputy Information Officer's Forum" (Ngoepe 2012:196). The reason for the establishment of the partnership was a result of a continuous negative report finding by the Auditor General of South Africa about poor Records Management among the South African institutions. Yearly, the audit finding was that most of the public institutions were not doing the following:

- ❖ Records Managers were not appointed at a high level by public institutions;
- ❖ Records Managers were not part of the audit committee that means that Records Managers would not advise the department on the financial records;
- ❖ There was a lack of ARM training to train public officials; and
- ❖ There was no systematic disposal of records that was conducted by the department, which contributed to the decongestion of office.

Based on the audit conducted by the Auditor General of South Africa, it appeared that the ARM profession was not viewed as a highly professional field by the South Africa governmental bodies (*Research Focus* 2010: xxxiii). In trying to resolve this challenge, Ngoepe (2014:15) acknowledges "that developing an ARM framework played a significant role in implementing Records Management services of the public services. Hence, Ngoepe (2012:05) "proposed a model that governmental bodies can customise in the implementation of Records Management integrated with business processes. An ARM programme aligned with a business process enhanced governance, transparent and accountability"(Frank 2013:313; and Wamukoya and Mutula 2005:77).

2.1.2.5 Synthesis of the literature

The below diagram summarises previous authors application of the theory, research design presented below in chronological order

Table 2. 1: Theories or Model and Research Design

Authors	Theory or Model
	<p>“Amina (2011),Asogwa and Ezeme (2017), Duranti (2012); Egwunyenga (2009) Erima and Wamukoya (2012), Feng and Pan (2016); Ferguson - Boucher and Convery (2011), Frank (2013), Harries (2012); Kemoni, Ocholla and Le Rox (2018); Kyobe, Molai, and Salie (2009); Leveille and Timms (2015), MacNeil and Eastwood (2017), Maseh and Mutula (2015), Matangira (2016); Matangira, Katjiveri-Tjiuro and lukhelini (2015), Mckemmish (2017), Mcleon and Hare (2010); Muchaonyerwa and Khayandi (2014); Myburgh (2005), Nwaomah(2015); Oliver 2014; Otu , Bempah and Amoako – Ohene (2014), Pereira (2018) Sigauke, Nengomasha, and Chabikwa (2016), Svard (2013); Upward (2000); Van Wyk and Du Toit (2016); Wagner (1999); Wamukoya and Mutula (2005); Xiaomi, Bai, Deng, Sun, Zhong, Dong (2017) (Records Life Cycle). Abuzawayda, Yusof, and Aziz (2013); Matangira, Katjiveri-Tjiuro and Hertha lukhelini (2015), Odhiambo (2019); (Records Continuum theory, DIRKS Model) Allan (2014); Beagri (2013); Brown (2014); Delve, Wilson and Anderson (2015); Duranti (2017); Erima and Wamukoya (2012); Feng and Pan (2016), Foscarini, MacNeil, Mak and Oliver 2016; Frank (2013); Giaretta, Mathes and Bicarregui (2009); Kyobe, Molai, and Salie (2009); Lee (2006); Leresche (2008); Leveille and Timms (2015); Masanes; (2006); McIntosh (2011); McLeod and Hare (2010); McLeod, Sue and Susan (2007); Millar (2010); Ngoepe (2008), Phiri and Tough (2018); Procter (2002); Recker and Schumann (2012); Shepherd (2016); Svard (2013); Swan, Cunningham and Robertson (2002); Wamukoya and Mutula (2005); Youn 2015). (Information Governance Toolkit)”</p>
Authors	Research Design
	<p>“Chinyemba and Ngulube (2005) Safura, Rebecca and Ayisha (2018) (survey), Matangira, Katjiveri-Tjiuro (2015) (Survey method) Ovbiagele, Mgbongebi and Veronica (2019), Poopola (2007) (descriptive survey) Bilgirimana, Jagero, and Chizema (2015), Hight and Smith (2016), Jagero and Chinzema (Case study), Matla, Phiri and Tough (2018) (Qualitative research design with an interpretivist), Pereira (2018) (quantitative), Nwaomah (2015) (survey), Nyathi and Dewah (2018), Garaba (2017) (quantitative and qualitative), Otu, Bempah and Amoako – Ohene (2014) (qualitative), Abuzawayda, Yusof, and Aziz (2013) (quantitative), Odhiambo (2019) (A case study as a form of Mixed Method)”</p>

Analysis of the literature as indicated in Table 2.1 shows that the majority of scholars applied Record Lifecycle and Record Continuum and Information Governance model to conduct research. This means that Record Life Cycle and Record Continuum Model are the most popular theory applied in information science. However, Information Governance model has not been supported by standards or procedures following regulations and standards, especially regarding the principles of retention and disposition of records. Based on the results of the above-mentioned scholars, it was recommended that further research be conducted applying the Record Life cycle and ARMA International Information Governance Maturity Model.

There are limited studies on university records conducted in Southern Africa applying both quantitative and qualitative research approaches. Scholars such as Nyathi and Dewah and Garaba applied the research method in their studies. This means that more research needs to be conducted using quantitative and qualitative research approaches.

2.2 Conclusion

This chapter provided a discussion of the literature in the area of the university ARM programme. A literature review was provided to show how objectives of the study or factors, the literature (archival and otherwise) and related studies are integrated. Since this study focuses on a comparison of the records-keeping practices between the University of Venda and the University of Witwatersrand, the literature available on this topic were reviewed and presented. It seems that little comparative studies research was conducted. The review of related worldwide and local studies indicates that the development of a framework is a concern worldwide. This discovery, therefore, certainly supports the justification and significance of this study, in that there is still more that we need to learn and share to ensure ARM management. The following chapter discusses the research methodology to be applied in this research.

CHAPTER THREE

RESEARCH METHODOLOGY

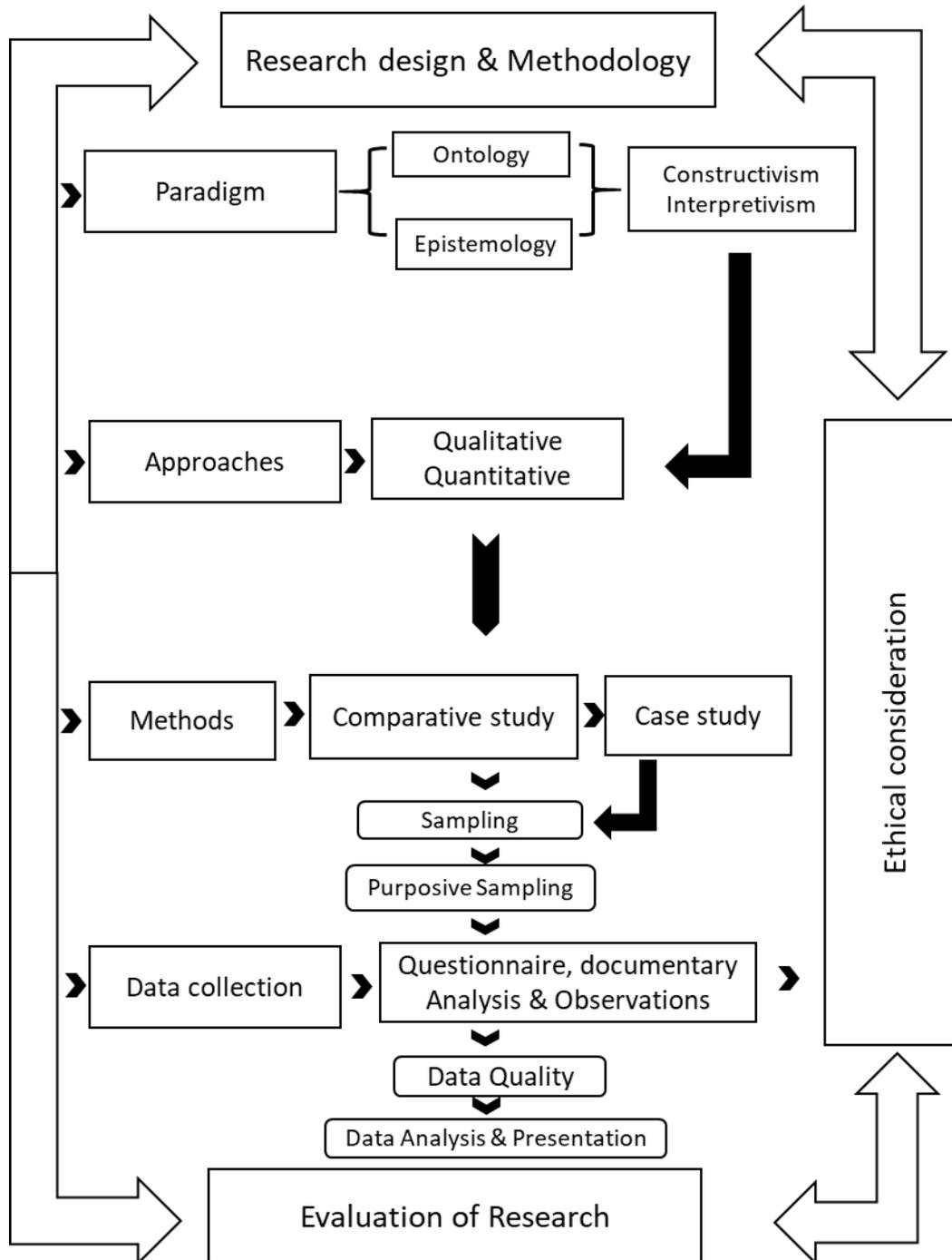
3.1 Introduction

The research methodology is a process the researcher applied to achieve the research objective to find out the outcomes of a research problem. The researcher's approach in this study is qualitative and quantitative through the exploratory use of a comparative case study. The approach of this study is informed by the philosophical assumptions of the shared interpretivism and constructivism. In other words, the research sought to examine, inter alia, to develop an ARM framework to guide the implementation of ARM programmes in South African Universities. Based on the purpose of the study, specific objectives are as follows:

- ❖ To determine the current state of Records Management in the two selected Universities;
- ❖ To assess the level of compliance to statutory requirements of Records Management by the selected universities;
- ❖ Set to evaluate the ARM maturity level in the selected universities;
- ❖ To establish the Enterprise Information Management Business Process alignment to ARM process in the two selected universities; and
- ❖ To propose an integrated ARM framework in the two selected Universities.

Therefore, the decision of qualitative and quantitative approaches started with a choice of the research paradigm that informs the study as illustrated in the below diagram.

Figure 3.1: *Research Design and Methodology Road Map for the Current Study*



Source: Maluleka (2017: 21)

3.2 Research Paradigms

Paradigms are a set of expectations about what constitutes techniques of conducting a study and topics for enquiring into the universities. Research is based on a set of shared assumptions, concepts, values and practices. It is a view of how university ARM should be interpreted. Paradigms are suitable ways of understanding reality, building knowledge and gathering information about the development of the university ARM program. According to Babbie (2014:33); and Tracy (2013:38), “paradigms play a role in information science to understand the function of the organisation”. Given this research, the paradigms should play a function to establish the university business processes such as teaching, learning and research, and community engagement alignment to ARM process.

Paradigm is imperative for the researcher to develop an ARM framework to guide the implementation of Records Management programmes in South African Universities. The purpose of investigating the ARM program within the universities is to develop a framework for the management of the universities’ records.

“There is a link between paradigms and research methods. The procedure for conducting research is based on the paradigm employed by the researcher” (Bailey 2007:53). Various research methods are applicable for different research types such as quantitative, qualitative and mixed methodology. Based on the objectives and questions of this study, the researcher employed the qualitative and quantitative method. The naturalistic perspective that recognizes that understanding the reality of the phenomenon is essential for the reality as possible influences the qualitative research.

According to Defour-Howard (2015:64), qualitative research has the naturalistic inquiry perspective, which includes the following:

- ❖ Naturalistic observation of the whole setting;
- ❖ The overwhelming presence of the researcher on the site;
- ❖ Its emphasis on qualitative data-collection methods;

- ❖ The absence of random sampling;
- ❖ Inductive data analysis;
- ❖ Application of an inductive from data analysis;
- ❖ The emergence of research design;
- ❖ The interpretation of outcomes does not rest on the researcher;
- ❖ Scientific versus Intuitive knowledge; and
- ❖ Social process.

The strength of the qualitative research method is inductive reasoning. Induction reasoning is the process of discussing from the particular to the general phenomenon. Induction is a set of detailed observations to the discovery of a pattern that represents some degree of order in universities. To persuade something is to conclude from particular facts or pieces of evidence (Blumberg, Cooper and Schindler 2011:21). The purpose of the inductive strategy is to examine the study in a natural setting to get the ideas on the records life-cycle throughout the organisation of those being interviewed.

3.2.1 Key Social Science Research Paradigms

Social scientists have developed key paradigms to understand social behavior. These paradigms are structural functionalism, interpretivism, structuralism and constructivism (Babbie and Benaquisto 2010:32). Various research paradigms are discussed in this section. Each of the paradigms offers an altered way of analysing an organisation. Paradigms are advantageous because of the qualitative type of research conducted.

3.2.1.1 *Constructivism*

Constructivism is the view in which the individual mind constructs realism within a systematic association to the outside world. The researcher was interested in the paradigm viewpoint that contributed to gathering rich and textured evidence that point to establish the Enterprise Information Management Business Process alignment to ARM process. Data were collected through a quantitative method. The structured interview was utilised to collect data. Data provided by participants contributed to evaluating the ARM maturity level status.

According to this paradigm viewpoint, respondents are viewed as role players in the researcher's plan to gather data. The participants were active and involved in all the phases of the process and become partners in the research processes. Participants seek to evaluate the ARM maturity level. "There is a link to a belief that social phenomenon and the meaning attributed to them were constructed to those complicated in a situation of records creation until the disposal of records" (Cameron and Price 2009:74). The archives and records meaning were varied and multiple, leading the researcher to look to the complexity of views rather than tightening meaning into ideas ARM programme. Participants play an essential role to influence the course of the ARM process and have a contribution of all steps of the study. The researcher ARM backgrounds shape their interpretation and participants position themselves in the research to acknowledge how their interpretation flows from their personal, cultural and historical experiences (Creswell 2014:8). The participants were involved in choosing and formulating the problem to be studied and in assisting to formulate the measuring instrument and the strategy to be followed in the study.

3.2.1.2 Interpretivism

The interpretive paradigm is anxious with considerate the world as it is from subjective knowledge of the individual.

"It advocates that reality is not certain, however, it is formed or created when the external world interacts with people, the researcher is a member of that which is investigated, research is determined by interests, and common experience can be realised by observing the entirety.

(Bryman and Bell 2014)

It applies inductive reasoning to determine the reality and, according to inductive principles, the methodical inquiry takes place first, and after that, the research pulls conclusions from the interpretations made. "Interpretivism represents a science of understanding from the perspective of those involved in reality" (Goldman 2016:7). The interpretivism paradigm is systematic but it distinguishes methodical ideas differently from positivism because a set of views guides interpretation (Punch and Qancea 2014:18). "The researcher seeks to establish the meaning of a phenomenon from the views of participants" (Creswell 2014:19). "The university presented a better point to study a phenomenon. This social world is accepted to be a human

construction with many attributes that cannot be observed and measured” (Dana and Shaun 2005:79). The interpretive multidimensional list deliberately sets out subjectively to understand these constructs.

Records Managers or archivists need to redefine, reinvent and even reconceive the notion of ARM programme by providing meaning and understanding to stakeholders to comprehend and read business processes and functional purpose of record (Cook 2007:429). The integration of Enterprise Information Management Business Process to ARM processes was essential to understand the records life-cycle. This offers a prospect to propose a framework for the management of archives and records. In so doing, allowed the researcher rationale to explore the integration of Enterprise Information Management Business Process to the ARM process (Cook 2007:439). This research aims to find new interpretations or underlying meanings and adheres to the ontological assumption of multiple realities, which are context-dependent (De Villiers 2005:12).

Interpretivism viewpoint encompasses participants engaged in the process of making sense of organisation and continuously interpret, create, give meaning, define, justify and rationalise activities. An organisation cannot be understood by applying research principles adopted from natural science. According to Blumberg, Cooper and Schindler (2008:17), interpretivism is based on the following principles:

- ❖ That the organisation is constructed and is given meaning subjectively by people;
- ❖ The researcher is part of what is observed; and
- ❖ Research is driven by interest.

“This study applied interpretivism philosophy because it encompasses narrative research. The methodology related to interpretivism is associated with a qualitative approach” (Ngulube 2016). The research used descriptive analysis of data in detail. The research emphasised the conceptions of participants and implies that the research understanding must be based on the experience of those who work in the institutions (Bryman and Bell 2015:17). In this research, the head of divisions, sections were familiar with the functions and activities of the organisation.

An ARM framework was constructed through the development of ideas inducted from the observed and interpreted Enterprise Information Management Business Process alignment to the ARM process. Bailey (2007:53) indicated that research undertaken with an interpretive paradigm in mind focuses on social relationships, mechanisms and processes through which participants in a setting navigate and create social worlds.

The researcher attempted to understand the Enterprise Information Management Business Process and to offer interpretative explanations, which were meaningful for the participants of the research. The researcher gained access to the participants' sense of universities' ARM practices from the record's creation until the disposal stage of records. Interpretivism emphasises the need to understand how participants define situations in which they are involved and the meanings they derive from their experiences (Kuada 2012:77).

The researcher visited the research location with the view to:

- ❖ Determine the current state of Records Management in the two selected Universities;
- ❖ Assess the level of compliance to statutory requirements of Records Management by the selected universities;
- ❖ Set to evaluate the ARM maturity level in the selected universities; and
- ❖ Establish the Enterprise Information Management Business Process alignment to ARM process in the two selected universities.

“The research was interpreted in terms of research Records life-cycle, ARM International Information Governance Model and archives and records literature. Symbolic interactionism is interpreted as a type of social theory that has distinctive epistemological consequences and the hermeneutic-phenomenological tradition (Bryman and Bell 2015:13)”. There were different ways in which participants assign meaning to the creation of a record until the disposal stage. The subjective viewpoints become an instrument to analyse the control of records from the creation stage until the disposal stage. Interpretivism allows archives and records to be viewed differently

by stakeholders due to varying beliefs, understanding, interests, experiences and expectations (Hartz–Karp and Marinova 2017:11).

“The research emphasis was on the exploration of the university communities’ interpreted archives and records concepts. The respondents make sense of their experiences of the creation of records until the disposal of records. The integration of university Enterprise Information Management Business Processes to ARM processes has impacted a constructed understanding of the value of ARM” (Grbich 2013:07). The researcher constructs and imposes an interpretation of ARM were viewed as a limitation during interaction with participants. The archives and records frames are derived from their own experiences, subjectivity and inter-subjectivity.

The interpretive paradigm suggested analysing social activities from the research participants’ standpoint. It was essential to view an organisation from its participants’ views. Interpretivism views knowledge as socially constructed through language and interaction. Societal culture and ideological categories play an essential role in the participants’ connection to the phenomenon under the study.

“The researcher explored why the university staff have different experiences and understanding how differences result in the different construction and meanings people provide to the world (Blumberg, Cooper and Schindler 2008:17)”. “Social phenomena are characterized by complexity and are often unique. The fact that interpretivism research looks at the totality makes it most suitable when the researcher is dealing with research involving a smaller number of respondents and aiming at collecting qualitative data” (Mabika, 2019: 61).

3.2.1.3 Positivism

“Positivism defines as a research paradigm, which is usually used to examine theories or hypotheses in the physical, natural, and social sciences when the research is dealing with samples and is most suitable for quantitative research” (Taylor and Medina 2013). According to Braun, Clarke Gray (2014:21), “positivism also entails a belief that only phenomena that are measured can validly be warranted as knowledge.

The research is conducted to measure and predict empirical phenomena and build tangible and material knowledge” (Tracy, 2013:39).

From the paradigm viewpoint, there is no place of phenomena that cannot be measured. Many accounts of positivism stressed that scientific knowledge is conducted through verified facts. Positivism saw the natural sciences as progressing through the accumulation of facts.

The knowledge is based on the fact produced and created by different people in the organisation. The collection of data is based on the collective objective facts and the social world consists of elements to which it can be reduced. Positivism implies a realist perspective because it assumes that there is an organisation where research can be conducted, independent of how the researcher studies it. “This implies that positivists treat people as collections of attributes and use a questionnaire as a means to tap into who respondents are” (Silverman, 2014:174). The questionnaire designed was guided by the conceptual framework and the literature. “The methodology related to positivism is quantitative “(Creswell and Clark 2011:40). Quantitate research poses questions regarding who, what, when, where, how much, how many and how (DME for Peace, 2017). “Positivism will also be employed in this study because the statistical analysis was used to interpret the data”

3.2.2 Selected research paradigm for the study

Selecting an approach to the research involved adopting a research philosophy and an appropriate methodology. Consideration was taken to allow for a combination of constructivism and interpretivism paradigms. Granting such combinations produce richer insights into the phenomenon (De Vos, Strydom, Fouche and Delport 2017:29). The researcher chooses interpretivism and constructivism as the form of philosophical thinking because data analysis and interpretation were based on the researcher and participants' perspectives. In this study, positivism is the philosophical worldview underpinning the entire process of this study, since the study aims to capture the perceived experience of staff through numerical data, and analysis. The recording of quantities or numbers that can be processed by using statistical techniques and reflect reality.

Although the research is mainly quantitative, there are some qualitative aspects in the form of verbatim which reflects the interpretivism and constructivism nature of the study. Therefore, this study uses both quantitative and qualitative research approaches. Constructivists undertake that people construct their understanding and knowledge of the world through experiencing things and developing the subjective meaning of their experiences while interpretivism informs methodologies about the nature of knowledge. Methodologies prepare ways to be employed by the researchers further instructing them as to where to focus the inquiry and how to recognise and extract knowledge. The study seeks to develop an ARM framework to guide the implementation of Records Management programmes in South African universities. The study is based on the narratives of the phenomenon.

3.2.2.1 Qualitative and quantitative research approach

The research was undertaken within a framework of a qualitative and quantitative approach because of philosophical assumptions of interpretivism and constructivism that seek to interpret and analyse data from researcher and participants' viewpoints. The qualitative and quantitative research approach was chosen in this research because the topic of the research and questions requires the phenomenon of the ARM programme to be explored. Qualitative research was chosen because it gave a researcher a compelling description of the ARM in the university environment.

“Qualitative research generates narrative data. Qualitative research is designed to scientifically explain events, people and matters associated with them” (Fox and Bayat 2012:07). The qualitative researchers tend to analyse data inductively. The qualitative researcher relies on their judgment, experience, history, social contexts and constructions of reality to enhance existing perceptions of university archives and records. The researcher used a variety of methods and perspectives, rather than approaching qualitative research from a single case study. The strength of qualitative research was its ability to analyse and interpret the records lifecycle throughout universities.

The types of qualitative and quantitative research designs were narrative a statistical in nature. This statement is alluded to by Patten and Newhart (2018:165) who

indicated that qualitative research examines a case in detail. The researcher chooses a multiple case study because of its emphasis on the causes of a phenomenon and develops an in-depth analysis of records lifecycle.

3.2.2.2 Comparative Case Studies

The comparative case method is the selection of two cases presenting similar functions. This type of case study is used to describe a research study that uses more than one case to investigate phenomena. A Record Life-Cycle and ARMA International Information Governance Model was applied by the researcher to study one case in-depth, and then successive cases were examined (Miles, Huberman and Saldana 2014:103).

According to Yin (2018:55), “each case was selected to either predict similar results or predict contrasting results to develop an ARM framework to guide the implementation of Records Management programmes in the South African Universities”. In this case, UNIVEN was selected because of its status as a historically disadvantaged university compared with WITS as the historically advantaged university. The selection of instruments for this study signifies a general view of the phenomenon under examination.

The cases were cross-analysed for similarities and differences related to the life-cycle of records. “The researcher compared and contrast the findings deriving from each of the cases. Selection of two cases providing a wider presentation of data than do a single case” (Yin 2012: 131; and Struwig and Stead 2016:6). The study was not meant to suggest prescriptive solutions to general ARM problems but to develop an ARM framework to guide the implementation of Records Management programmes in the South African Universities.

“The study was undertaken to obtain results from both UNIVEN and WITS. It contains an extensive study of several instrumental cases, intended to allow better understanding, insight or improved ability of the control of records creation until the disposal of records” (Berg 2009:326). “Rather than study a single case in all its complexity, the research observes a multiplicity of cases” (Flick 2015:98).

Cases were to be understood in-depth, and its natural setting, recognizing its complexity and its context. This is alluded to by Merriam (2009:51) who said that the rich, thick description and analysis of a phenomenon to devote an understanding is essential. A case study provides a kind of deep understanding of a phenomenon or organisation (Berg 2009:319). The purpose was to analyse the Enterprise Information Management Business Process alignment to ARM processes.

3.3 Population of the Study

Given the size of the population within the selected institutions of higher learning i.e. WITS and UNIVEN, a sample population of the study was detected of administrative staff members who are the custodians of divisions, departments and units' records. It was impossible to study an entire university population because of the limited time to conclude the research. This statement is supported by Beins (2009:108); and Aurini, Heath and Howells (2016) who indicated that "the greater the sample size, the more time and effort would take to complete the research". Choosing a small size provided opportunities for the researcher to collect descriptive depth data (Aurini, Heath and Howells 2016; Fox and Bayt 2012:67; and Merriam 2009:94). There was a limit to this study thus why the researcher selected a limited forty sample for the study. From the population of the study, the sample was selected to participate in this study. Sampling is the process of selecting units of participants from a population of interest so that, by studying the sample, the researcher may transfer the results from the specific case to other cases from the finding of the research (Maxwell 2013:78).

Small staff selected to participate in this research were representative of division, department and unit base on their position, skills and knowledge of records. Studies conducted by Babbie (2016:187); Berg (2009:50); and Hancock and Algozzine (2011:44) argued that appropriation of select a sample based on knowledge of a population to enable to answers questions emanated from the research questions.

Thirty-four (34) heads of business units at both universities agreed to participate in the research. The researcher's reason to include those (Heads of business units) in the study was mainly due to their role in the coordination of specific administrative matters in the various divisions, departments and units. Over and above, they were chosen

due to the strategic positions that enabled them to answer questions relating to the storage, security, appraisal and disposal of records of departmental records. Records Managers and archivists were also selected based on their role and understanding of the university's Records Management function. Purposive sampling is used to identify participants who can help understand the problem and the research question as described by Creswell (2009:59). As indicated in paragraph 1.5., the researcher exercises a degree of judgment to select participants to provide the best perspectives on the phenomenon of interest and invites the participants into the study (Creswell 2005: 203; and Braun, Clarke and Gray 2017). The number of units at these universities were manageable. The total number of respondents targeted for the interview was forty (40). However, 35 agreed to complete questionnaires were indicated in the Table 3.2

Table 3.2 Population of the Study

Division, Department, Units	Positions	Records Generated/Received
Communications and marketing	Director of Communication and Marketing – 1 UNIVEN Director of Communication and Marketing -1 WITS	Stakeholders records, Interdepartmental meeting records, minutes
Human Resource	Human Resource Officer – 1 UNIVEN Human Resource Officer – 2 WITS	Employee records, staff disciplinary records, injuries and duty records, termination and resignation records, recruitment contracts
Financial services	Heads of Division – 1 UNIVEN Head of Division - 1 WITS	Financial records, tender records, minutes and attendance registers, Payment vouchers, invoices, purchase orders
Facilities management	Head of facilities– 1 UNIVEN Deputy Director: Facilities and Infrastructure 1 WITS	Infrastructure records, minutes
Information Communication technology services	Chief Information Officer – 1 UNIVEN Information Officers - 2 WITS	Reports and Minutes, Interdivisional reports
International Relations	Acting Director: International Relations : 1 UNIVEN Acting Director of International Relations – 1 WITS	planning records, Minutes, Reports, Memorandum of understanding records
institutional planning and quality assurance	Quality Officer – 2 UNIVEN Quality Officer – 1 WITS	Institutional planning records,

legal services	Director Legal Service - 1 UNIVEN Acting Director Legal Services - 1 WITS	Contracts, inter-departmental contract
Library services	Librarian – 4 from WITS Library Officer – 1 UNIVEN	Application form, databases forms
Director of research and innovation	Acting Director – 1 UNIVEN Research Officer - - 1 WITS	Research papers, Application of research records,
Dean of student affairs	Acting Dean Student - 1 WITS and 1 UNIVEN	Student Affairs records, Student representative Council records and Student Activities records
Office of the Registrar	Records Manager and Archivist – 3 UNIVEN Records Manager and Archivists : 3 from WITS	Examination results, Timetable records, minutes, reports, Inter and Intra - department records
Grand Total Number of selected study respondents	15 UNIVEN and 19 WITS	

Source: Field data 2019

3.4 Data Collection Instruments

Records life-cycle and ARM International Information Governance Maturity model determine the research instrument used in this research. The purpose of triangulation is to gather data from multiple sources to allow the researcher to gain an understanding of the research under investigation (Braun, Clarke and Gray 2017:37). The philosophy behind the use of multi-data sources was to ensure a holistic picture. It was a strategy to strengthen the research design. According to Yin (2018:130), a lack of multiple sources led to an invaluable advantage of the loss of a case study.

Data were collected through a variety of instruments such as document review and, questionnaire (Yin 2018:12). The selected instruments used for this study were as follows:

- both selected document review ;
- Questionnaire; and
- Observe how staff file university records.

3.4.1 Document Reviews

Document reviews are records such as annual reports, administrative records and minutes of committee meetings (Salkind 2018:173; Braun, Clarke and Gray 2017:502; and Pickard 2013:253). According to Creswell (2005: 220), the following procedures may be used during data collection:

- ❖ The usefulness of records to answer the research question;
- ❖ Authorisation to utilise document review; and
- ❖ Accuracy, completeness and usefulness in answering the research questions.

Documents reviews included university Records Management policies, File Plans, strategic plan and the legislative documents kept by the universities archives were useful for this study

3.4.2 Questionnaire

A questionnaire is a source of qualitative data required to comprehend the phenomenon under the study by gathering data directly from respondents (Kuada, 2012:98). The questionnaire gave the researcher a degree of flexibility and adaptability that is difficult to replicate using other methods (Pickard 2013:196). The questionnaire allows participants to complete relevant question (Cameron and Price 2009:253; and King, Horrock and Brooks 2017:38).

The researcher used both one-on-one interview in structured ways with respondents to complete the questionnaire. One-on-one interviews is a technique in which a researcher visits respondents in a face-to-face setting. This is a data collection process in which the researcher asks questions to and records answers from only one participant in the study at a time (Gorman and Clayton 2005:126). There was a circumstance in selected universities wherein the researcher used a telephone interview. A telephone interview is a process of gathering data in which data are collected over the telephone by an interviewer who asks questions and record response (Fox and Bayat 2012:99). A telephone interview applied in the research participants may be geographically dispersed and unable to visit a central place to be

interviewed (Creswell 2005:216; Braun, Clarke and Gray 2017:405; and DeFour-Howard 2015:134). The respondents completed the questionnaire during 2019.

Structured interviews through the completion of the questionnaire are also in-depth interviews used in this study. The research conducted by Tracy (2013:139) indicated that “structured interviews are interviews allowed to understand a phenomenon under study.” Pickard (2013:199) postulates that “...structured interviews are used to gain a holistic understanding of the business environment processes”. The researcher conducted a structured interview to collect narrative data. Individual interviews contributed data from an individual’s perspective but were time-consuming (Hancock and Algozzine 2011:44). This interview was concerned with closed-ended questions to allow the interviewee to explain the life-cycle of records.

The following is measured when the researcher is conducting structured interviews (Creswell 2005:217).

- ❖ “Identify the interviewees;
- ❖ Take brief notes during the interview;
- ❖ Locate a suitable place to conduct the interview;
- ❖ Obtain consent from the interviewee to participate in the study;
- ❖ Develop a plan for an interview; and
- ❖ Used probes to obtain additional information”.

The transcription processed after the interview was conducted to document information. “Recording of interviews offers data to achieve a full transcription of the interview” (Braun, Clarke and Gray 2014:398; and Pickard 2013:202). “Methods of recording interviews for documentation and analysis included audio recording and note-taking” (Brinkmann and Kvale 2015:205). The researcher recognised the emerging theme during the process of conducting research.

3. 4.3 Observation

“Observation is the instrument used by the researcher in the process of gathering data by observing recordkeeping by divisions, departments and units. Observation provides a thick description of data” (Rule and John 2011:82). The observation was

used as an instrument to collect data to supplement data collected through a questionnaire (Braun, Clarke and Gray 2017; and Creswell 2015:190). “Observation yielded data to complement the questionnaire and document review. All observation involves participation in the organisation being studied” (Denzin and Lincoln 2013:46).

Observing recordkeeping from divisions, departments and units into archives repository. The observation technique provides insight than an actual questionnaire and document review. “The researcher received permission to participate in activities and assuming a role as an observer in the setting” (Bryman 2012). The study conducted by Hancock and Agozzine (2011:51) alluded to a need for the researcher to develop an observation guide to records all processes observed.

“The researcher serves as an observer and attempts to gather data that would reflect a complete record of the observer’s interest” (DeFour-Howard 2015:73). “The researcher plays as an observer of document workflow”. The study conducted by DeFour-Howard (2015:71) indicated that “the observer is involved in the observation of the records”. The participant-observer obtains insights that would miss the notice of a researcher who is observing by other means. Their participation over an extended period becomes an essential instrument of data collection. Observation is much less standardised (Flick 2015:150).

Observation assisted to find evidence and examples for the business processes identified (Flick 2015:150). According to Creswell (2005:212), observation can be conducted in the following manners:

- ❖ “Select a case to be observed;
- ❖ Ease into the site slowly by looking around, getting a general sense of the site and taking limited notes;
- ❖ Identify who or what to observe, when to observe, and how long to observe;
- ❖ Determine the role of an observer;
- ❖ Conduct multiple observations to understand business processes;
- ❖ Design means for recording notes during an observation; and
- ❖ After observing, slowly withdraw from the site”.

“The observation method gave a researcher to understand the setting within which the research was conducted” (Rule and John 2011:84). Field notes based on observation were in a format that allows the researcher to found desired information easily.

3.4.4 Questionnaire with both Open-Ended and Closed Questionnaire

“A questionnaire is a list of themes to be covered in a case study interview to support during the interview process with respondents” (Hartz-Kap and Marinova 2017; Defour-Howard 2015:131; and Bailey 2007:96). A questionnaire was an essential tool in this study because of structured in-depth qualitative interviews. A questionnaire was designed before conducting the interviews to ensure that relevant themes of the research are covered while allowing for any unexpected theme to emerge.

The questionnaire assisted the researcher to formulate open-ended questions that the researcher ask respondents and to gain insights into the study’s fundamental research questions. “In a guided questionnaire, the researcher prepares a basic checklist to ensure that all relevant areas of the theme were covered” (Pickard 2013:200). This type of research allowed the researcher to explore, probe and ask questions relevant to research purposes. The questionnaire was useful to eliciting information about specific topics. A list of theme subheading assists a researcher to gather information in an open and exploratory way. Structured interviews encompass standardisation.

3.5 Data Collection Procedures

Questionnaires were distributed to both selected administrative staff and heads of divisions, departments and units between January to September 2019. Before questionnaire administration, a requisition letter for the study was issued to the respective divisions, departments and units and collected in person during the interviews. The offices were a convenient place to administer the questionnaire because the respondents spent most of their time in them. This type of data collection strategy was good as it allowed the respondents time to fill in the data. The researcher was able to respond to any queries that arose during data collection and there was control over the data collection procedure, which enabled the researcher to receive a 93, 7% response rate.

3.6 Data Analysis

“Data analysis is a process of rational to make interpretations from empirical data. Data interpretation focuses on integrating data to provide a coherent and meaningful understanding of data” (Struwig and Stead 2016:182). Rule and John (2011:89) argued that “data could be analysed through content and narrative. The researcher analysed data through narratives to allow the construction of thick descriptions, to identify themes and to generate explanations”. “The research questions emanated from the research purpose of this study served as a guiding force during the analysis process” (Rule and John 2011:75). “The aim of data analysis is the finding of patterns among the data, patterns that point to understand records throughout” (Babbie 2016:388).

According to Creswell (2005:238); Rule and John (2011:78); Braun, Clarke and Gray (2017:604); De Vos, Strydom, Fouche and Delpont (2017:400); and Yin (2018:199), the following must be considered during data analysis:

- ❖ Avoid misstatements, misinterpretations or fraudulent analysis;
- ❖ Transcribe the data in detail;
- ❖ Review and amend the code;
- ❖ Reconsider the research questions;
- ❖ Similarities and differences of data should be considered to develop a coding scheme;
- ❖ Attended to all the evidence;
- ❖ Examine all plausible rival interpretations; and
- ❖ Get a sense of the data.

The use of the SPSS software for analysing quantitative data was appropriate and relatively helpful content analysis and literature review was used to analyse qualitative data. The researcher identified research patterns such as similarities and differences of contents.

Data analyses identified themes that emerged (Bailey 2007:152). Themes from a study related to the research objectives (Kvale and BrinkMann 2015:241). Thematic analyses were essential when the researcher seeks themes that address research

questions (Bailey 2007:154). “Themes were organised into a form of thematic organisation that shows the objectives of the study and they were essential in developing a thematic structure” (Kings, Horrocks and Brooks 2017:53). Patterning occurred because it was the way the researcher processed information. According to Miles, Huberman and Saldana (2014:86), “pattern-coding lays the basis for cross-cases analysis by developing themes aligned to research purposes and objectives. Data were summarised to identify patterns”.

“Data were analysed through cross-case analysis. A cross-case analysis is an analysis that assembles data from individual case studies” (Miles, Huberman and Saldana 2014:101). “Data obtained from one case were compared and contrasted with those of another case”. According to Yin (2018:198), “the significant requirement of conducting cross-cases synthesis is that the cross-case patterns rely on argumentative interpretation”.

3.7 Quality Criteria for Qualitative and Quantitative Research

Qualitative and quantitative researchers use principles to facilitate the quality of research. “For research to be admirable, it should contain the following characteristics: worthy topics, rich rigor, sincerity, credibility, trustworthiness, transferability, dependability, Confirmability, authenticity and transparent, resonance, significant contribution, ethics, meaningful coherence” (Tracy 2010:15).

Credibility refers to reliability, trustworthiness and articulating a reasonable reality. A case study has recorded the fullness and essence of the case reality to an extent. This is demonstration that the evidence for the results reported is sound and that the argument made, based on the results, is strong. “Trustworthiness promotes values such as transparent and professional ethics in the interest of qualitative research, thus gaining levels of trust within the research community” (Rule and John 2011:107).

Transferability appeared in qualitative research discourse as an alternative for the generalizability of the research. The researcher is to provide a full account of the setting within which the study has been conducted. This study supports the researcher to generalise categories condition related to the study phenomenon. “A researcher

determined whether the research finding reflect true meaning in other contexts to allow for the transferability of the findings rather than a generalisation of the findings” (Pickard 2013:21). Dependability is concerned with how the research was conducted. Research evidence was provided to demonstrate that the methods and techniques were applied correctly by keeping records of all phases of the research process such as problem formulation, selection of research participants, fieldwork notes and interview transcripts.

Conformability is the degree to which others agree or corroborate with the research findings. “The research is based on understanding reality during an investigation” (Kuada 2012:101). The researcher limit investigator bias this means that the findings were based on participants’ responses and not any potential bias to ensure that the results are accepted as the subjective knowledge of the researcher.

Authenticity is appropriate for judging the quality of the study. It is related to the extent to which the investigations are fair. Selected participants and their views point were considered effective in the research. According to King, Horrocks and Brooks (2017:55); and Bless, Smith and Sithole (2016:238), the following elements are essential to determine the value of research.

- ❖ “Keeping an audit trail;
- ❖ Independent coding;
- ❖ Respondent feedback;
- ❖ Thick description;
- ❖ Use of direct quotes from participants;
- ❖ Adequate description of the context;
- ❖ Concurrent data collection and analysis;
- ❖ Triangulation; and
- ❖ Methodological verification”.

Transparent is essential for writing up research and the presentation and dissemination of findings; that is, the need to be explicit, clear, and open about the methods and procedures used. “Transparent requires the researcher to be honest and open about the activities by which the research transpired” (Tracy 2013:234).

“Reliability is an assessment of the quality of the measurement procedure used to collect data in a study. Reliability is a matter of whether a particular technique applied to the same object, yields the same result each time” (Babbie 2016:146).

Babbie and Benaguisto (2010:244) contend that, “no matter how carefully done the design of a data collection instrument was, there was always the possibility of errors.” The Interview schedule questions were pilot-tested. Therefore, pre-testing was essential because the study involved two cases. Pre-testing consists of trying out the interview checklist in a small sample of persons having similar characteristics to those of the target group of respondents. In this study, pre-testing was conducted with the University of Mpumalanga records and archives management committee to determine whether further Interview guide revision was needed and if the respondents clearly understood and were able to answer questions. After the feedback was received from the pilot group, the data collection instruments were revised.

3.8 Ethical Consideration

Ethics is defined as the norms that guide moral choices about researcher behaviour and the relationship with participants. Ethics considerations include privacy, and confidentiality (Berg 2009:5). The researcher ensured that the rights of respondents were protected by following ethical standards during data collection. The research needed to follow an appropriate design. “Research is based on “mutual trust, acceptance, cooperation, promises and well-accepted conventions and expectations between researcher and participants” (De Vos, Strydom, Fouche and Delport 2017:113).

The researcher adhered to the principles of ethical consciousness. The study conducted by Choy and Singh (2015:175) indicated that “ethical practice is important when the researcher conducts Social Science research”. “The research required permission to collect data from a University research committee” (Salkind 2014:42). The University of South Africa (2007:07) developed a “code of ethics for researching all areas. This research adhered to the research per the UNISA’s Research Ethics policy provided procedures on dealing with realities and ensured”. For instance, the

policy outlines the importance of integrity, transparent and accountability. To abide by these principles, the researcher strove to remain unbiased and refrained from manipulating any results given in this study. The policy also reiterates the importance of getting informed consent in writing from the units of analysis. For this reason, the researcher sought permission from UNIVEN and WITS to collect data for this study.

UNISA establish a research committee to provide ethical clearance for the research. The researcher seeks prior approval for the research project from the UNISA Ethics Committee to apply to WITS and UNIVEN to conducting research. The researcher obtained a clearance certificate to research UNIVEN and WITS.

The researcher ensured the principles of honesty in communication; reliability; objectivity; impartiality and independence; openness and accessibility; and fairness in providing references and giving credit. “The ethically appropriate research is informed consent,” according to Curtis and Curtis (2011:15).

The researcher ensured that the following aspects were followed (Yin 2018:88):

- ❖ Obtained informed consent from all participants who may be part of the case study. “The researcher ensured that participants were aware of the following:
 - participating in research
 - Understand the purpose of the research
 - The procedures used during the research
 - Voluntary participation
 - Right to stop the research at any time
 - The procedures used to protect the confidentiality
 - Their rights to have all their questions answered at anytime
 - Other information relevant to their respondents
- ❖ Protecting the privacy and confidentiality of the participants.
- ❖ Selecting participants equitably, so that no participants are unfairly included or excluded from the research”.

During data analysis, the researcher avoided going naïve, disclosing only positive results, respect the privacy of the participants. The study conducted by Creswell

(2014:99) indicated that “the researcher should avoid bias during the research”. The researcher provided a full report of the outcome of the research without violating the rights of individuals.

3.9 Evaluation of Research Methodology

The study conducted by Defour-Howard (2015:80) indicated that “qualitative and quantitative research involves the use and collection of a variety of empirical material”. The researcher is hoping good response to answering the research question. Qualitative and quantitative research is a method to get results from the participants. A comparison of universities was central to this research and involved evaluating the university's phenomena. The researcher is hoping to cover phenomena to develop the university ARM framework.

3.10 Summary of the Chapter

This study employed a combined philosophical viewpoint of interpretivism and constructivism, qualitative and quantitative approach, case study method and use data instrument of a questionnaire, document review and observation to obtain data required to answer the research question. The selection of case study universities required consideration of the nature of the research question, unit of analysis and expected outcomes. Data obtained from the three instruments were coded and analysed. The data were analysed manually. The researcher adhered to research ethics as indicated by the UNISA Research Ethics Policy (UNISA 2007). Lastly, the research methods were evaluated to determine their strengths and weaknesses, and highlighting what could have been done differently to yield better results.

CHAPTER FOUR

PRESENTATION OF DATA

4.1 Introduction

The previous chapter provided the path towards finding answers to research questions by justifying the research methodology. The path guided the scientific inquiry to organise and increase knowledge about the phenomena being studied. This chapter presents the results of the data obtained via questionnaire, document review and observations. According to Creswell (2009:152), data presentation is a key aspect of any research. Data help in drawing conclusions and generalisations of findings to a problem statement.

The research presentation is mainly based on the data from the participants that were presented according to the research objectives, namely:

- ❖ To determine the current state of Records Management in the two selected Universities;
- ❖ To assess the level of compliance to statutory requirements of Records Management by the selected universities;
- ❖ Set to evaluate the ARM maturity level in the selected universities; and
- ❖ To establish the Enterprise Information Management Business Process alignment to ARM process in the two selected universities.

4.2 Response Rate and Respondents

Response rate refers to the number of people who either responded to the questionnaire or participated in the interview schedule. In support of the above statement, Curtis and Cutis (2011:37) argue that the number of respondents in a case study that is recruited purposefully rather than randomly is smaller. In support of the previous scholar, O'Leary (2017:205) further recommended a smaller sample in qualitative research supplemented by quantitative data.

In this study, the original plan was to select 16 respondents from UNIVEN, however, only 15 respondents participated in the study and 19 respondents from WITS. 34 participants for both universities combined participated in the study. It was important

to receive more than 80% response rate to receive more depth information about the ARM program at the selected universities. According to Leedy and Ormrod (2014:26), *case study research depends on the samples that are selected purposefully*. This implies that case studies are characterised by purposive sampling.

35 samples were recruited through email. Attached to the email were informed consent forms for participants to sign if they agreed to be interviewed. Of the 35 participants, 34 returned the consent forms (a 94.7 % response rate). Fifteen (15) respondents were from UNIVEN. It represents a 93% response rate as one respondent did not complete the questionnaire. Nineteen (19) respondents were from WITS. At WITS there was a 19 (100%) response rate as all respondents completed the questionnaire. The respondents provided information to the researcher to answer the research questions (Maxwell 2013:99). The participants were aware of the university business enterprise business processes. The researcher selected UNIVEN and WITS because of the limited time for the researcher to complete the research.

4.2.1 Selecting a case study

The researcher developed selection criteria to choose cases for the study. The purpose of a case study should drive the selection of an appropriate site. According to Rule and John (2011:14), the following were considered during the selection of a case:

- ❖ The purpose of the study;
- ❖ The number of cases to be studied;
- ❖ The accessibility of the site and the availability of data;
- ❖ An exemplary case of the advantages and disadvantages of universities in South Africa; and
- ❖ Contrasting cases.

Both the UNIVEN and WITS were selected because of the following reasons:

- ❖ Historical reasons (UNIVEN represents the category of previously disadvantaged universities while WITS represents previously advantaged universities in South Africa);

- ❖ The geographical location (UNIVEN is located in rural areas, Venda compared to WITS located in the urban area, Witwatersrand, Johannesburg);
- ❖ Racial composition at WITS is multiracial (i.e., Blacks, Whites, Coloured, Indians) students compared to UNIVEN, which has one racial group (viz., Blacks students);
- ❖ Financial status (WITS is assumed that more resources are allocated because of high research outputs compared to UNIVEN); and
- ❖ WITS was chosen because it represented Historically Advantaged Universities. However, the enactment of the Extension of the University Education Act in 1959, thereby enforcing the university to embrace the Bantu Education Act, No. 47 of 1953, which required the university to limit the number of Black students' admissions.

The selected respondents were heads of various departments and divisions within the selected universities. However, in the field, a total of 34 (93 %) participants from both universities who agreed to the respondent in the interview processes, completed consent forms for permission to be interviewed. In line with O'Leary (2017:205), the interviews were audio-recorded to support data analysis. In the case of 38 respondents, a response rate of 34 (94 %) is considered adequate for successful research. In support of the above argument, Curtis and Cutis (2011:37) indicated that there is no set formula to determine sample size.

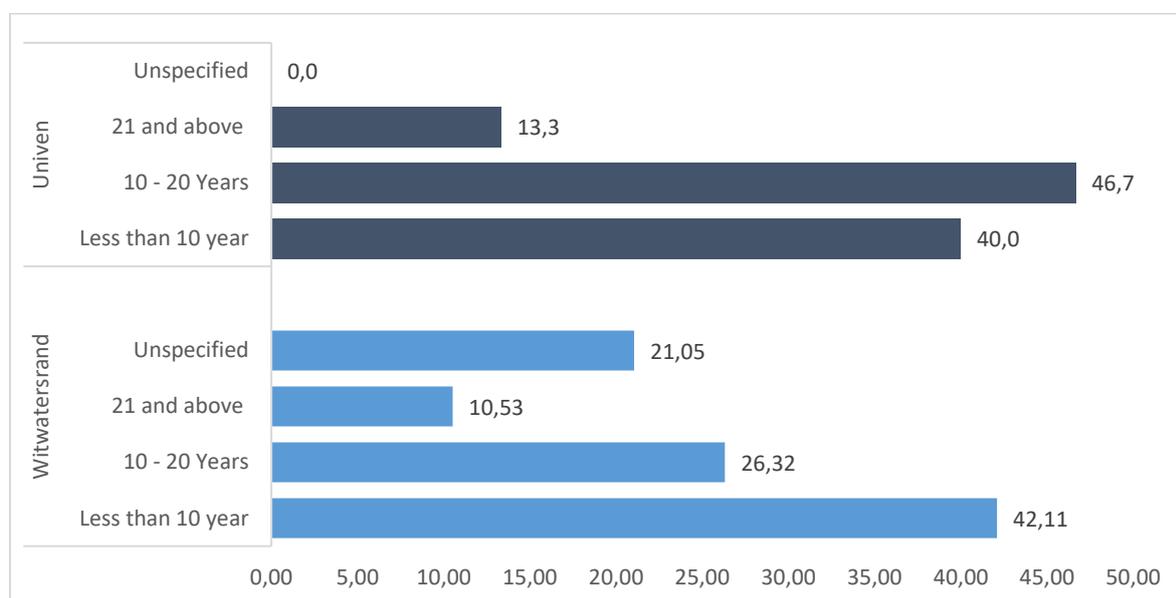
Based on the above context, there were no hard rules about the number of participants the researcher should study. The sample was limited to the characteristics of participants, types of data the researcher will collect and modes of analysis relevant to the substantive interests of the study (Babbie and Benaquisto 2010:187).

4.3 Respondents' Profile

In this study, respondents' profile as outlined in figure 1 below, relates to the number of experiences and qualifications of the selected respondents. A total number of 34 (93,7 %) respondents from both selected universities participated in the research interviews. As indicated in figure 1 below, the majority of the respondents from both

universities have more than 10 years' experience in management. As compared to WITS with 2 (10,53%) participants with Ph.D., UNIVEN had only 1 (6,7%) participant in this regard. Apart from a Ph.D. as the highest qualification of the participants, both selected universities had participants with a Bachelor of Law degree. Furthermore, UNIVEN had 2 (13,3%) participants with ARM qualifications, while WITS had only 1 (5,3%) participant in this regard.

Figure 4.1 Respondents' years of employment experience



Source Field data 2019

Although the majority of respondents obtained academic qualifications and general managerial experience, it was evident that their qualifications and experience were less related to Archives and Records Management. As a result, most of the respondents were not familiar with Archives and Records Management best practices. In contrast, respondents' levels of education and their experiences had not improved their department or division's Archives and Records Management practices.

4.4 Data Presentation

In this study, results were presented through graphs, thick descriptions and cross-analysis. The results were presented according to the research objectives of the

study. The study aimed to compare the records-keeping practices between the University of Venda and the University of Witwatersrand with the view of recommending best practices.

Based on the above main research objective, the researcher arrived at the following specific objectives:

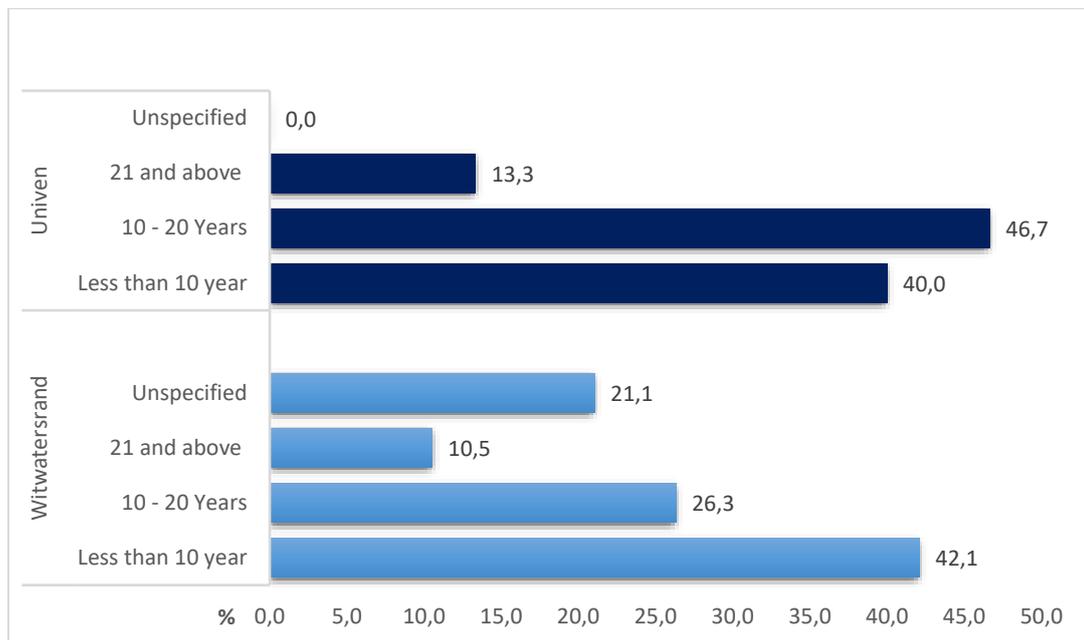
- ❖ To determine the current state of Records Management in the two selected universities;
- ❖ To assess the level of compliance to statutory requirements of Records Management by the selected universities;
- ❖ Set to evaluate the ARM maturity level in the selected universities; and
- ❖ To establish the Enterprise Information Management Business Process alignment to ARM process in the two selected universities.

4.4.1 State of Archives and Records Management

Standardization is fundamental for the management of records to set out the minimum level of compliance for the university. Standards establish requirements for the effective ARM programme. As demonstrated in Figure 4.2 below, selected institutions were assessed on the adoption of ARM standards. As compared with UNIVEN whereby 7 (46,7%) of the respondents indicated that their institution had never adopted any ARM standards, 10 (52,6%) of the respondents at WITS stated that ARM standards such as ISO 15489 and ISO 9001 were adopted. The reasons for UNIVEN not adopting the standards were highlighted by participants as follows:

- ❖ “University community confronts technology barriers (e.g., software and format incompatibilities)”; and
- ❖ “There were no mechanisms in place to manage university records generated in electronic format”.

Figure 4.2: Implementation of Archives and Records Management standards at universities



Source: Field data 2019

Based on the above results, there is a need to ensure that universities' functions are supported by ARM standards. Importantly, the ARM standards assist universities to align their ARM functions with the international best practices. Standards are the result of a codification of best practice, and as such, provide guidance and a road map of implementing tried and tested methodologies and approaches. This is particularly relevant to the South African universities as it provides institutions with opportunities to benchmark on the best practices.

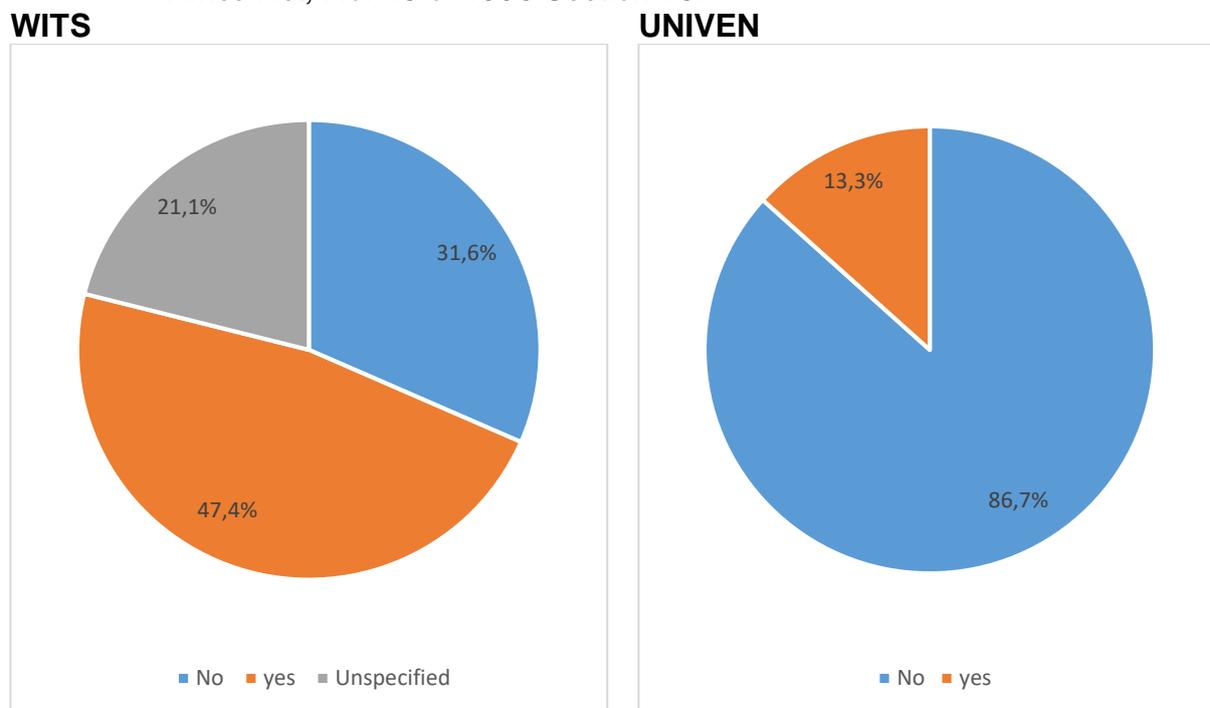
4.4.2. Compliance to legislation governing Archives and Records Management

Irrespective of the organisation, ARM is heavily regulated by various statutory obligations. The researcher assessed the level of ARM compliance about the following legislations such as National Archives and Records Service of South Africa Act, No. 43 of 1996 (NARSSA ACT) Section 13, Promotion of Access to Information Act, No. 4 of 2013 (PAIA) Section 14, Promotion of Administrative Justice Act, No. 3 of 2000 (PAJA) Section 3. Protection of Personal Information Act, No. 4 of 2013 (POPIA) Section 5 and Electronic Communication and Transaction Act, No. 25 of 2015 (ECTA). Section 27.

4.4.2.1 National Archives and Records Service of South Africa Act, No.43 of 1996 section 13

The purpose of this legislation is to provide for the management and care of the records in the custody of governmental bodies. As demonstrated in figures 4.3 below, the study focused on section 13 of the Act whereby both universities were assessed in terms of their level of compliance with Section 13 of the legislation. The researcher tested compliance with section 13 (2) by requesting and assessing the Records Classification System (File Plan). Through the researcher's observation, it was discovered that the WITS File Plan was outdated while at UNIVEN it is non-existence. During interviews with participants, it became evident that the adoption of a File Plan was a challenge for both universities mainly because most staff preferred filing records alphabetically according to the name of the creator as opposed to the university's functions. As compared to UNIVEN whereby 13 (86.7%) of the participants indicated non-compliance with section 13(2) (b) of the Act, 9 (47.4%) of the participants at WITS stated that their institution complies.

Figures 4. 3 Compliance with the National Archives and Records Service of South Africa Act, No. 43 of 1996 Section 13.



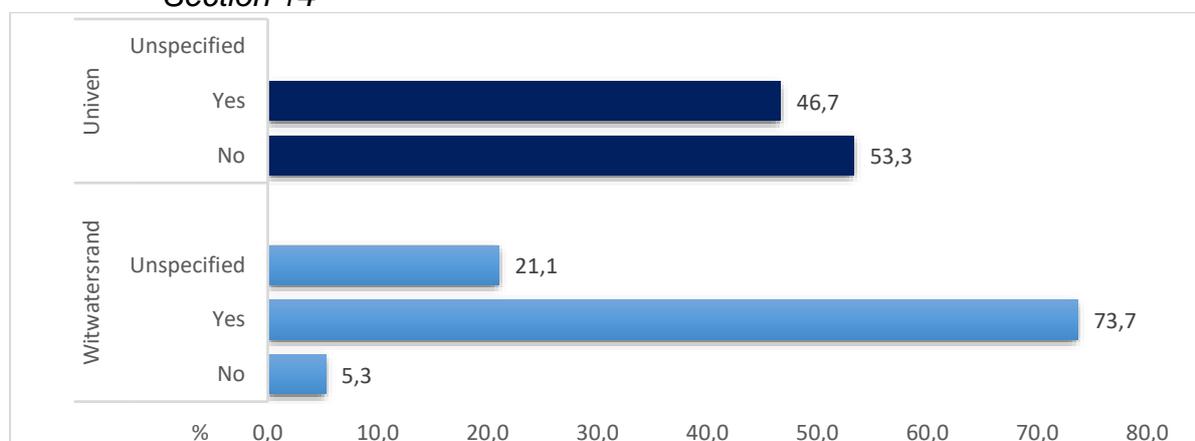
Source: Field data 2019

Based on the above results, it is clear that non-compliance with NARSSA Act Section 13 is instrumental towards the lack of proper care and management of records at both universities. While most universities were locked in the traditional paper-based filing system, NARSSA Act prescribes a functional Records Classification System that is mainly based on the functions of the organization. In principle, the ARM programme must always be integrated with the processes of the entire organization. If not fully integrated, there is a risk of loss of records.

4.4.2.2 Promotion of Access to Information, No. 2 of 2000 Section 14

The purpose of this legislation is to give effect to the constitutional right of access to any information held by the State and any information that is held by another person. The focus of the study was on section 14 of the Act, which provides for manual on functions of, and index of records held by the public body. As demonstrated in figure 4.4 below, selected universities were assessed in terms of their level of compliance with section 14 of the Act. As compared to UNIVEN whereby 8 (53.3%) of the respondents indicated that their university does not comply with section 14 of the Act, 14 (73,7%) of the participants at WITS indicated that their university has PAIA Manual even though the discovered some elements of non-compliance such as their manual is outdated, not translated in three official languages and compliance report as required by Act were not submitted to the Information Regulator on an annual basis.

Figure 4.4 Compliance with the Promotion of Access to Information Act, No. 2000 Section 14



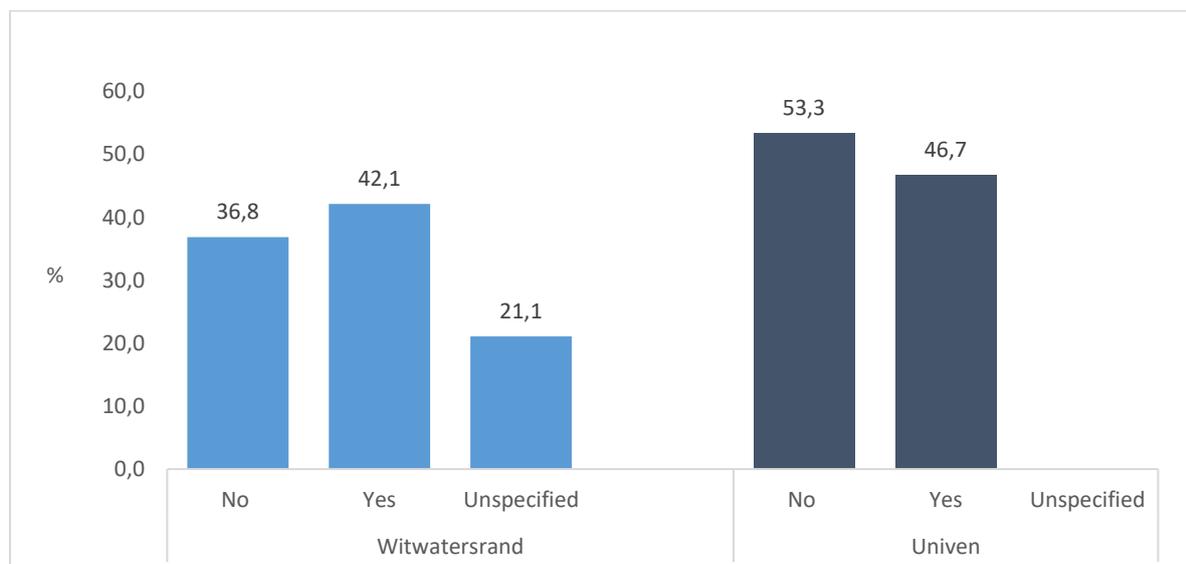
Source: Field data 2019

Based on the above results, it is clear that non-compliance with PAIA section 14 is instrumental in the provision of information. As a provision in Chapter 2 of *The Constitution of the Republic of South Africa, 1996*, it is unconstitutional for an organization not to comply with PAIA. The role of Archives and Records Management in enabling the organization to comply with PAIA is of critical importance. Lack of commitment to developing the PAIA Manual by UNIVEN and updating the manual by WITS hindered the delivery of information to various stakeholders. Effective Records Management is therefore regarded as a component and enabler of effective PAIA implementation. In the complement of PAIA, universities are advised to implement an information classification register that will ensure authorised access to information.

4.4.2.3 Promotion of Administrative Justice Act, No. 3 of 2000 Section 3

The purpose of this legislation is to give effect to the right to administrative action that is lawful, reasonable and procedurally fair and to the right to written reasons for administrative action. As demonstrated in figure 4.5 below, selected universities were assessed on the level of compliance with section 3 (1) of the Act. While 8 (53.3%) of the participants at UNIVEN indicated that their university does not comply with section 3(4) (b) of the Act, 8 (42,1%) of the participants at WITS indicated that their university complies.

Figure 4.5 Compliance with Promotion of Administrative Justice Act, No. 3 Section 3



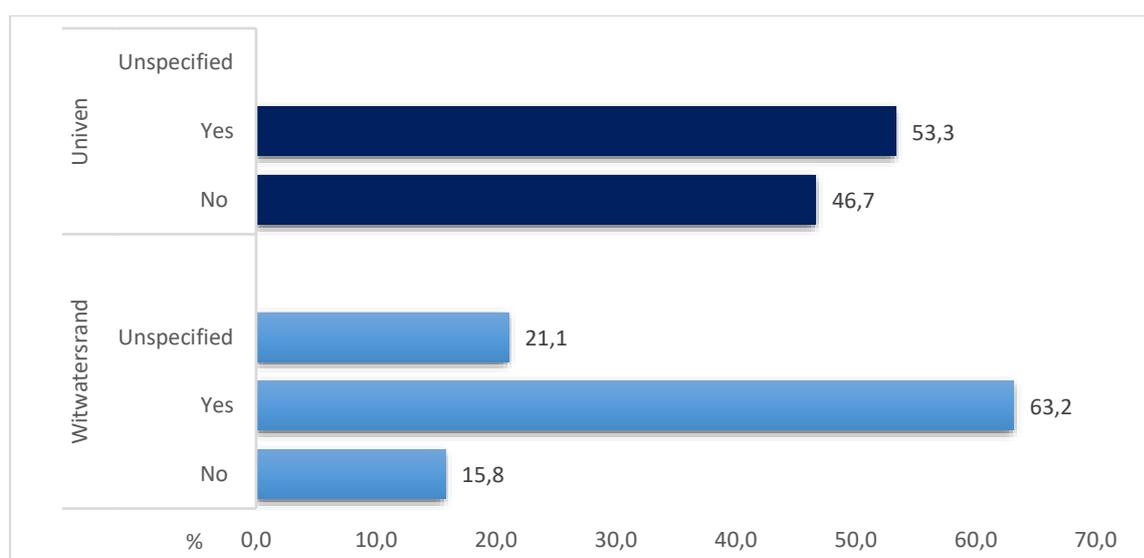
Source: Field data 2019

According to the above results, it is very clear that both universities lack procedures and guidelines on the administration of PAJA. This result implies that Records Management provides a methodology for ensuring that authoritative and reliable information about, and evidence of business activities, is created, managed and made accessible to those who need it for as long as it is required. Given that PAJA does not make mention of Records Management in section 3 (4) implied that universities are expected to develop a guideline and procedure on the implementation of the Act. Hence, without reliable and authentic records, universities cannot administer justice.

4.4.2.4 Protection of Personal Information Act, No. 4 of 2013 Section 5

The purpose of this legislation is to give effect to the constitutional right to privacy, by safeguarding personal information when processed by a responsible party, subject to justifiable limitations. As demonstrated in figure 4.6 below, selected universities were assessed in terms of their level of compliance with the Act. While 7 (46,7 %) of the participants at UNIVEN indicated that their university does not comply with section 23 of the Act, 12 (63,2%) of the respondents at WITS stated that their university is complying.

Figure 4.6 Compliance with the Protection of Personal Information Act, No. 4 of 2013 Section 5



Source: Field data 2019

The Protection of Personal Information Act (POPIA) may not have been made effective yet, but both universities need to make compliance with one of their priorities. POPIA affect the ARM programme because of the following reasons:

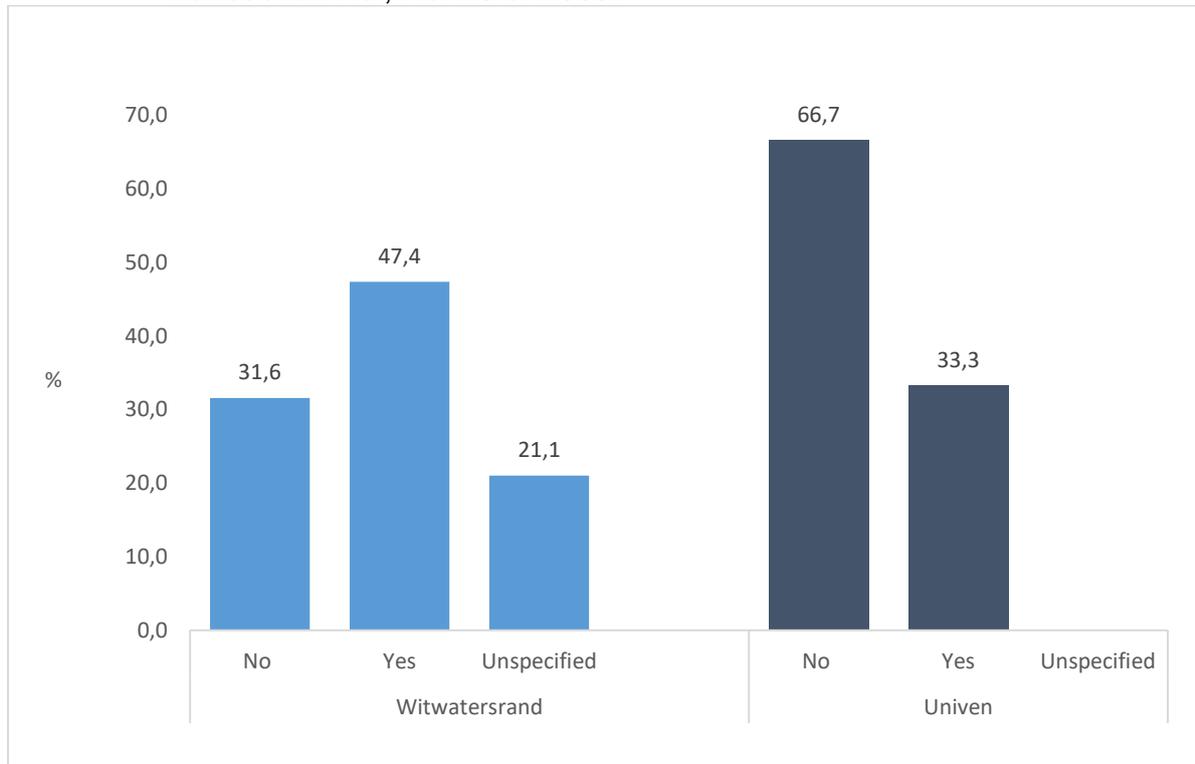
- ❖ Collection of records as it relates to a specific purpose and consent must be given before the collection of information;
- ❖ All records must be kept accurate and up to date to be accessible;
- ❖ Reasonable security measures must be taken to ensure that information is protected; and
- ❖ A retention schedule of personal information is needed as part of an ARM programme.

This section concludes that compliance guidelines for personal records operating in universities can be standardised to create a guideline for the implementation. To accomplish this, further technical analysis and testing will have to be conducted to fine-tune the implementation guidelines on a case-by-case basis. Both universities should establish criteria to identify personal information to classify such information. To achieve effective access to information, there is a need to guarantee that all information that has to be accessible to be classified, organised and structured according to the Records Management System's pre-established specifications

4.4.1.5 Electronic Communication and Transaction Act, No. 25 of 2005 Section 27

The purpose of this legislation is to enable and facilitate electronic communications transactions in the public interest and to provide for the development of a national e-strategy in South Africa. In trying to test compliance at both Universities, participants were asked about the existence of electronic records procedure manual in their universities, their understanding of what constitutes ECTA and how it could be implemented. As reflected in figure 4.7 below, selected institutions were assessed based on their level of compliance with section 27 of the Act, which addresses the issue of electronic filing. While 10 (66,7%) of the respondents at UNIVEN indicated that their university does not comply with section 27, nine (9) (47,4%) of the participants at WITS stated that their university is complying.

Figure 4.7 Compliance with Section 27 of the Electronic Communication and Transaction Act, No. 25 of 2005.



Source: Field data: 2019

Based on the above results, it is clear that non-compliance with the ECTA Act is instrumental towards the lack of proper electronic records at both universities. Most users of the university's electronic system were unaware of the requirements of the Act governing the filing of electronic records and the implications or liabilities involved.

This may be because of the following reasons:

- ❖ Staff lacking skills in ICT;
- ❖ Limited marketing of ARM programs in universities;
- ❖ Lack of Records Management strategies; and
- ❖ Lack of budget to implement the legislation.

Therefore, as the ICT environment becomes more complex and dispersed, and as the regulations governing records become increasingly more stringent, the researcher contends that there is a need to maintain confidence and trustworthiness of electronic records (e.g., security, authenticity, integrity and usability), proper policy development, accountability and compliance with the regulation. It should be borne that the electronic file must comply with the provisions of ECTA.

4.4.2.6 Other legislation governing Archives and Records Management programme in South Africa

Apart from the above primary legislation in ARM, selected universities were further assessed in terms of compliance with other legislations. While 2 (13,3%) of the participants at UNIVEN mentioned the National Student Financial Aid Scheme Act, No. 56 of 1999 as closely linked to the ARM programme, only 1 (5,3%.) of the respondents at WITS mentioned the National Heritage Resource Act, No. 25 of 1999 as the legislation having an impact on the ARM programme.

A sample of the responses were as follows:

“We are not following the rules and regulations to file financial records.”

“Staff need to be trained on financial management.”

Based on the above results, it is clear that non-compliance with the National Student Financial Aid Scheme Act is instrumental towards lack of management of student financial records while the National Heritage Resource Act, No. 25 of 1999 is also instrumental towards lack of recognition of archives materials as part of heritage assets.

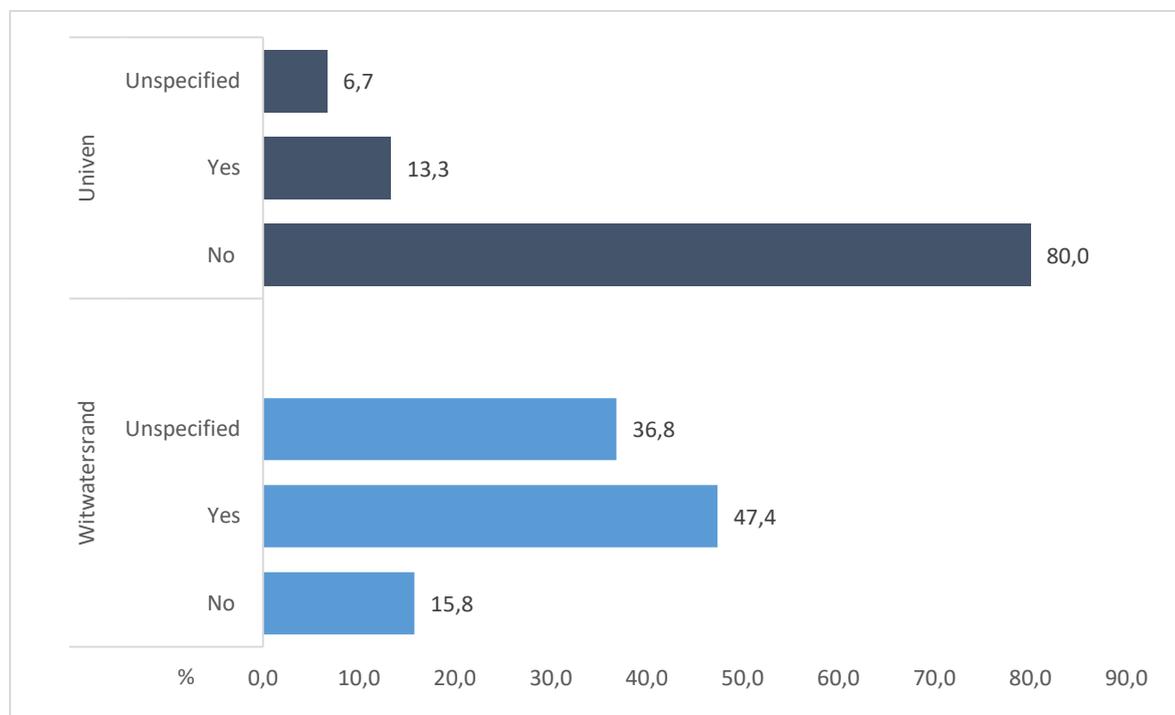
4.4.2.7 Archives and Records Management strategy

The ARM strategy provides guidelines for Records Management. As demonstrated in Figure 4.8 below, selected institutions were assessed in terms of the availability and alignment of ARM strategy with the University’s processes. As compared to UNIVEN whereby 12 (80%) of the participants indicated that their institution does not have an ARM strategy, 9 (47,4%) of the participants at WITS stated that their institution has an ARM strategy that is aligned to the university’s strategy. This study established that despite attempts to improve ARM capabilities and infrastructure at both universities, no ARM Strategic Plan existed. Some sample of the responses were as follows:

“The university strategy is not linked to archives and Records Management strategy”

“The fact that archives and Records Management programme is new at the university implied lack of strategy.”

Figure 4.8 Availability of Archives and Records Management Strategy in the Universities



Source: Field data 2019

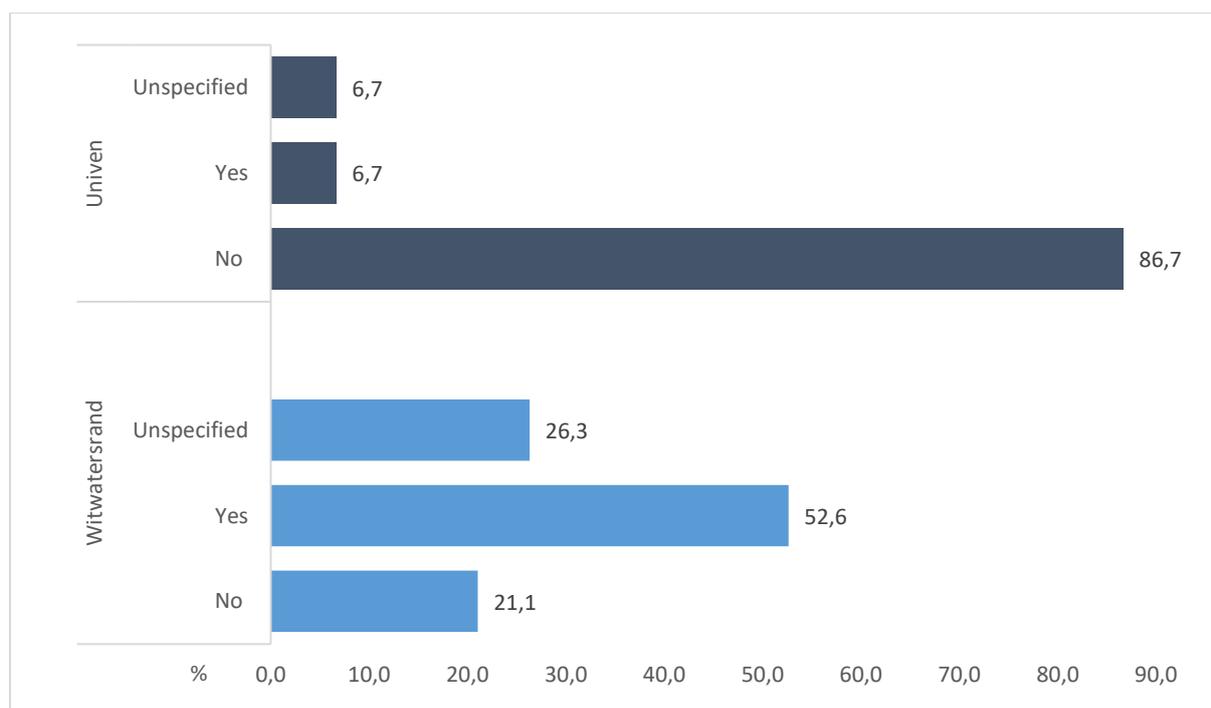
Based on the above results, it is generally considered best practice that an ARM strategy is a pre-requisite to a successful organisation. This implies that the ARM function should be incorporated into the corporate strategic plan. Apart from the alignment of the ARM strategy with the University's overall; strategy, it is also advisable to further link it to performance measures across the university. The inclusion of the performance system to the university is instrumental to adhere to ARM programmes, as well as establishing the responsibilities of officers. An ARM strategy is vital for the management of records.

4.4.2.8 Records Management policy

Implementation of an effective ARM programme requires an approved Records Management policy. As demonstrated in Figure 4.9 below, the participants were asked the question about the availability of approved Records Management policy. As compared to UNIVEN whereby 13 (86,7%) respondents indicated the absence of approved Records Management policy, 10 (52,6%) of the participants at WITS were

aware of the approved policy. The researcher also confirmed the results through document analysis that WITS has an approved Records Management policy while UNIVEN has a draft policy. The analysis of ARM policies at both universities identified gaps in Electronic Records Management. However, policy elements such as security of information and Electronic Records Management, which deals with the ARM program were not covered by the university Records Management policy. Policy elements such as the statutory and regulatory environment, responsibilities, access, retention or destruction of records were covered by both universities. The assessment of WITS policy indicated that “only records shall only be kept for the times as prescribed within the approval of holdings across departments”.

Figure 4.9 Availability of the Approved Records Management Policy



Source: Field data: 2019

Based on the above results, both universities ARM programme were supported by a Records Management policy that included the following elements:

- ❖ Inventory of records;
- ❖ Development of records retention schedules;
- ❖ Management of filing and information retrieval system in any media;

- ❖ Ensuring adequate protection of records that are vital, archival or confidential;
- ❖ Storage of active and inactive records;
- ❖ Control over the creation and distribution of forms, reports and correspondence
- ❖ Maintenance of university records in a manner to facilitate access by the public; and
- ❖ Systematically disposal of records.

4.4.2.9 Records procedure manual

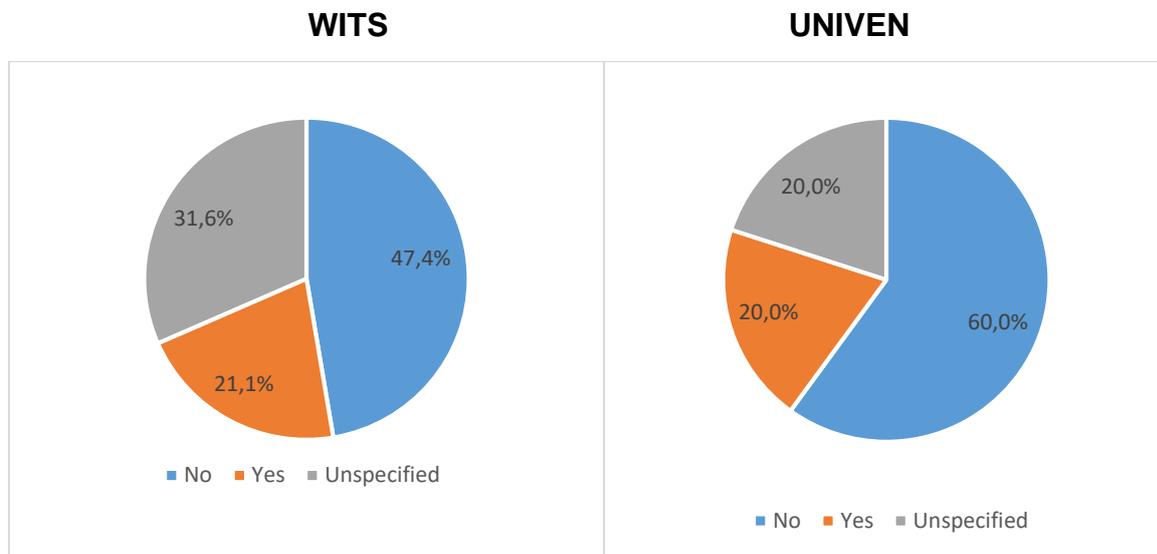
Records Management policy is to be supported by a records procedure manual. As reflected in Figure 4.10 below, selected institutions were assessed on the availability of the records procedure manual. As compared to UNIVEN whereby 9 (60%) of the respondents indicated availability of records procedure manual, 9 (47,4%) of the participants at WITS indicated that their institution does not have records procedure manual. As compared to WITS whereby the researcher observed the existence of two guidelines, namely; the registry procedure manual approved in 2005; and the guideline for procedures of managing personnel records in the public service approved in 2013, at UNIVEN there was none.

The analysis of the WITS records procedure manual identifies the following aspects:

- ❖ Generic statements on the transfer of records;
- ❖ The basic definitions of ARM processes and business process;
- ❖ The presence of specific clauses to define the direction, condition and decision for the flow of information; and
- ❖ The Records Management procedure never specified the flow of Records Management processes.

It was also observed that the records procedure manual was filled with basic definitions of key concepts of Records Management processes. The two guidelines seemed to accommodate some aspects of Electronic Records Management such as scanning. The Records procedure manual contains a section that provides for procedures for managing official emails.

Figure 4.10 Availability of records procedure manual



Source: Field data: 2019

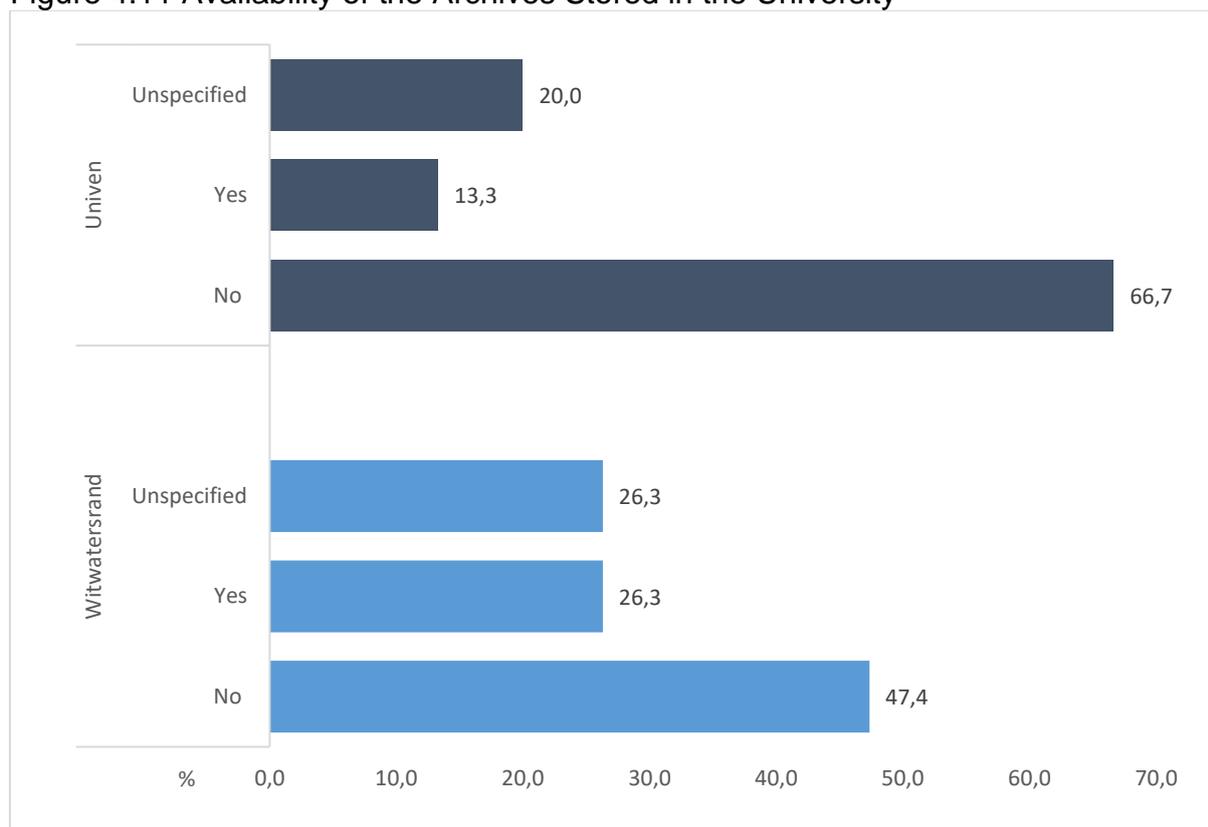
Based on the above results, it is clear that the records procedure manual must be aligned with Records Management policy, clearly articulating the roles and responsibilities. Therefore there is a need for continuous review and improvement of the records procedure manual. The manual is to reflect ARM practice throughout the universities. The records procedure manual provides tangible evidence of intended practices that are consistent with the organisation’s values. The records procedure manual is expected to convey direction, decisions, conditions, expected, actions, commitment, and availability of support and ownership of records created.

4.4.2.10 Archives storage

Archive storage is a physical space for storing records. As demonstrated in figure 4.11 below, selected institutions were assessed on the maturity of their archives storage facilities. As compared to WITS whereby 9 (47.5%) of the participants indicated that their institution does not have purpose-built archives to keep records, 10 (66,7%) of the participants at UNIVEN indicated a lack of purpose-built archives (see figure 4 11). The researcher also observed that many of the records storages were not designed to store archival records. The storages were also small to keep university records. Lack of space led both universities to outsource the storage of semi-active records, i.e., offsite storage. The researcher further observed that the

Central Records Office at WITS is too small to accommodate the number of records created by various departments, units and divisions. The lack of space led the university to store some of the records in off-site storage, the university’s library and the university basement of the administration building. Furthermore, there was a lack of effective digital storage to store electronic records.

Figure 4.11 Availability of the Archives Stored in the University



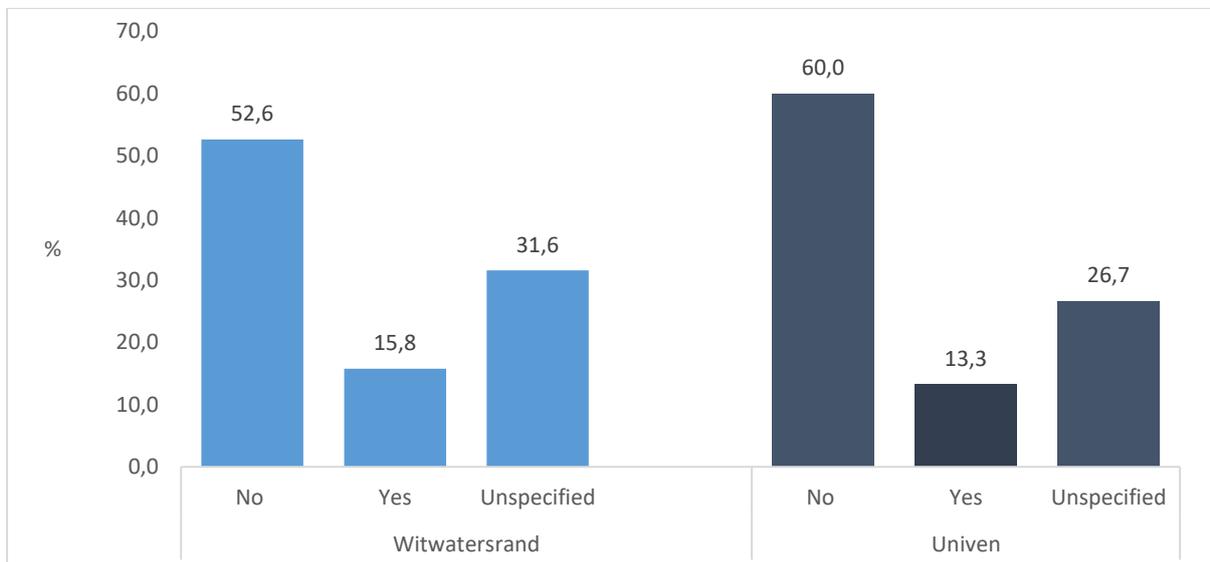
Source: Field data 2019

To solve the challenge of records storage, universities must initiate a project of constructing a university archives building that meets NARSSA and international standards. Such archives building should have enough space to accommodate records for the foreseeable future. Archives storage should also provide a secure place for the storage of records awaiting processing. The processing of records includes arrangements and description of records, the listing of records and the classification of records.

4.4.2.11. File Plan

A File Plan is a tool for organising records. As demonstrated in Figure 4.12 below, selected institutions were assessed in terms of the existence of the approved File Plan. As compared to UNIVEN whereby 9 (60,0%) of the participants indicated a lack of an approved File Plan to manage records, 10 (52,6%) of the respondents at WITS also indicated a lack of an approved File Plan. Despite interviews, the researcher also observed the availability of the File Plan. A File Plan exists at both universities but is not approved and drafted in line with NARSSA requirements.

Figure 4.12 Availability of Approved File Plan



Source: Field data 2019

The fact that both universities File Plans were not approved by the NARSSA, it could mean that this is mainly because both universities do not have to comply with the NARSSA act. Hence, the File Plan not aligned with NARSSA requirements posed a risk on the loss of records and poor access to records

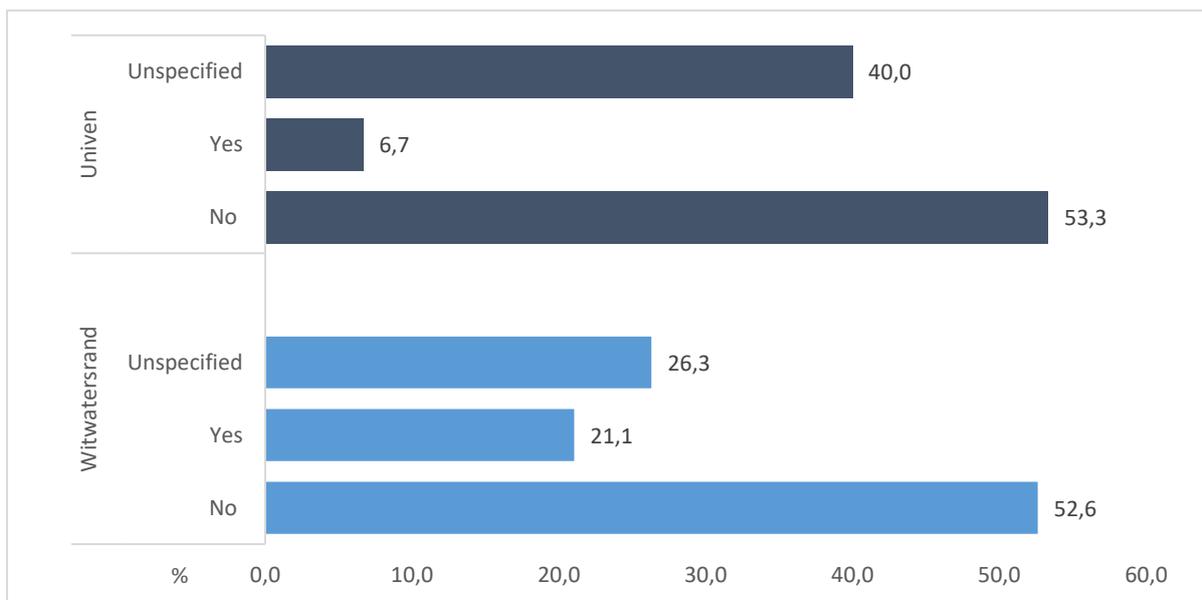
4.4.2.12 Retention schedule

A retention schedule is part of a Records Management policy, an established protocol for retaining records based on business needs. As demonstrated in figure 4.13 below, selected institutions were assessed in terms of the availability of retention schedules. As compared to UNIVEN whereby 8 (53,3%) of the participants indicated that there is a lack of Records Retention Schedule to manage records, 4 (21.1%) of the participants

at WITS stated that their institution has a retention schedule. The researcher found that division such as the Office of the registrar develops a retention schedule to control records.

The research also found that records retention schedule is only available at WITS even though is not systematically organised, which can lead to loss, destruction, or misplacement of records, as well as the administrative and legal challenges such as litigations if records were not found.

Figure 4.13: Availability of approved records retention schedule



Source: Field data 2019

Based on the results, a lack of support from the management about records retention schedule preparation and implementation is a risk for universities to manage records effectively. The fact that there was a lack of File Plan, one cannot expect to find completed Records Retention Schedule in their possession. Hence, through the successful development and implementation of a records retention schedule, businesses can realize the following benefits:

- ❖ Improve utilization of resources;
- ❖ Control the growth of records volume;

- ❖ Demonstrate compliance with statutory and regulatory recordkeeping requirements;
- ❖ Enforce implementation of recordkeeping policies;
- ❖ Improve the ability to locate and retrieve records when required; and
- ❖ Reduce litigation risks.

The total lack of retention schedule at UNIVEN contributed to the lack of implementation of systematic disposal of records, difficulty to retrieve records, it is also a form of non-compliance with legislation such as NARSSA, POPIA and PAIA.

4.4.2.13 Electronic Records Management System (ERMS)

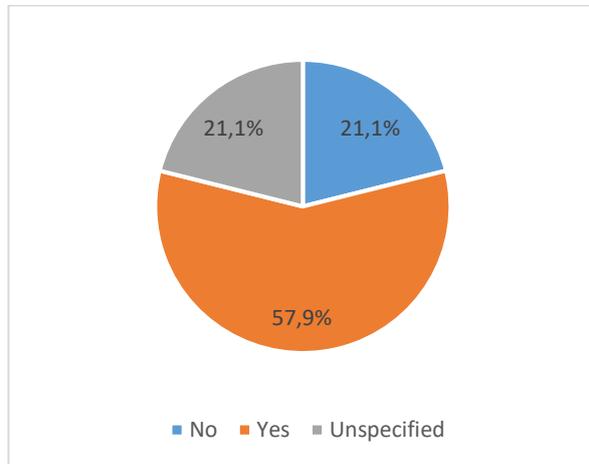
An ERMS is a system to manage records generated electronically. As reflected in Figure 4.14 below, selected institutions were assessed in terms of the availability of ERMS. As compared to UNIVEN whereby 8 (53,3%) of the participants indicated the availability of ERMS at their institution, 11 (57,9%) of the participants at WITS indicated that their institution has ERMS.

At both universities, results indicated that ICT was integrated into the business process without ARM framework preparations. The ICT initiatives to integrate business processes were not coordinated to manage ERMS. Document review shows the loss of data, poor accountability, and transparent on the Records Management as a result of the lack of integration of business processes. It seems that ERMS at WITS was implemented on an ad hoc basis without a preliminary investigation of the electronic system.

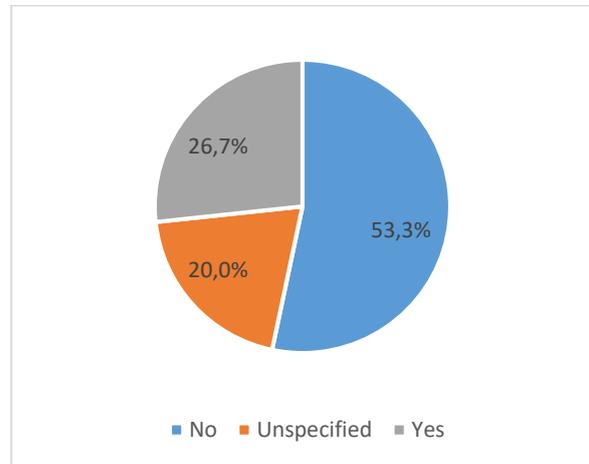
The researcher observed that the electronic database systems of both universities were not aligned to Records Management principles such as an integrated File Plan. Furthermore, there was a lack of financial investment in the ERMS by both universities. Decisions regarding the implementation of ERMS, in general, were impacted by a lack of resources. ERMS were not being reworked to include Records Management.

Figures 4.14 Availability of Electronic Records Management System (ERMS)

WITS



UNIVEN



Source: Field data 2019

This simply implies that both universities lack control over the generation of electronic records. Such records may be lost or tampered with. If such records are not generated and managed through a credible ERMS, governance processes by Internal Auditors cannot rely on them.

Based on the results of compliance with the statutory and regulatory framework of both universities, it was suggested that universities need to formulate an Action Plan to implement File Plans, storage of records, ERMS systems, systematic disposal of records, retention schedules and records procedures manual. These documents were to be developed and aligned with the mandate, objectives and legal obligations of the universities. The implementation of the above-mentioned tools was to be guided by NARSSA Act, POPIA, PAIA, ECTA, PAJA, and ARM standards.

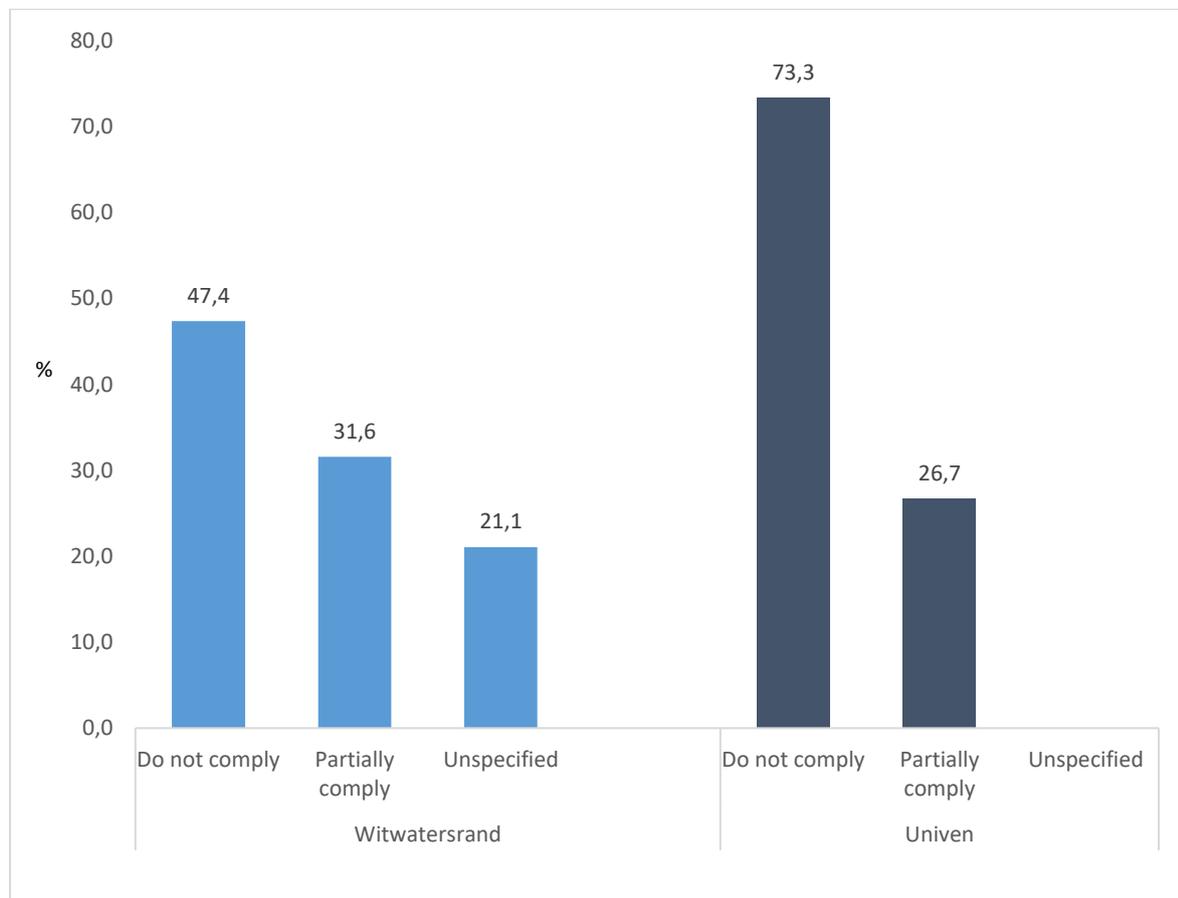
4.4.3 Archives and Records Management maturity level

The maturity status aims to give an accurate and reliable of the ARM measures by identifying and providing evidence of the good practice of the ARM programme. In this case study, the maturity status was assessed based on the value of records on staff awareness on ARM policy and programme and executive management support of both universities.

4.4.3.1 Value of Archives and Records Management practices

Records are valuable assets of the institutions. They serve as a tool by which an institution conducts its business, document functions, policies, decisions and procedures. Furthermore, records serve as evidence of the legal and financial rights of the universities. Figure 4.15 below shows information about the value ARM practices of universities. Respondents were asked to measure the maturity level of the ARM programme of both universities. As compared to UNIVEN whereby 11 (73.3%) of the participants indicated that their institution does not recognise the value of ARM practices, 9 (47.4%) of the participants at WITS recognise the value of ARM.

Figure 4.15: How employees' value Archives and Records Management programme



Source: Field data 2019

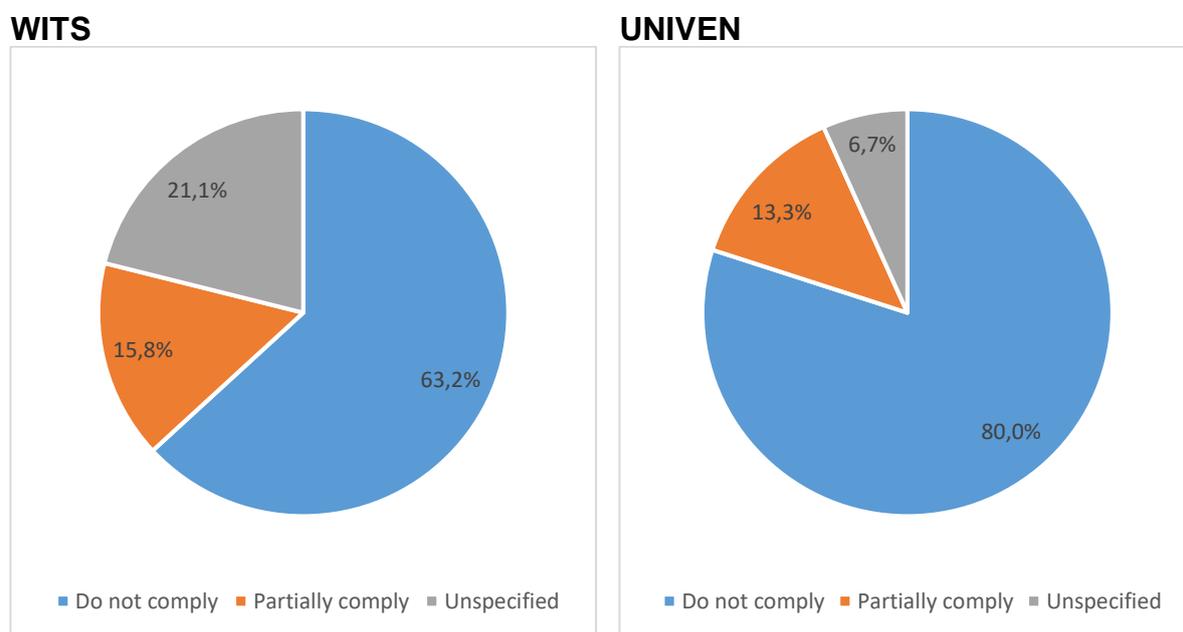
Based on the above results, it is a concern when the majority of staff do not appreciate the value of the ARM programme. The recognition of the ARM programme requires the ARM division to embark on awareness throughout the divisions, units and departments. The aim to deliver the value of the ARM programme is to incorporate

the ARM programme into university processes. The incorporation of the ARM programme enables Records Management functions to be integrated into the workflow of university business processes.

4.4.3.2 Staff awareness of Records Management policy

To ensure that organisations comply with various legislations and enhance service delivery, a successful ARM program requires regular ARM awareness. As depicted in figures 4.16 below, participants were assessed on the level of compliance with ARM policy. As compared to UNIVEN whereby 12 (80%) of the participants indicated that they comply with the ARM policy, 12 (63,2%) of the participants at WITS also stated a lack of compliance with ARM policy. Observations conducted at both universities by the researcher also confirmed the lack of ARM policy compliance by both universities.

Figures 4.16: Level of staff awareness on Records Management policy



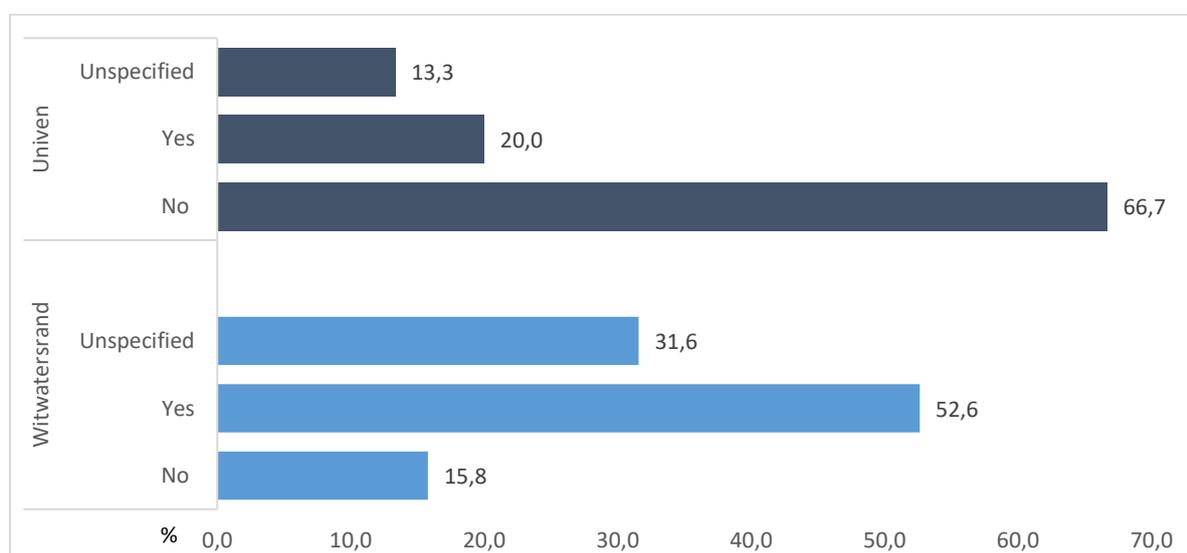
Source: Field data 2019

Based on the results, the issue of non-compliance with ARM policy if staff awareness is not conducted contributed to some of the staff to destroy records without permission, litigation and penalties and poor decision making. Furthermore, ARM functions will not be viewed as important operational and strategic issues within the institution.

4.4.3.3 Executive management Archives and Records Management programme support

Executive management sometimes fails to support ARM programmes because they do not grasp the business case for sound recordkeeping. It is essential to make executive management aware that recordkeeping is important to organisation. As reflected in Figure 4. 17 below, selected institutions were assessed in terms of executive management support towards the ARM programme. As compared with UNIVEN whereby 10 (66,7%) of the respondents indicated a lack of executive management support towards the ARM programme, 10 (52,6%) of the respondents at WITS Indicated that they receive support from the Executive Management. The 2 (13, 3%) UNIVEN and 5 (31.6 %) at WITS respondents never specified level of management support, while 3 (20.0 %) respondents at UNIVEN indicated receiving support from management on records manage while 3 (15.8 %) from WITS indicated lack of support from executive management on Records Management.

Figure 4.17 Executive management support for the Implementation of the Archives and Records Management programme



Source: Field data 2019

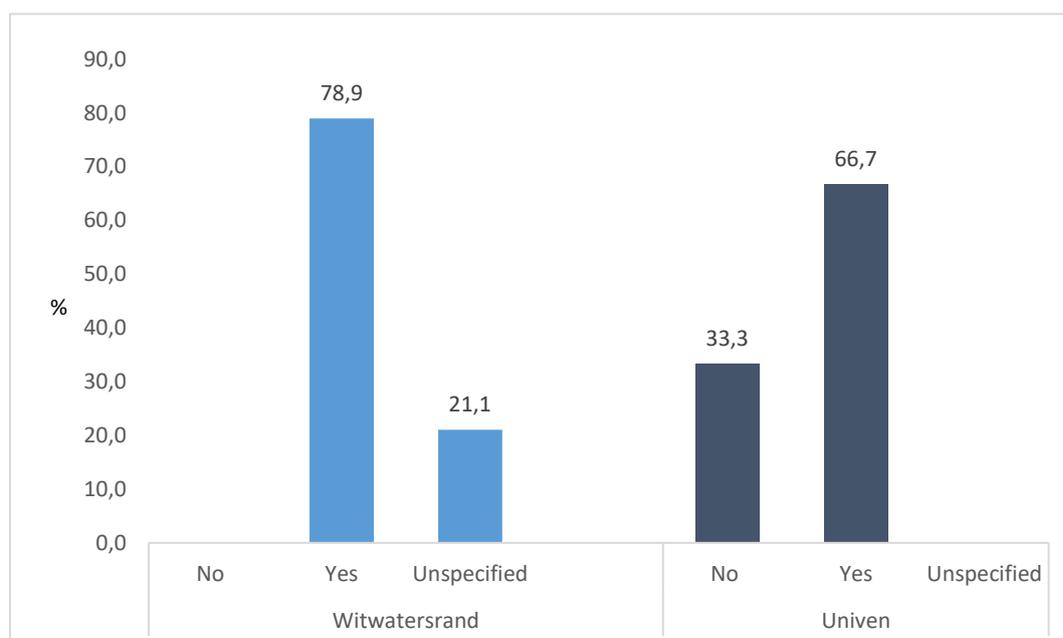
Based on the above results, it is clear that for the ARM programme to succeed, executive management must serve as a change agent or champion of the ARM programme. The executive management can play an essential role by recruiting skilled and qualified personnel and allocated enough budget to implement an ARM

programme. This implied that executive management is expected to view Records Management as a key enabler to the University's business function.

4.4.3.4 Establishment of Archives and Records Management division within the University organisation structure

The ARM division with assistance from qualified personnel plays a role in guiding university stakeholders on the management of the ARM programme. An analysis of Figure 4.18 responds to the establishment of the ARM division at both universities. As compared to UNIVEN whereby 10 (66.7%) of the participants indicated that their institution never established a functional ARM division, 15 (78.9%) of the participants at WITS were aware of the establishment of the ARM division. The researcher confirmed through observation that both universities established ARM division and appointed qualified Records Managers as well as archivists. However, the position of the Records Manager at UNIVEN was at a more senior level compared to WITS. The ARM divisions are managed by qualified personnel with an academic qualification in Archives and Records Management.

Figure 4.18 Establishment of the functional Archives and Records Management division within the university organisational structure



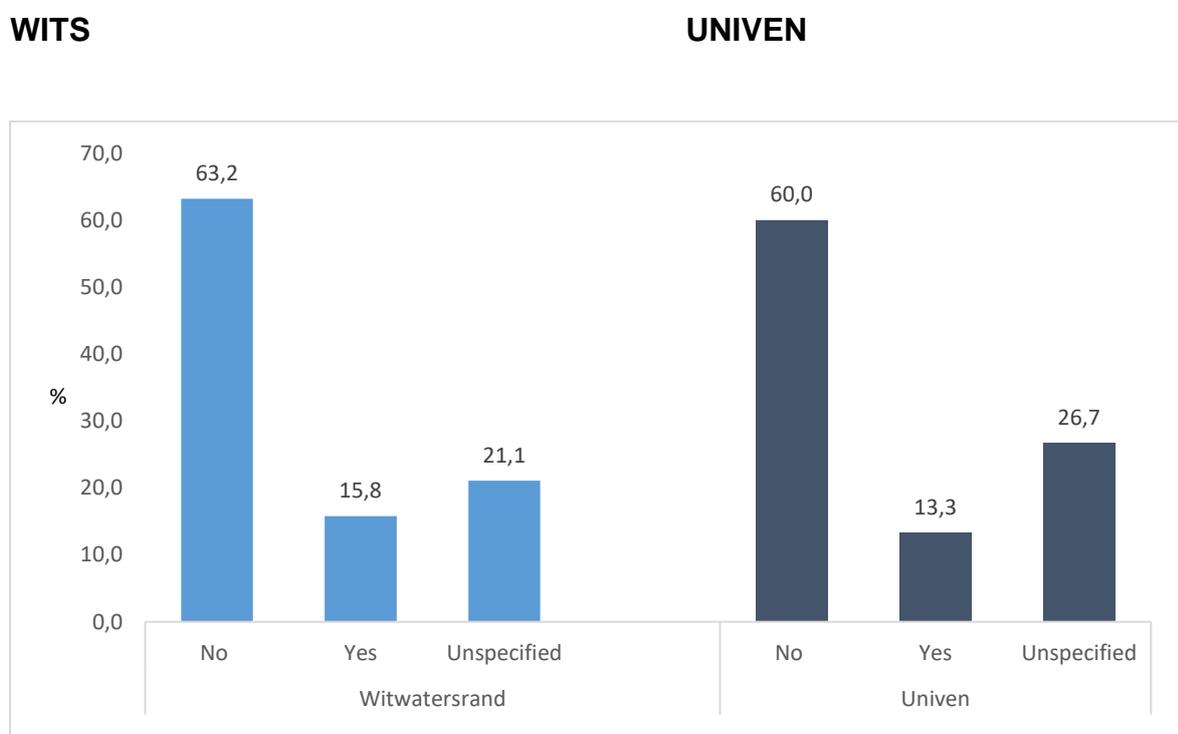
Source Field data 2019

The fact that archivists and Records Managers were appointed by both universities shows a commitment by both universities to implement an effective ARM programme. An establishment of university archives is a fundamental step towards documenting a university's history, improve compliance with applicable legislation legislations.

4.4.3.5. Archives and Records Management training/workshops

All staff needs to be trained and understand their ARM roles and responsibilities. As reflected in Figure 4.19, selected institutions were assessed on ARM training/workshops conducted. As compared to WITS whereby 12 (63,2%) of the participants indicated that their institution did not conduct ARM formal training/workshop, 9 (60,0%) of the respondents at UNIVEN stated that there was a lack of ARM training/workshops. The researcher confirmed through observation that there was also a lack of training/workshops as there was also a lack of attendance register to prove of ARM training conducted at both universities.

Figure 4.19 Archives and Records Management training conducted at universities



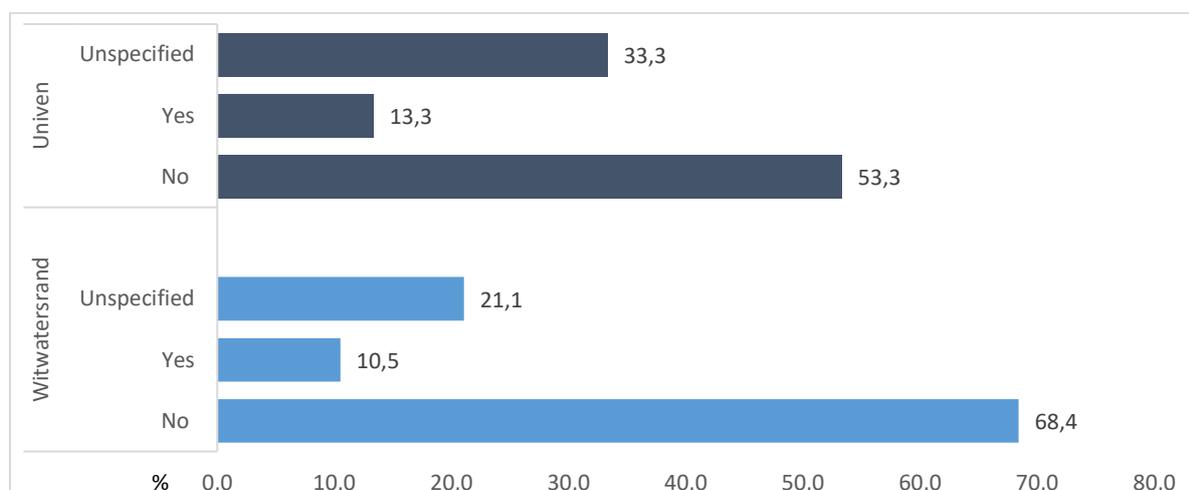
Source: Field data 2019

Based on the above results, lack of training/ workshop affect the successful implementation of the ARM programme because the organisation will not be competitive in business, lack of compliance issues related to applicable legislation governing ARM programme, policies, procedures and processes. Most of the staff will lack an understanding of their responsibilities on the ARM programme.

4.4.3.6 Records Disposal Programme

An established pattern of systematic records disposition serves as evidence of an organization’s implementation of an ARM programme. As indicated in figure 4.20, selected institutions were assessed on the implementation status of the records disposal program. As compared to WITS whereby 13 (68,4%) of the participants indicated that there was a lack of systematic disposal of records, 8 (53,3%) of the participants at UNIVEN indicated a lack of systematic disposal of records. Through observation, the researcher revealed that there was a lack of effective disposal of records by both universities. At both universities, most of the records due for disposal were kept haphazardly on the floors because of a lack of archival facilities available to manage the systematic movements of records of current to the semi-current and non-current stage.

Figure 4. 20 Implementation of systematic disposal programme in the universities



Source: Field data 2019

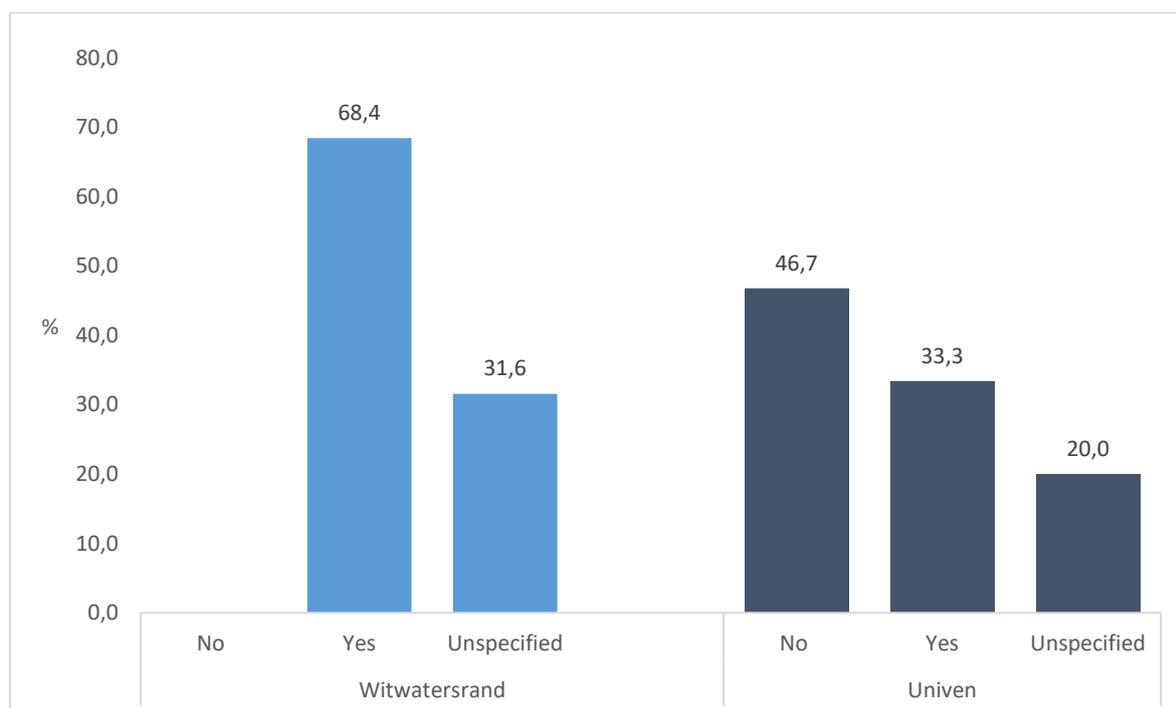
Based on the above results, the lack of implementation of a systematic disposal programme is a threat to both universities to keep records due for disposal in their offices. Lack of systematic disposal of records may mean that there are haphazard patterns of records disposal. It may appear suspicious and can suggest that some of the staff destroyed unfavourable records intentionally. Hence, consistent disposal practices provide retention and regulatory compliance and decrease corporate risk when conducted by an approved Records Retention Schedule.

4.4.3.7 Risk Management

ARM programme is part of universities' broader function of Risk Management and is primarily concerned with managing the evidence of the mitigation of risk associated with Records Management. As reflected in Figure 4.21 selected institutions were assessed on a risk associated with non-compliance with the ARM programme. As compared to UNIVEN whereby 7 (46,7%) of the participants indicated availability of an approved Risk Management strategy, 13 (68,4%) of the participants at WITS acknowledged the availability of an approved Risk Management strategy. Through observation, the researcher discovered that both universities also established the Risk Management Committee in line with the Risk Management strategy, which includes elements such as management of information security. However, Records Managers from both universities were not part of the Risk Management Committee.

Both universities were not implementing information security controls to protect the confidentiality, integrity, and availability of the information. Universities lacked access controls to prevent, limit and detect unauthorised access to computing resources, programs, information, and facilities. The review of the universities' Master Risk Plan confirmed that the information security classification register was not yet developed despite the availability of the Risk Management Strategy.

Figure 4. 21: Risk associated with Archives and Records Management programme



Source: Field data 2019

Based on the above-mentioned results, because Records Managers were not part of the Risk Management Committee issues related to records security, disaster recovery and unauthorised access to records are not considered. Both universities need to consider Archives and Records Management functions as part of Risk Management within the university. The Records Management division is to collaborate with the Risk Management Department to mitigate institutional risk based on their approved Risk Management strategy:

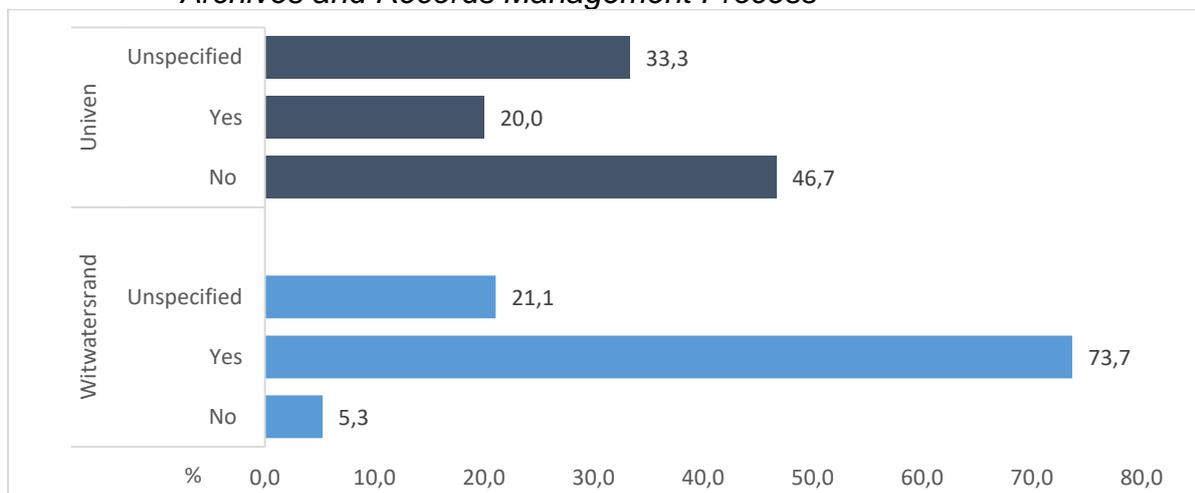
- ❖ Periodic assessments of the risk that could result from unauthorized access of records, use, disclosure, disruption, modification or destruction and Information Systems;
- ❖ Policies and procedures that are based on risk assessments and cost-effectively reduced risks;
- ❖ Plans to provide information security for networks, facilities and systems
- ❖ Security awareness training;
- ❖ A process for planning, implementing, evaluating and documenting remedial action to address any deficiencies of information security policies, procedures or practices; and

- ❖ Procedures for detecting, reporting and responding to security incidents.

4.4.4 Enterprise Information Management Business Process alignment to the Archives and Records Management process

ARM processes are an integral part of the Enterprise Information Management Business Processes. It is associated with the workflow based on administrative and legal compliance. As demonstrated in Figure 4. 22 below, the participants were asked the question about the ARM processes alignment with the university processes. As compared to WITS whereby 14 (73,7%) of the respondents indicated that ARM processes were aligned to the University processes, 7 (46,7%) of the participants at UNIVEN indicated that ARM programme and University processes were not aligned. These results were contrary to the researcher’s observations conducted at both universities because of a lack of alignment of ARM processes to the universities’ business processes.

Figure 4.22 Enterprise Information Management Business Process Alignment to the Archives and Records Management Process



Source: Field data 2019

Based on the above results, weak ARM processes alignment with institution processes impacted the poor regulatory compliance and litigation; the allocation of resources, business improvement efforts, increase the level of risk associated with Records Management and lack of performance monitoring. Given the development of information communication technology, it is a necessity to align ARM functions to university processes to ensure a corporate-wide approach to compliance. The

alignment will lead to a situation where Records Management is recognised as a business issue.

4.4.4.1 Engagement and partnerships on Archives and Records Management

ARM programme across both universities requires engagement with main stakeholders. As demonstrated in Diagram 4.1 below, participants were asked to rank the following stakeholders from low to medium priority, i.e., NARSSA, Auditor General of South Africa (AGSA), South Africa Bureau of Standards (SABS) and Information regulators. Based on the outcome of the interview, both NARSSA, AGSA, SABS and Information regulator were ranked above 50% both participants from both institutions, i.e., 11(57.7%) of the respondents at WITS and 8 (53,3%) of the respondents at UNIVEN.

Table 4.1 Categorisation of Main Stakeholders as either High, Medium or Low Priority

Name of stakeholders	Responses	WITS	UNIVEN
NARSSA	% of respondents who specified their institution aligned with NARSSA in terms of providing ARM programme guidelines	2 (10,5%)	2 (13,3)
	% of respondents who unspecified alignment with NARSSA in terms of providing ARM programme guidelines	17 (89,5%)	13 (86,7%)
Auditor General of South Africa (AGSA)	% of respondents specified their institution aligned with AGSA in terms of records auditing	4 (21,1%)	2 (13,3%)
	% of respondents who unspecified alignment with AGSA in terms of records auditing	15 (78, 9%)	13 (86,7%)
South Africa Bureau of Standards (SABS)	% of respondents specified their institution alignment with SABS in terms of records auditing	3 (15,8%)	1 (6,7%)
	% of respondents who unspecified alignment with SABS in terms of records auditing	16 (84,2%)	14 (93,3%)
Information Regulator	% of respondents specified their institution alignment with Information Regulator in terms of access to personal information	2 (10,5%)	3 (20, 0%)
	% of respondents who unspecified alignment with information regulator in terms of records auditing	17 (89,5%)	12 (80,0%)

Source: Field data 2019

Based on the above results, it is clear that lack of stakeholder relations with the NARSSA, AGSA, SABS, and Information Regulator on the issue related to compliance on regulations and standards is instrumental towards a lack of organisation compliance with statutory regulatory, unmanaged information-related risk. Stakeholder relations require constant communication among various stakeholders. To improve stakeholder relations, it implies that institutions should develop a communication plan to secure stakeholder's support. Cooperation with various stakeholders provides opportunities for institutions to comply with ARM-related statutory obligations, ensure transparent and accountability.

4.4.4.2.1 Other stakeholders roles in the management of archives and records in the universities

Apart from the above mentioned main stakeholders, selected institutions were further assessed on stakeholder relations with internal departments, division and units, national and international organisations. While 3 (15.8%) of the respondents from WITS mentioned Internal divisions, units and departments and national departments such as the Department of Higher Education, Training, Science and Technology (DHETST), South Africa Heritage Resources Agency (SAHRA) and international organisation such as International Council on Archives, none of the participants from UNIVEN mentioned any organisation. Some samples of the respondents were as follows:

“There is no memorandum of understanding between Universities and South Africa Heritage Resources Agency (SAHRA) to manage information.”

Based on the above results, it is clear that institutions are to enhance relationships with university internal departments, national and international organisations to advance issues of the ARM programme. Stakeholder relations increase the understanding and competence of staff to undertake processes associated with records and Information Management. Furthermore, it promotes co-operation across institutions and within the organisation regarding the inclusion of strong ARM practices in key projects and activities.

4.5 Summary

In this chapter, data collected via interviews, document analysis and observation study were presented according to the research objectives. The role of ARM is indicated in the university program. The data presentation based on the objectives of compliance with statutory/ regulatory framework such as NARSSA, POPIA, PAIA, PAJA, Records Management practices and ARM maturity level and stakeholder relation with institution responsible for ARM programme showed that the level of an ARM at both universities were not yet developed fully. The data presentation offered insight into the status of ARM programmes from both institutions. Data presentation demonstrates the poor approach to the management of university records at universities as evidenced by poor implementation of legislative and ARM policy framework, poor Records Management skills and professional training of staff in ARM. Results indicate that the management of both universities was willing to appreciate the value of the ARM programme. This analysis provided a baseline for the development of the University ARM framework.

CHAPTER FIVE

INTERPRETATION AND DISCUSSION OF THE FINDINGS

5.1 Introduction

Interpretation of data took place by synthesising the results across the multiple data sources and the theoretical context of the study. According to Creswell (2014:244), interpretation of data means that the researcher draws meaning from data analysis.

In support of the above scholar, Leedy and Ormrod (2014:316) indicated that interpretation of results is expected to achieve the following:

- ❖ Relating the findings to the original research problem and the specific research questions;
- ❖ Relating the findings to pre-existing literature, concepts, theories, model and research studies;
- ❖ Determining whether the findings have practical significance as well as statistical significance; and
- ❖ Identifying the limitations of the study.

The interpretation of the results and discussion of the findings of this study is based on the theoretical framework, literature review, observations, the organisational documents, the set of transcripts and field notes from the interviews in Chapter Four. The results were interpreted in the subsequent sections in line with the research objectives of the study. Based on the above context, it was essential to interpreting research data by illustrating the key objectives that emerged during data analysis to demonstrate any relationships between the results and any trends that may have emerged.

“Interpretation of results may contain references to the literature and past studies” according to Creswell (2014:282). This means that the researcher interprets the data because of the past research showing how the findings may support or contradict prior studies or both. The researcher interpreted data by comparing results from UNIVEN and WITS. According to Bless, Higson-Smith and Sithole (2016:362), researchers

consider the integration of research results with previous findings and theoretical framework applied in the research.

The researcher interpreted data to make sense of information. The limitation of the study was taken into consideration during the interpretation and discussion of the research (DeFour-Howard 2015:175). This chapter should enable the researcher to report on how the results addressed the research questions. Kothari (2007) asserts that it was only through interpretations of results that the researcher can expose relations and processes that underlie the findings.

The discussion of the findings was based on the following themes in line with research objectives, namely:

- ❖ To determine the current state of Records Management in the two selected universities;
- ❖ To assess the level of compliance to statutory requirements of Records Management by the selected universities;
- ❖ To evaluate the ARM maturity level in the selected universities; and
- ❖ To establish the Enterprise Information Management Business Process alignment to ARM process in the two selected universities.

This study aims at comparing of the records-keeping practices between the University of Venda and the University of Witwatersrand, with the view of recommending best practices. Qualitative methods supplemented by quantitating data were used to gather data to answer the research questions. The results of the study were presented in Chapter Four. According to Blum (2006:19), the corresponding section title, which was used in Chapter 4, should be also applied in this chapter. Notably, the organisation of Chapters Two, Three and Four were done according to the objectives of the study. The same practice was applied in Chapter Five.

First and foremost, the ARM programme was ineffective at both universities. Ngoepe and Ngulube (2011:18) alluded that most of the organisations in South Africa are faced with the challenge of implementing ARM programmes. This means that there is a need to develop a framework that could assist organisations to establish an ARM

programme. In Chapter 4, the researcher found that various legislations highlighted the need for the university to develop the ARM framework to improve compliance. This chapter, therefore, strives to link the results through the review of the literature described in Chapter Four. The interpretation and discussion of the findings in this chapter provided the opportunity to highlight similarities, differences, and new concepts related to the topic of the development of the ARM framework of South African universities.

5.2 University of Witwatersrand and University of Venda

As described in Chapter Four, the participants of the study were UNIVEN and WITS.

5.2.1 Institutional profile

The thirty-four (34) programme head, directors, records clerk of the departments from both universities were selected to participate in the study. As compared to WITS, the participants from UNIVEN were fewer, i.e., 15 respondents from UNIVEN compared to 19 participants from WITS. The reason why there was a higher number of participants from WITS compared to UNIVEN was mainly due to the highest population of students and staff. Furthermore, there were many departments at WITS compared to UNIVEN. This yielded a 100% response rate at WITS compared to UNIVEN 15 (93%), which was regarded as appropriate for the study (Bryman 2012:213). Table 3.3.1 provides a summary of all the respondents of the study. Seemingly, there was a reasonable representation of all university departments that participated in the research.

5.3 The Current State of Records Management in the Two Selected Universities

This section interpreted results based on the current state of ARM standards on the full and accurate records; standard on managing records; digital preservation; strategies for records and recordkeeping systems; and appraisal and disposal of university records.

As compared to UNIVEN where there was no proof of adoption of any standards to manage records, the researcher found that WITS adopted ARM standards such as ISO 15489-1 to manage all types of records. The studies conducted by Bushey,

Demoulin and Mclelland (2015:132) indicated that most of the organizations ensured that records were kept in compliance with ISO 15489-1 recommends the adoption of ARM standards. The development of the ARM programme should be conducted in line with national and international Records Management standards. This was alluded to by Luyombya and Sennabulya (2013:69) who indicated that national standards were important to improve and benchmarking record-keeping performance. Many standards, frameworks, and guidelines introduced by archival authorities and scholars assisted organisations to navigate, benchmark and improve their ARM programme (Feng and Pan 2016:130).

5.4 Compliance with legislation governing Archives and Records Management

Universities are to comply with various legislations to implement an ARM programme. Most of the legislation requires an organisation to create and retain specific types of records for a certain period (McLeod and Hare 2010:23). This statement is alluded to by Phiri and Tough (2018:54) who indicated that the university ARM programme is to be aligned to the regulatory framework. The successful implementation of the ARM programme requires the top university management team to provide the necessary tools and resources such as human resources, finances and technology.

South African universities are accountable to the government and the general public, therefore, they are to comply with the national legislations. As alluded to by Chinyemba (2011), accountability and transparent are proven through an effective ARM programme aligned to the national legislation. This implies that ARM programme must be in place to ensure compliance with various legislations as discussed in this section, i.e., NARSSA, PAIA, PAJA, POPIA, ECTA, Heritage Resource Management Act, No. 25 of 1999, PFMA, Student Financial Aid Scheme Act, No. 56 of 1999.

5.4.1 National Archives and Records Service of South Africa Act, No. 43 of 1996.

Section 13

South Africa public universities are required to comply with the NARSSA act as the governmental body reporting to the National Department of Higher Education, Training, Science and Technology. The NARSSA act charges the national archivist with the proper management and care of public records in the custody of governmental

bodies. The implementation of the NARSSA Act is made possible when public sectors develop an ARM programme (Ngoepe and Nkwe 2018:134). The NARSSA requires governmental bodies to develop a Records Classification System (File Plan) for proper care and management of records. Universities are established through the Higher Education Act, No. 101 of 1997 reporting to the National Higher Education, Training, Science and Technology, this implies that they are part of the governmental bodies.

The NARSSA establishes guidelines for the development of a Records Classification System (File Plan). Most archival legislations have a provision for the development of regulations to augment the Act (Mosweu and Simon 2018:80). However, available literature revealed that most of the South Africa public universities are not using the guideline as outline by the NARSSA act on the design File Plan. The NARSSA recommends a functional subject File Plan to be implemented by governmental bodies. However, all the regulatory guidance from NARSSA is general, not specific to universities. This statement was echoed by Katuu (2016:4) who indicated that all the regulatory guidelines from the NARSSA are general rather than specific.

The NARSSA legislation act as a guiding principle to an ARM policy. The National Archives of South Africa extends its mandate to South Africa public universities. The inclusion of the university section on the legislation is similar to the study conducted by Schina and Wells (2002) in the United States of America wherein they found that the State Records of Illinois act includes a section on the management of university records. This means that a similar standard adopted by the USA can be applied in South Africa. The amendment of the NARSSA act would empower both universities and NARSSA to adopt a more strategic approach in facilitating best practices in the ARM programme. For example, a File Plan will be developed in line with the requirements of the act. This statement was alluded to by Tsabedze and Kalusopa (2018:58) who indicated that a national legal framework reflects how a country intended to manage its records through the development of File Plans.

5.4.2 Promotion of Access to Information Act Section 14

South African universities are required to comply with PAIA. Section 14 of PAIA prescribes that public and non-public institutions should develop PAIA Manual to

comply with legislation. The PAIA manual was formerly administered by the South African Human Rights Commission (SAHRC). Since the enactment of the POPIA, the function was transferred from SAHRC to the office of the Information Regulator. According to Matangira (2016:67), the guiding principle of the ARM programme is to ensure that information is available in an organised, efficient and well-maintained environment. Thurston (2015:706) indicated that freedom of Information is recognised as a fundamental aspect of accountability, transparent and openness.

The research revealed that despite having PAIA, the ARM programme at WITS was largely ineffective as most of the records were not retrieved because of the backlog such as not appraised records, lack of proper finding aids and shortage of staff to access records. This finding was similar to those of Pereira (2018:234) who indicated that the Eduardo Mondlane University (EMU) in Mozambique was unable to access records because of a lack of proper finding aids. According to Schellnack-Kelly (2017:278), Archivists and Records Managers need to be proactive and engage with various stakeholders to facilitate access to information.

The majority of the respondents that represent 14 (73,7%) at WITS argued that the existence of the PAIA Manual was not likely to bring many positive changes in the management of public records unless resources to implement the PAIA were made available. This implies that the University Management support was essential for the implementation of the ARM programme. In the case of UNIVEN, the implementation of PAIA was ineffective because 7 (46,7%) of the participants indicated that they lack procedures and processes to implement the legislation. This finding was alluded to by Asogwa and Ezema (2017:331) who found that public bodies such as universities were not aware of their duties about the information provided to the public. Individuals cannot be held accountable for improperly making information provision when there was a lack of proper ARM programme to access all university records (Hamooya, Mulauzi and Njobvu 2011:122).

The researcher observed that UNIVEN did not develop a PAIA Manual. The non-availability of the PAIA manual denies people the constitutional right to access any information held by the university for transparent and accountability purposes. This

finding was similar to that of Cheng (2018:205) who found that organisations should be accountable to society by providing access to information through the development of a PAIA Manual. This finding is contrary to Phiri and Touch (2018:54) who indicated that most South African universities make efforts to comply with the Act.

This study established that the PAIA Manual as a standard for the implementation of the PAIA act had not been developed at UNIVEN. This finding was in line with the conclusion made by Netshakhuma (2019a), that many organisations had no developed PAIA Manual to manage access to university information.

The Information Regulator requires the organisation to comply with PAIA. The Information Officers of both universities must annually submit a report that entails the following information to the Information Regulator:

- ❖ the number of requests for access received;
- ❖ the number of requests for the access granted in full;
- ❖ the number of requests for the access granted in terms of section 46;
- ❖ the number of requests for access refused in full and refused partially;
- ❖ the number of times each provision of this Act was relied on to refuse access in full or partial;
- ❖ the number of cases in which the periods stipulated in section 25 (1) was extended in terms of section 26 (1);
- ❖ the number of internal appeals lodged with the relevant authority;
- ❖ the number of cases in which, as a result of an internal appeal, access was given to a record;
- ❖ the number of internal appeals that were lodged on the ground that a request for access was regarded as having been refused in terms of section 27; and
- ❖ the number of applications to a court that were lodged on the ground that an internal appeal was regarded as having been dismissed in terms of section 77 (7).

In principle, the study revealed that WITS comply with some of section 14 of the PAIA Manual such as submitting the report to the Information regulator on an annual basis.

At UNIVEN, the majority of the respondents acknowledged that there was non-compliance with PAIA Manual because the Information Officer is not yet appointed and no report submitted to the information regulator as the requirement of the act. This implies that UNIVEN was not complying with the PAIA act in terms of the compilation of the PAIA Manual. This finding is similar to the findings of Asogwa and Ezema (2017:334) who stated that non-compliance with legislation in Africa was due to the issue of proactive disclosure and timely reporting on the extent of implementation of the PAIA and the absence of dedicated oversight mechanisms with well-defined procedures of appeal.

The provision of access to university records is essential for both universities. It should be recognised that accountability and transparent are important to promote good governance as it ensures timely and accurate access to information. University records are part of public records so it was important for the public to access such records. Without the provision of access to information, transparent, accountability and service delivery cannot be enforced. This, therefore, means that without the ARM programme the public cannot access all university records.

5.4.3 Promotion of Administrative Justice Act, No. 3 of 2000) Section 3

South Africa Public universities are required to comply with the Promotion of Administrative Justice Act, No. 3 of 2000. Universities are required to comply with Section 23 of the Promotion of Administrative Justice Act, No. 3 of 2000. The need to comply with Records Management principles and practices is enhanced by the Promotion of Administrative Justice Act (Ngoepe and Makhubela 2015:292). The researcher found that most of the administrative actions at both universities were unlawful, not reasonable enough and procedurally unfair. The promotion of the administration of Justice Act, No. 3 of 2000 is dependent on the ARM programme establishment by institutions.

The researcher found that there was proven unauthorised destruction of records at both universities because disposal certificates were not issued by NARSSA. It was clear that once legal proceedings have commenced, it was a serious matter for the employee to destroy records that have been subpoenaed by the other party.

According to the Department of Arts and Culture (2007:3), any destruction of public records should be done following a written disposal authority issued by NARSSA. This was alluded to by Ngoepe and Makhubela (2015:292) who indicated that there is a need for an ARM programme to enhance compliance with the Act.

5.4.4 Protection of Personal Information Act, No. 4 of 2013 Section 5

Universities are required to comply with the POPIA. Examining the existence of POPIA applicable to universities highlights the regulatory mandates and exposes some gaps in the university environments. The majority of the respondents at UNIVEN 7 (53%) and WITS 12 (63,2%) acknowledged that they need to develop procedures and processes to implement POPIA. Despite different responses about compliance with the Act, all of the respondents acknowledged that their compliance with POPIA was a challenge because the act is relatively new. Cook (2006:5) alluded that most of the ARM professionals experience challenges as the result of introducing new legislation, in particular the laws governing data protection and freedom of information. Because POPIA is relatively new, this means that both universities must conduct an impact assessment. A POPIA impact assessment may reveal weaknesses in respect of compliance with the rights of individuals, such as the right of access to information. The POPIA impact assessment may lead to the identification of processes, procedures or measures that need to be implemented, gauge the level of awareness of data protection as part of the business function. It may also reveal opportunities for financial savings in case of monitoring retention periods. The POPIA impact assessment may result in the universities taking steps to implement a more effective ARM programme and free up office space or substantially reduce archiving.

The implementation of POPIA on access to personal information requires universities to embark on information audits to identify gaps in personal information management. Both participants stated that they had not yet conducted an information audit to check whether their universities were ready to implement POPIA. The researcher observed and found that both universities were ill-prepared to manage personal information. Some of the respondents, especially from the Human Resource departments, stated that some records with personal data were lost and misplaced. The lack of information audit had not provided universities to allow them to assess any processing of personal

information. These findings extend those of Singh and Ramutsheli, confirming that personal information practices can result in several data privacy issues bridge (Singh and Ramutsheli 2016:176). It seems that full implementation of POPIA at both universities requires change management, commitment from top University Management, awareness, and training and compliance audits regularly. According to Mosweu and Simon (2018:08), change management incorporates organizational tools to help an individual make a successful personal transition, resulting in the adoption and realization of change.

It appears that the approval of a Code of Conduct by the Information Regulator of South Africa to improve compliance with POPIA yields positive results. This view was supported by Singh and Ramutsheli (2016:176) who indicated that “the code of conduct leads to accountability, information quality and security safeguards of personal information by both universities”. According to Shepherd (2017:255), privacy legislation gave data subject rights over the processing of personal data and regulates the creation, processing and retention of personal data and records. POPIA serves as an instrument to empower the public with a right to access records but subjects to certain restrictions imposed by law.

The POPIA requires universities to appoint Information Officers to be responsible for personal information. The research established that only UNIVEN had not yet appointed an Information Officer to deal with the protection of personal information as required by the Protection of Personal Information Act, No. 4 of 2013 Section 5 (1). Cook (2006:5) alluded that implementation of the legislation has involved the government in initiating measures to guide practice, including the appointment of independent public officials to provide oversight. The findings, therefore, imply that the universities have to appoint personal information specialists staff and observe standards related to personal information management. The researcher believes that the implementation of POPIA at both universities require continuous consultations with university internal stakeholders. This view is supported by the study conducted by Lamprecht (2013:16) who indicated that the challenge to comply with POPIA remains huge and indications were that it might take up to three years for universities to be fully compliant.

5.4.5 Electronic Communication and Transaction Act, No. 25 of 2002

South African universities are required to comply with the Electronic Communication and Transaction Act, No. 25 of 2002. The Electronic Communication and Transaction Act requires the university to manage and control electronic records in compliance with the act. The researcher found that both universities had not developed an effective ERMS system to manage electronic records efficiently and effectively. WITS procured different ERMS with the view to manage ERMS for the long term preservation of records. The finding was similar to that of the study conducted by Ngulube (2012:114) who stated that the transition from the paper-based system to ERMS was characterised by the production of larger volumes of digital records, created and stored in unstructured content management systems. As both universities made the transition from the paper-based record management environment to ERMS, the emphasis was on improving access to information (Wamukoya and Mutula 2005:78). The researcher observed that UNIVEN had not yet developed ERMS. This finding corresponds well with a study by Magama (2018:24) who indicated that embracing open standard and non-proprietary formats in their records migration efforts make the records vulnerable to technological obsolescence challenges. It was essential for both universities to adopt the NARSSA guidelines to develop a strategy and implement ARM systems.

5.4.6 Other legislation governing Archives and Records Management programme in South Africa

South African public universities are required to comply with the Heritage Resource Management Act, No. 25 of 1999, the Student Financial Aid Scheme Act, No. 56 of 1999 and the Public Finance Management Act, No. 1 of 1999. The above-mentioned legislation has an impact on the management of university records and assets because of its obligations to keep records. Financial records play a role in ensuring financial accountability (Keakopa 2018:1). Despite the availability of the legislative framework, both universities experience challenges of ensuring compliance, financial accountability, and information integrity. This finding was similar to the research conducted by Ngoepe and Ngulube (2014) who found that Records Managers had no control over the management of financial records.

At both universities, the researcher established that the ARM programme was not part of financial management. The researcher found that the finance department from both universities was expected to keep financial records even though their Financial Officers had not trained on ARM principles and practices. Lack of keeping financial records contributed to poor Records Management and decision making, business inefficiency, inability to control business from theft and fraud, legal costs, inability to identify strengths and weaknesses of the business. Auditing is an integral part of the control system that ensures the effectiveness and completeness of an organisations' system of internal control. The effective ARM programme enables auditors to give the public assurance that financial reports were authentic, reliable, and complete. Organisations ensure safe custody of all financial records when a need arises (Keakopa 2018:5).

5.4.7 Archives and Records Management strategy

This section intended to determine the existence and alignment of the ARM programme with the university strategy. The researcher found that the WITS ARM programme was in line with the university strategy compared to UNIVEN. At WITS, it appeared that there was a lack of an implementation plan on the ARM programme. Furthermore, the researcher found that WITS lacked the ARM operational plan, which implied that their performance was not linked to the strategy. The fact that there was a lack of an operational plan implied that departments and divisions within the universities could not value the ARM programme. The fact that UNIVEN lacked ARM strategy posed a strategic risk because the issue of the ARM programme could not be prioritised by a higher level of the university committees, such as the Council committee, Management Committee and Risk Management Committee. UNIVEN needs to develop an ARM strategy to improve governance, transparent and accountability.

5.4.8 Records Management policy

The researcher found that both universities' record management policy was in place even though at UNIVEN was not approved by the University Council. This finding is supported by Garaba (2018:152) who confirmed that the success of the ARM programme depends on the approval of a Records Management policy by the

executive management. Schina and Wells (2002:39) alluded that the ARM programme should be supported by a Records Management policy approved by the University's high-level administrative policy advisory committee. It is clear that the implementation of the university's ARM programme highly depends on the approved Records Management policy (ISO 15489-2, 2001, clause 2.2).

The researcher discovered that Records Management policy at both universities does not cover issues relating to ERMS. This finding is supported by Mosweu, Bwalya and Mutshewa (2016:48) who reported that the Botswana National Archives and Records Service (BNARS) lacked policy statements on ERMS, which contributed to less Electronic Records Management. The study conducted by Tsabedze and Kalusopa (2018:50) alluded that ERMS was essential to implement a Records Management policy.

Furthermore, the researcher found that the Records Management policies of both universities meet some of the requirements of ARM standards on compliance, governance, retention and disposal of records. The study conducted by Erima and Wamukoya (2012:33) supported that Records Management policy is to comply with national archives legislation.

The research found that the university's internal audit committee does not constitute a Records Manager as a member. The fact that Records Managers are not part of the audit committee implied that the ARM programme would not be prioritised during the auditing processes. Making effective oversight decisions in the ARM programme requires Archives and Records Management expertise.

5.4.9 Archival repository

This section intended to determine the archival repository storage of both universities were in line with the requirements of the NARSSA standards. The researcher found that there is a lack of purpose-built archives at both universities. The lack of purpose-built archives led to WITS to store records in basements, offices and storerooms. The basements, offices and storerooms are not recommended by the NARSSA store archival materials because of lack of humidity and temperature control. Similar to the

research findings, Magama (2018:27) indicated that the Masvingo province in Zimbabwe lacked purpose-built archives or facilities with humidity and temperature controls and records storage rooms to store archival materials, which led to the loss of institutional memory.

The researcher discovered that units, departments or divisions kept their records in offices because of a lack of purpose-built archives. This statement is in line with the findings of Kalusopa and Ngulube (2012) who indicated that an organisation requires space to store and preserve records. In support of the above observation, Netshakhuma (2019b:14) indicated that the lack of records centres by various organisations contributed towards staff placing some records in the basements and storerooms. It was a challenge to retrieve records and coordinate disposal of records from various units, departments and divisions offices because of ineffective shelving and lack of organising records. Furthermore, the cost of storing records in various units, departments and divisions were very high.

The researcher also found that WITS appointed an offsite storage service provider to store some of their records while at UNIVEN all records were kept on site. Due to a lack of a proper classification system (File Plan), records transferred to off-site storage are difficult to access and therefore resulting in fruitless expenditure. It appeared that instead of retrieval, the main driver for organizations opting for offsite storage is risk mitigation. The researcher found that the outsourcing of Records Management was implemented without the university consultation with a national archivist. Apart from the above, the researcher also found that a quarter of the ARM budget was spent on offsite storage. The researcher further established that records inspections at off-site storage repositories to ensure statutory compliance were not conducted. The Department of Arts and Culture requires Records Managers, in conjunction with the National Archives and Records Services of South Africa, to inspect off-site archives storage areas regularly.

5.4.10 Records procedure manual

Unlike at WITS, the study established that UNIVEN does not have a Records Management procedure manual. However, the records procedure manual at WITS

was outdated as it was last reviewed in 2002. This implied that it does not include the latest development concerning Electronic Records Management. The study conducted by Tsabedze and Kalusopa (2018:50) concurred that the Records Management procedure manual developed by the Eswatini National Archives is only limited to paper-based Records Management that implied that electronic records were not managed properly. Furthermore, the researcher found that both universities did not consider other relevant legislation such as the Higher Education Act, No. 101 of 1997), NARSSA act to develop a records procedure manual. According to Schellnack-Kelly (2017:285), the prescribed national archives registry procedure manual guided officials working in the South African public registries.

5.4.11 File Plan

The study established that key ARM documents that were developed in the university include a File Plan. At WITS, the File Plan was approved by University Management while at UNIVEN File Plan is not endorsed by the university management. The researcher found that there is no designated Records Management Officer to oversee the maintenance of the File Plan. It implies that a File Plan will not be properly managed or maintained in line with the latest changes to the functions of the university.

The researcher found that the File Plan from both universities was not submitted to NARSSA for approval as a compliance issue. This finding was contrary to the finding of Cheng (2018:209) who indicated that the File Plan needs to have complied with section 13 of the National Archives Act. NARSSA requires public institutions to adopt the functional subject File Plan because the functional subject File Plan is a component of the international standard on Records Management, ISO 15489. The lack of submission of File Plan to the NARSSA has also impacted the retrieval of information, determination of retention schedule and implementation of systematic disposal of records. The finding was contrary to Cheng (2018:208) who indicated in his study that the File Plan was fundamental to aspects of retrieval and disposal of records.

5.4.12 Records retention schedule

As compared to UNIVEN who does not have a records retention schedule, the researcher found that WITS developed a records retention schedule. The fact that UNIVEN does not have a record retention schedule creates a serious risk for losing records with historical, cultural, research and scientific value. The lack of records retention schedule may also lead to legal and other business risks, illegal destruction of records and shortage of space to keep records.

For the effective implementation of an ARM programme, there was a need to develop a Records Retention Schedule committee to implement the scheduling of records. The researcher found that at both universities that there was a lack of governance on how records are retained, disposed and transferred. In support of the above finding, Pereira (2018:238) alluded that the lack of the records retention committee to handle all records retention schedules in universities.

File folders created by an institution needs to be allocated a retention period according to the File Plan. The researcher found that WITS lack the allocation of a retention schedule. This finding was contrary to the study conducted by Franks (2015:196) who indicated that the institution's records should be covered by some form of a records retention authority, from records of the smallest transactions to the documentation of the system's policies and procedure. This means that organisations allocate the retention of disposal of records on their system to ensure that records with historical and cultural memory were preserved.

5.4.13 Electronic Records Management System

The researcher found that both universities lack the ERMS system to manage records. This means that most of the electronic records are lost because of the lack of an ERMS system. Both universities lack a strategic plan to migrate from the paper base environment filing system to an Electronic Records Management filing system. In support of the above finding, Marutha and Ngulube (2012:51) stated that most of the South African organisations lack ERMS plan to migrate from paper-based filing to an electronic filing system.

The research also discovered that most of the electronic systems adopted by both universities were not complying with Records Management standards such as ISO 15489. Ineffective ERMS increased litigation risk, long-term preservation of records and lack of systematic disposal of records. Another risk associated with the absence of ERMS was the loss, theft and destruction of records as supported by Khumalo and Chigariro (2017:75). The study conducted by Chachage and Ngulube (2006) concurred with Khumalo and Chigariro that implementation of ERMS requires skilled personnel to avoid loss and destruction of institutional memories.

The researcher also found that appointed Records Managers were not familiar and trained in ERMS. The fact that Records Managers are not trained in ERMS implied that effective implementation of ERMS will not be successful unless Records Managers are trained on ERMS management. The study conducted by Chandler and Storch (2002:155) indicated that Archivists and Records Managers must keep abreast of electronic technology because ERMS store records with confidentiality and privacy information.

The researcher discovered that both universities record management policy does not cover electronic records. This finding concurs with the research conducted by Wamukoya and Lowry (2013:156) who indicated that the e-government strategy could be implemented successfully if it was driven by Electronic Records Management policy. Tsabedze and Kalusopa (2018:63) agreed that Electronic Records Management policy includes systems interoperability; metadata harmonization; data authentication; records security and integrity; electronic records preservation; infrastructure integration; and skills specification. The integration of the ERMS must include the following:

- ❖ A coordinated strategy that captures the requirements for ERMS management;
- ❖ Policy directions for aligning Electronic Records Management;
- ❖ Clear definition of the role of Electronic Records Management and key stakeholders;
- ❖ Standards, models and best practice indicators for Electronic Records Management;

- ❖ Specification of ownership of the Electronic Records Management functions within the e-government in line with the university's strategic objectives; and
- ❖ Benchmarks for e-records services that would assist to enhance the quality of e-Records Management.

The researcher also found that the university's business process was not aligned with the electronic process of universities. This finding implied that the successful implementation of an Electronic Records Management System depends on the adoption of the ERMS aligned to the business process on capturing, and retrieval of records. The study conducted by Hamooya, Mulauzi and Njobvu (2011:121) supported the postulation that universities need to change business processes to adopt an Electronic Records Management System. At both universities, change management is to be implemented to prepare staff for the ERM adoption.

5.5 Archives and Records Management Maturity Level

The study found that the ARM programme maturity level was neither low, medium nor high at both universities. The maturity level was assessed based on the recognition of the value of ARM practices, staff awareness of Records Management policy, executive management support on the ARM programme, ARM division, ARM training conducted, records disposal of records and Risk Management.

The study found a low maturity level of ARM practices concerning the recognition of the value of ARM practices at both universities. The fact that both universities allocated insufficient budget to cover ARM programme on File Plan implementation, training, disposal of records, and introducing effective Electronic Records Management, was a risk to both universities' storage media and preservation of metadata used in government computer systems.

Staff awareness of Records Management policy was essential for the development of the ARM program. This study found a low maturity level on staff awareness on Records Management policy at both universities. The fact that most of the staff were not trained on Records Management policy implied that staff would not implement

Records Management policy effectively. The study conducted by Garaba (2018:153) also supported that lack of staff awareness of Records Management policy at universities could be due to the lack of Records Management policy awareness. This demonstrated that a significant investment such as training should be made to raise ARM programme awareness. The researcher also found that Records Management training/workshop was not a top priority at their institutions. These findings were similar to those of Garaba (2018:28) who stated that ARM awareness was not conducted at the universities.

The executive management support in the form of provision of budget, training, and approval of policies for recordkeeping is to be implemented. The researcher found that the maturity level in terms of executive management support on the ARM is high at WITS compared to UNIVEN. This finding implied that the management allocated a low budget on ARM programmes such as training of staff, Records Management inspections at UNIVEN compared to WITS. This finding implied that the management has to comply with the ARM programme as a business function worth undertaking rather than viewing it as merely a compliance measure. The finding was similar to Phiri and Tough (2018:57) who established that executive management support was a driver for proper Records Management as top management was responsible for providing human and financial resources. This finding is in line with Kaczmarek (2006:24) who said that it was hard to dispute that a component of a good Records Management program needs the University Management support.

The research found that the UNIVEN Records Manager lacked a strategy to lobby the management for support of the ARM programme compared to WITS who lobbied for the management support. Erima and Wamukoya (2012:33) indicated that the Records Manager requires adequate budgetary support by demonstrating the benefits of the ARM programme to institutions that echo this finding. The low profile of the ARM function results in low funding and low investment in the personnel.

The researcher established that there was an ARM division at both universities. The research found that the ARM division was still low in terms of the establishment at UNIVEN compared to WITS. However, the functions of Archives and Records

Managers were combined, which resulted in a lack of full recognition at both universities. However, this finding was contrary to Schellnack-Kelly (2017:286) who indicated that the NARSSA Act defines the parameters of the relationship between the archivist and Records Manager. The NARSSA parameters were mentioned in detail in the regulations, policies and guidelines provided in the Records Management publications of the national archives.

The researcher found that at WITS, the position of a Records Manager/ archivist was placed at a lower level compared to UNIVEN. This finding concurred with the study conducted by Netshakhuma (2019e:5) who indicated that it has been a shortcoming in South African universities that no one at an appropriately senior level has been assigned overall responsibility to manage the ARM programme. The study conducted by Borden and Abboth (2011:66) indicated that, despite the provision of NARSSA for the public institution to place Records Managers or archivist at a higher level, the institution continued to place them at the lower level. The lower-ranking implies that Records Managers and archivists cannot take strategic decisions. The placement of Records Managers and archivists happened despite that Records Manager and archivist higher qualifications in Archives and Records Management. The placement of Records Manager and archivists position at a lower level was contrary to section 13 (5) of the NARSSA Act, which requires Records Managers to be designated at a senior level to facilitate ARM programme from units, departments and divisions. The Department of Arts and Culture (2007:11) made a recommendation of the Records Manager to be an official in a senior central position of any organisation and must be able to communicate easily with various department heads and senior management of the organisation. The Records Manager is responsible for ensuring that universities comply with the requirements of the NARSSA act.

The study found a low maturity level on ARM training at both universities. The fact that ARM training was not conducted by universities implied that ARM functions such as compliance with legislation with regards to the disposal of records, an inspection of records and management of records, would not be conducted effectively. Hence, ARM training was one of the developments for an ARM programme. The study conducted by Pereira (2018:236) recommend the organisation to establish an ongoing

records training programme to equip staff with ARM skills and knowledge. Tsabedze and Kalusopa (2018:29) also found that low maturity level training on Records Management impact negatively on the development and implementation of the ARM programme at the Eswatini. It seems that the ARM training was not given a high priority by both universities.

It has been established that the ARM programme enabled the university to implement systematic records disposal in compliance with NARSSA Act. The researcher found a low maturity level on the Records Disposal Programme at both universities. The fact that universities were not implementing systematic disposal of records implied that records with scientific, cultural and historical significance were not separated from ephemeral records. This implied that both universities have been unable to appraise records resulting in a backlog of records. The findings proved that, at both universities, records disposal process was not conducted regularly. Pereira (2018:230) indicated that the implementation of a disposal authority enabled the university to dispose of its records regularly agree on the finding.

The fact that the national archivist was not informed about any disposal of records at both universities implied that disposal of records may happen not in line with the requirements of the NARSSA.

The following activities were supposed to be performed by the archivists as stipulated by Ngoepe and Nkwe (2018:137):

- ❖ The broader societal and governmental processes that shape the operations of the government office being appraised;
- ❖ The government body's functions and structures. The process involves assessing the importance of internal university departments and divisions with archival potential are targeted;
- ❖ Targeted branches/divisions were analysed in terms of their functions and structures. This means that archivists attempted to identify the records systems with archival potential; and
- ❖ Records systems: The goal was to identify systems with the richest archival potential.

Furthermore, the researcher found that both universities have not applied the disposal authority from NARSSA to dispose of records. The National archivist has the authority to issue disposal authority to a public body. The study conducted by Ngoepe and Nkwe (2018:136) indicated that the responsibilities of appraisal of records in South Africa were left to the archivist. This means that universities wait for an official visit by the NARSSA to determine the value of records. A study by Svård (2014:29) also revealed related results as she pointed out that, although municipalities in Sweden had fully developed registry functions to capture most public records, the management of emails was still problematic to determine the value to dispose of them.

The research found a lack of trained staff to implement systematic disposal of records. This statement is supported too by Mnjama (2005:39) who indicated that shortage of staff results not only in the archives' inability to appraise records in their custody but also in their ability to offer advice on the implementation of systematic disposal of records.

The risk found at WITS was the absence of proper and up to date records retention schedules while UNIVEN lack records retention schedule to implement disposal of records. Furthermore, the appraisal of records was non-existent at both universities. The consequences of lack of guidelines on the management of ERMS, as witnessed at both universities, were that the appraisal system was not carried out proactively. In most cases, records were appraised and transferred in reaction to space shortages.

The value of Risk Management strategy in the creation, processing, storing and preservation of archives materials cannot be overemphasized. The researcher found that both universities developed a Risk Management strategy. However, their Risk Management strategy lacked components on ARM records related risks such as security of records, access to records and disposal of records. This implied that ARM functions are not included as part of the university Risk Management Strategy. The fact that Risk Management strategy does not include the ARM programme implied that universities are faced with challenges of loss of institutional memory and ineffective decision-making. This statement is alluded to by Erima and Wamukoya (2012:32) who indicated that risk assessment scope to cover the record management functions so

that university ARM practices do not pose any legislative or business risk. Risk Management, internal auditing and Records Management were regarded as a component of the ARM programme (Ngoepe and Ngulube 2013:49). The study also found that some of the staff store university records on personal computers; something that compromised records security. To mitigate the risk of this nature, most organizations opt for the implementation of ERMS.

5.6 Enterprise Information Management Business Process alignment to the Archives and Records Management process

This section interprets the results based on the alignment of the ARM processes with the university processes and functions such as teaching and learning, research and engagement.

The study established that at both universities, ARM function is not fully aligned with the business transaction processes. This finding was echoed by Netshakhuma (2019a: 60) who indicated that lack of processes and procedures led to inefficient ARM programme. The research observation during the site visit confirmed a lack of ARM alignment with the university's business processes. This implied that ARM processes were not embedded in university processes. This finding contradicts the finding by Phiri and Tough (2018:56) who indicated that ARM embedded in business processes and governance structure contribute to accountability, transparent and governance of institutions.

The study established that both universities had adequate governance structures such as the University Council and governance committees to improve the ARM programme. From both universities, governance structure does not translate into a good Records Management program because of undefined accountability, no designated authority, and lack of organisational maturity with regards to the ARM program. This finding posed a risk to the linkage of ARM processes within the university processes. This view is supported by Phiri and Tough (2018: 56) who found that it was not possible to conclude that a university with good governance structures necessarily would have a sound ARM programme. Successful governance also

requires ARM integration and business processes among each of the functional areas of the organization.

5.6.1 Stakeholders Role in the Management of Archives and Records in Universities

The study found a lack of collaboration between Universities and NARSSA on the development of a classification system (File Plan), appraisal of records, an inspection of records and advice on the establishment of the ARM department structure. The fact that the NARSSA was not consulted by universities implied a lack of partnerships on the provision of archival and Records Management services.

The study found that the external records audit was conducted at both universities by the AGSA. Even though some of the participants acknowledged the role of the AGSA, other participants were not aware of the importance of the Public Audit Act (No. 25 of 2004). Universities are required to be audited on an annual basis by an auditing firm. According to Keakopa (2018:07), the AGSA reports carried sentiments of financial disorder and mismanagement of taxpayer's money because of a lack of proper ARM programme.

The internal control to manage financial records was not effective, which posed a challenge to the Records Management of both universities. The finding showed a high need for the ARM division to collaborate with the SABS on the issue of developing an ARM standard. This finding was alluded to by Pymm and Lloyd (2007) who indicated that long-term preservation of records requires effective capturing of metadata and records maintenance. The Department of Arts and Culture (2007: 4) endorses SANS 15489 standards to be implemented by organisations intending to implement an effective ARM programme. SANS provides guidelines as required benchmarking tools for Records Management. The SANS standards emphasised on Records Management in an integrated manner.

Furthermore, the NARSSA endorse national standards intending to guide universities to create authoritative and reliable records (Hamooya, Mulauzi and Njobvu 2011:120). The following South Africa national standards provide guidelines in terms of ERMS:

- ❖ SANS 15801: Electronic imaging – information stored electronically – Recommendations for trustworthiness and reliability;
- ❖ SANS 23081: Information and documentation – Records Management processes- Metadata for records – part 1: principles;
- ❖ SANS 17799: Information technology – security techniques – Code of Practices for information security management; and
- ❖ The US DoD 5015.2 Design Criteria Standard for Electronic Records Software Applications and the United Kingdom National Archives' Functional Requirements for Electronic Records Management System.

The study found that the Information Regulator worked with both universities to establish a guideline on personal information management. Both Universities and the Office of Information regulator met regularly to discuss issues of Archives and Records Management. Through these partnerships, the Office of Information Regulator conducted seminars in terms of record management.

The internal departments' collaboration enhances the effective ARM programme within the universities. The researcher found that at WITS, an ARM department collaborated with the library department while at UNIVEN there was a lack of Archives and Records Management collaboration with internal departments. The collaboration provided opportunities for the WITS library department to advise the library and archives division on the digitisation of the archival materials. Furthermore, collaboration with the library department enhances the research and educational opportunities, sharing expertise, attracting more funding opportunities, sharing policies for preservation and conservation of the collection, fostering best practices among institutions. The results of this study are supported by Kaczmarek (2006:26) who indicated that collaborations between internal departments would contribute to the development and implementation of ARM programmes. The collaboration was another way to encourage cultural heritage and preservation, attracting new audiences and blurring boundaries between archives and library services. This implied that improvement in the ARM programme occurs by developing a partnership relationship between departments and the ARM unit. At WITS, it seems that librarians have recognised the research and cultural importance of archival materials. The researcher

found limited collaboration of ARM function with other internal departments within the university, which posed a challenge of compliance with various legislations governing ARM programmes.

The researcher found that initiatives were done by WITS to collaborate with international organisations such as ICA and IFLA. There is a lack of initiative at UNIVEN to collaborate with international organisations on records and archives. The fact that UNIVEN is not engaged in the international collaboration implied that they would not be exposed to the international standards of Records Management. However, the international collaboration at WITS initiated by the archives centre was independent of the university. This finding implies that the university would not benefit from such a partnership as collaboration involve only one department within the university.

5.7. Overview of Records Life Cycle and ARMA International Information Governance Model

5.7.1 Records Life Cycle Model

Records Life Cycle model states that records must be managed from creation to disposal, irrespective of format (Abankwah 2011:90). Records need to be systematically managed throughout their life cycle, i.e., from collection to disposal, in a continuous and integrated way. Inactive records should be stored in the archives repository while active and semi-active records should be stored in the Records Centre. The study conducted by Ngoepe (2014:7) alluded that an effective ARM programme covering the full life cycle of a record ensured that records are not merely kept, but are kept as an asset to increase organisation's efficiency. To establish the status of an ARM at UNIVEN, this study was conducted based on the Records Lifecycle Model that stresses the importance of managing records from the creation until the disposal. According to Cheng (2018:206), Records Management provides an essential function and was important for decision making, accountability and transparent within all institution that controls records through their life cycle including the process of record collection, and retention and disposal of records (Crockett 2016).

University should enable control of the records from creation until the disposal stage and integrated with business processes. The framework to be informed by NARSSA standards, national and international Records Management standards. The professional discourse of archivists and Records Managers and the concerns for data in the information technology sector may overlap because of the areas of privacy, access and security (Rogers 2015:99). The researcher argued against a combination of archivists and Records Managers' roles because each discipline has unique and complementary knowledge. For example, Records Managers understand the life-cycle of records during the creation until disposal while archivist understands the concepts of records description and arrangement of records.

This research blended the prenatal stage of the records continuum with the records life-cycle conceptual stages to develop a framework suitable for managing university records. This means that the life-cycle model was used as a basis for the development of the university Archives and Records Management framework. The introduction of the electronic environment within the university enforces universities to link the ARM framework to Records continuum model and practice. The theory was to be linked to the local environment.

5.7.2 ARMA International Information Governance Maturity Model

The Maturity of Records Management takes its significance from the perspective of what ideally should be followed. Information Governance is an organisation's coordinated, inter-disciplinary approach to sustaining information compliance necessities and managing information risks while optimizing information value (Moonwon 2015). Implementation of Information Governance programme in universities should not be limited to Information Communication technology because some university business units create and distribute manual records to various stakeholders. Most of the research on Information Governance was based on a single case study that influences the design and implementation of Information Governance in general (Hagmann 2013).

The development of the ARM Framework would be the definition of an Information Governance repository with suggestions on the different elements that should be on

such a repository. Information Governance should include a Records Management plan, an information security management system with access to information strategy. Classification of information is an example of the strategy that would be included in the organisation's strategy.

The effectiveness of Information Governance is dependent on Records Management alignment with business processes and practices technology (Grazhenskaya 2017). However, the application of the ARMA International Information Governance Maturity Model is viewed as a means of measuring the Information Governance and strategies. This means that there is a need for an organisation to raise the level of awareness on Archives and Records Management programmes. However, it is essential for Information Governance to be modelled at a country level, as it is likely to filter down to the organisations level (Mullon and Ngoepe 2019)

5.8 Summary of the Chapter

This chapter discussed the results that were presented in Chapter Four and how the overall ARM programme was part of the operations of both universities. The researcher found that there was a lack of compliance with legislation such as NARSSA, POPIA, PAJA and other legislations. Hence, the ideal regulatory process should be simple and consist of setting the rules and effectively monitoring compliance and enforcement. The researcher was also found that the position of head of Archives and Records Management lacked influence in the decision-making process. Both universities developed Records Management policies, although WITS Records Management policy was approved by the vice-chancellor, but lack strategies on the implementation. However, it appears as if the findings of the study concur with findings in the literature in the development of the ARM framework.

The interpretations can be summarised as follows:

- a) ARM programme at universities was not aligned with the NARSSA standards and other international standards concerning the archival repository storage, records procedure manual, File Plan, records retention schedule, development of Electronic Records Management System,

which posed a challenge on the implementation of ARM programme at universities;

- b) There is a challenge with regards to the development Records Management best practices with regards to the setting of standards to ensure that records were aligned with the national standards and regulations;
- c) Both universities, the interpretation of data shows that ARM maturity status in terms of compliance with appropriate legislation, ARM standards, training and awareness and information security is still at a lower level, which posed a risk on the implementation and development of the ARM programme. However, there is a sign that the university management support the ARM programme even though there was a need for the Records Manager to conduct continuous consultation meetings with the University Management. Support of the ARM was demonstrated through the establishment of the formal ARM division;
- d) Despite the availability of the ARM division, there was a need for ARM training as the level of ARM training in both universities was low. There was a lack of systematic disposal of records throughout the universities, which was a threat to the preservation of university memory. Lack of systematic disposal of records will lead to records of archival, historical, cultural value being disposed of. Even though both universities indicated that there was a strategy to manage risk, but analysis of information shows that there was a lack of security of information; and
- e) Efforts were done by both universities to build stakeholder relations with key strategic partners such as NARSSA, SABS, Information Regulator of South Africa, International collaboration such as ICA, and IFLA and internal Library services, Marketing and Communication.

5.9 Limitation of the Study

This study is limited to two purposively universities in South Africa universities. These universities were selected because they were relevant in the endeavour to solve the research question.

The findings of this study, like any other qualitative and quantitative research, are transferable rather than generalizable. Generalisation usually employs a positivist approach including use of statistical analyses. This research, however, employs an interpretivists approach. It uses limited number of phenomena. This being the comparative case study, one should not expect fully fledged predictive explanations to proceed to this study.

CHAPTER SIX

SUMMARY OF RESEARCH FINDINGS, CONCLUSION AND RECOMMENDATIONS

6.1 Introduction

The chapter provides a summary of research findings based on data presentation and conclusion derived using data sourced in line with research findings and recommendations. This should relate the results to the real world by making recommendations based on what has been learned from the research project and therefore can be used to discuss future research. Recommendations of the study are based on what research findings revealed and responsibility for their implementation provided as well as benchmarking them against best practice. A framework to guide the effective implementation of the ARM programme at universities is provided.

This chapter discusses the main findings of this research objective that were formulated at the beginning of the study. The chapter then offers recommendations and suggests areas for further research. The study conducted by Leedy and Ormrod (2014:330) and Bless, Higson-Smith and Sithole (2016:368) indicated that the researcher has to summarise the findings and conclusions about the research problem through an interpretation of the findings; Identifying weaknesses and limitations in the study as it was designed or carried out; identifying possible practical implications of the results, and suggesting areas for future research.

According to Bryman, Bell, Hirschsohn, Dos Santos, Du Toit, Masenge, Van Aardt and Wagner (2011:74), research recommendations suggest themes for further investigation and scan the sources in the list of references, and make notes of what seem significant sources that the researcher wants to obtain. The study conducted by Bless, Higson-Smith and Sithole (2016:21) indicated that a researcher should interpret the results, draw conclusions and make recommendations. The chapter has been structured to include the following: the objectives, a summary of the research findings, conclusions according to the objectives of the study, recommendations and implications of the findings.

6.2 Summary of the Study's Findings

This chapter summarises and concludes the research, and makes recommendations for developing universities' ARM framework in universities as follows.

The objectives of the study were as follows:

- i. To determine the current state of Records Management in the two selected universities;
- ii. To assess the level of compliance to statutory requirements of Records Management by the selected universities;
- iii. To evaluate the ARM maturity level in the selected universities;
- iv. To establish the Enterprise Information Management Business Process alignment to ARM process in the two selected universities; and
- v. To propose an integrated ARM framework in the two selected Universities.

6.2.1 The state of Records Management in the two selected Universities

The researcher found that the ISO15489 standard was not adopted to manage all types of records.

6.2.2 Compliance to statutory requirements of Records Management in the two selected universities

The study established that all universities operate in a regulated environment as discussed below.

6.2.2.1 National Archives and Records Service of South Africa Act, No. 43 of 1996 Section 13

The study revealed that ARM at both universities is largely ineffective because Records Classification Systems (File Plans) were not developed according to the guidelines set by NARSSA Act.

6.2.2.2 Promotion of Access to Information Act, No.2 of 2000 Section 14

The study established that UNIVEN has not yet developed a PAIA Manual. WITS, which has developed the PAIA Manual, lacked the implementation plan.

6.2.2.3 Promotion of Administrative Justice Act, No. 3 of 2000 Section 3

The study found that both universities are lacking administrative processes to determine whether constitutional rights, justice and fairness, accountability, transparent are upheld.

6.2.2.4 Protection of Personal Information Act, No. 4 of 2013 Section 5

The POPIA has not been implemented by both universities because it is relatively new in South Africa.

6.2.2.5 Electronic Communication and Transaction Act, No. 25 of 2002 Section

Despite the enactment of the legislation, it seems that both universities did not comply with the legislation because they do not have procedures and implementation plans.

6.2.2.6 The Higher Education Act, No. 107 of 1997 Section 14

Section 14 of the Higher Education Act, No. 107 of 1997 requires universities to keep University Council records. The study found that Universities are not developing an implementation plan to manage all the council records.

6.2.2.7 Archives and Records Management strategy

Both universities do not have a strategy that is linked to the university strategy.

6.2.2.8 A Records Management policy

This study revealed that Records Management policy was in place at both universities. The study discovered at both universities there is no implementation plan. Over and above the lack of implementation plan, the existing policy does not cover Electronic Records Management.

6.2.2.9 Records procedure manual

The study established that there is a lack of standardised records and archives procedure manual at both universities.

6.2.2.10 Archival repository

The storage and retrieval facilities at both universities were inadequate because of lack of archives purpose building, fire prevention systems, inadequate environmental control, lack of security rules and procedures, disaster preparedness plan and lack of proper shelving to store records.

6.2.2.11 File Plan

The study revealed that university File Plans were not developed in line with the requirements of the National Archives and Records Service of South Africa Act, No. 43 of 1996. Furthermore, the staff was not trained on the File Plan implementation.

6.2.2.12 Records retention schedule

The study established that UNIVEN had not yet established a retention schedule to ensure the scheduling of records. The Records Retention Schedule must be established in an accountable and transparent manner to ensure that the institution, the same applied to WITS, retains records with archival value.

6.2.2.13 Electronic Records Management System

The study found ineffective Electronic Records Management Systems from both universities as result of a lack of collaboration of ARM division with the ICT Division and Legal department. The challenge of ineffective ARM system at both universities requires addressing the threat of losing electronic records.

6.2.3 Archives and Records Management maturity status

The research established that the maturity status was very low in terms of the value of ARM practices as far as it concerns staff awareness of ARM policy or programme, executive management buy-in, the existence of an Archives and Records Management division, ARM training workshops conducted Records Disposal Programme and Risk Management is very low.

6.2.4 Enterprise Information Management Business Process alignment to the Archives and Records Management process

University's strategic plans do not include an ARM strategy against which performance can be measured. The study revealed that both universities could not consider the ARM programme as part of their business processes.

6.2.4.1 Engagements and partnerships on Archives and Records Management

It was evident from the results that both universities collaborated with the Auditor-General of South Africa on issues of Records Management audit. However, there was a lack of collaboration with NARSSA concerning the development of a File Plan.

6.3 Recommendations

6.3.1 The state of Records Management in the two selected Universities

The researcher recommends the adoption of ISO 15489 to manage all records because the range of standards offers a comprehensive toolkit for Records Managers and archivists to establish, maintain, monitor and evaluate a high-quality recordkeeping program or the knowledge and skills required by competent recordkeeping specialist. ARM standards provide a platform for developing and implementing the ARM programme.

6.3.2 Compliance to statutory requirements of Records Management in the two selected universities

The study recommends compliance to statutory requirements of Records Management at the two selected universities as discussed below.

6.3.2.1 National Archives and Records Service of South Africa Act, No. 43 of 1996 Section 13

The researcher recommends the following:

- ❖ that both universities must comply with the NARSSA Act;
- ❖ develop a File Plan in consultation with the NARSSA; and
- ❖ Even though South African universities are not obliged to comply with NARSSA Act, they must align their process with it for best practices.

6.3.2.2 Promotion of Access to Information Act, No.2 of 2000 Section 14

The study recommends the following:

- ❖ UNIVEN to develop a PAIA Manual in line with Section 14 of the PAIA Manual;
- ❖ All universities to develop a PAIA Manual implementation plan;
- ❖ Both Universities must have dedicated staff to manage access to information; and
- ❖ Both Universities must conduct PAIA awareness sessions.

6.3.2.3 Promotion of Administrative Justice Act, No. 3 of 2000 Section 3

The research recommends the following:

- ❖ To develop an effective ARM programme to promote accountability and transparent;
- ❖ The decision making bodies such as the University Council must decide on the ARM programme based on the legislative framework governing records and archives management; and
- ❖ The decision made must be justifiable by providing good reasons and the process of decision making should be fair.

6.3.2.4 Protection of Personal Information Act, No. 4 of 2013 Section 5

The study, therefore, recommends the following:

- ❖ To conduct an assessment on processing limitation, purpose specification, information quality, openness, security safeguards, data subject participation, special personal information, direct marketing and trans-borderer information flows on personal information; and
- ❖ To develop a Code of Conduct to manage personal information. The decision to develop a Code of Conduct was motivated by the desire to:
 - optimize how personal information is used in the Higher Education Industry (HEI);
 - ensure uniform and industry-appropriate implementation of the POPIA; and
 - align the Information Regulator and the HEI's approach to Information Governance.

6.3.2.5 Electronic Communication and Transaction Act, No. 25 of 2002 Section

In light of the findings, the researcher recommends the following:

- ❖ To develop the implementation plan on Electronic Records Management; and
- ❖ To develop a guideline on Electronic Records Management Systems in compliance with the legislation.

6.3.2.6 The Higher Education Act, No. 107 of 1997 Section 14

The researcher recommends the following:

- ❖ The development of an implementation plan for section 14 of the Higher Education Act, No. 107 of 1997; and

6.3.2.7 Archives and Records Management strategy

The study recommended that the ARM functions be included in a university strategy. The ARM function to be treated as an operational and strategic priority of universities because it is a fundamental pillar for the attainment of the governance framework.

6.3.2.8 A Records Management policy

The study recommends that the review of Records Management policy of both universities include an element on archives management, Electronic Records Management, Performance Management System and monitoring and evaluation of the ARM programme.

6.3.2.9 Records procedure manual

The researcher recommends that universities must develop an ARM Procedure Manual. The manual would provide procedures on ARM.

6.3.2.10 Archival repository

The researcher recommended the following:

- ❖ In dealing with the infrastructural constraints of university archives, the universities should develop a purpose-built unit, designed and constructed to serve its purpose;

- ❖ Universities to evaluate outsourcing the storage of non-current records in a commercial records centre;
- ❖ The continuous assessment of the physical records storage with a various department, units, and divisions of universities; and
- ❖ Universities to establish a records centre where inactive records are kept.

6.3.2.11 File Plan

The study recommends the following:

- ❖ The functional File Plan needs to be developed in compliance with the National Archives and Records Service Act, No. 43 of 1996 to archive efficiency in records retrieval and service delivery;
- ❖ The WITS File Plan needs to be updated and reviewed; and
- ❖ Users are to be trained on a File Plan.

6.3.2.12 Records retention schedule

The study recommends the following:

- ❖ Universities to create and maintain records retention and disposition schedules; and
- ❖ Universities to collaborate with NARSSA on the development of records schedule.

6.3.2.13 Electronic Records Management System

This study recommends the following:

- ❖ The implementation of the ARM programme requires the collaboration of ARM division, ICT division and legal department. These collaborations will enable universities to address all aspects relating to Electronic Records Management;
- ❖ Establish a records and archives programme in which all requests for Electronic Records Management System must be evaluated by the Records Manager to determine that technological solutions are compatible with the regulatory and standards of Records Management programme;
- ❖ Acquire an Electronic Records Management System for the management of university records; and

- ❖ Records Managers and archivists to be retrained on ARM because of their lack of ICT skills and business skills to manage records that are generated electronically.

According to Asogwa (2012:208), the following skills and competencies are important for both Records Managers and archivists to remain relevant in the digital environment:

- Possession of recognised competencies on how to manage, appraises, acquire and provide access to electronic records and other digital assets;
- Equipment of self with advanced knowledge of information technology and digital asset management techniques so that they can serve as a source of expert knowledge, conduct research and anticipating changes in technology;
- Possession of a variety of educational opportunities to acquire and improve electronic records-related competencies at the introductory, advanced and continuing education levels;
- Ability to formulate appropriate advocacy strategies base upon a sophisticated understanding of the role of information policy in the creation and accessibility of records in a virtual environment;
- Effective planning for Electronic Records Management programmes and ensuring robust information architectural environment involves understanding the nature and weakness of ICT infrastructure; and
- Universities should assess information security level as it is a compliance issue for all government officials dealing with information to comply with Minimum Information Security Standards (MISS) of 1996. The university to appoint a security manager to ensure that all security information classification is attended to.

To develop a long-range plan for the revitalization of the university's archive and Records Management programme. This implied develop and implement an operational procedure for archival and records functions for born-digital records and digitized archival assets utilizing readily available tools.

6.3.3 Archives and Records Management maturity status

Based on the findings, the study recommends the following:

- ❖ Universities need to recognise the value of records by ensuring that their ARM programmes comply with the legislation governing ARM. The recognition of the value for ARM practices provides a platform for the management of all records created by universities;
- ❖ Noting the university management's perceptions of the Records Management's expectations and the lack of knowledge about the services provided in the division, this study recommends that University Management should separate the archive's function from Records Management to operate Archives and Records Management services separately. This means that a University's organisational structure should include both Records Management and archives management divisions at a strategic level;
- ❖ Universities should conduct staff awareness on ARM policy;
- ❖ The universities' executive management should prioritise staffing for the ARM. Personnel with appropriate qualifications, skills and competencies in Archives and Records Management should be appointed;
- ❖ Records Management champions are to be designated within a University division;
- ❖ The Human resource division should coordinate and facilitate ARM training. People handling records should be sent for short training courses in ARM such as seminars so that they will appreciate the importance of the ARM programme;
- ❖ The relevant stakeholders such as records creating agencies, academia, the NARSSA and the government institutions should be invited by NARSSA to ensure that they are aware of the importance of the NARSSA Act;
- ❖ With regards to the implementation of a Records Disposal Programme, the study recommends that universities to establish a Records Disposal Programme to ensure that records are systematically disposed of, the institution must safeguard against unauthorised destruction of records;
- ❖ The ARM should be integrated as part of university Risk Management. The ARM programme should be integrated as part of the risk of institutions. The

university should develop business continuity plans and contingency measures to ensure that vital records to the continued functioning of the universities are identified as part of their risk analysis and are protected;

- ❖ The university risk committee must include a Records Management specialist as a member of the committee;
- ❖ The universities should ensure that the developed Electronic Records Management System is reliable and accurate to manage information stored in different university systems;
- ❖ The ARM programme should incorporate strategies for disaster management, including vital Records Management. The ARM program must ensure that auditing or assessment based on Records Management standards is incorporated within the university. This means that there is a need to assess their viability and conformance with recognized and accepted ARM standards and best practices; and
- ❖ Universities must establish vital records registers to ensure that strategic records are identified.

6.3.4 Enterprise Information Management Business Process alignment to the Archives and Records Management process

The study recommends that:

- ❖ Universities should include an ARM strategy to achieve strategic objectives;
- ❖ To review the university's strategic plan to entrench ARM components; and
- ❖ The university must develop an ARM strategy, allocated resources to ensure that performance is conducted in line with the Performance Management Plan.

The study revealed that both universities could not consider the ARM programme as part of their business processes. This study recommends the following:

- ❖ The ARM programme should be integrated into the business processes with regards to the record's creation, storing, retrieval, distribution, disposal and archiving. This would, however, requires a Records Manager who can convince the university management to buy in the business case for the ARM programme; and

- ❖ When ARM is recognised and viewed as a strategic issue, it will be easily adopted by management in the business processes.

6.3.4.1 Engagements and partnerships on Archives and Records Management

The Office of the Information Regulator collaborated with South African universities to develop a Code of Conduct to help universities on the protection of personal information.

The study recommends that:

- ❖ Universities to collaborate with the internal library, the legal department to enhance ARM functions;
- ❖ Given the evidence of lack of cooperation by other divisions at UNIVEN, it is therefore recommended that the archive and Records Management division must play a role to collaborate with records creators from various departments or units. This creates an opportunity for the ARM division to become engaged directly with the records creators by ensuring compliance with regulatory requirements. This means direct engagement with records creators is viewed as a necessary component for good stewardship of archival records, which needs to be preserved in the university archives;
- ❖ It is further recommended that universities establish partnerships or collaborations with various institutions such as civil societies, government departments such as Arts and Culture responsible for the Records and Archives Management programme. The collaborative efforts could enhance the development and implementation of the ARM programme; and
- ❖ Universities should partner with local communities. Universities play an important role in society in building social cohesion. This is because collaboration makes it possible for an organisation to take advantage of professional customs and expertise across a far-reaching continuum.

6.4 Conclusion

The main conclusions were drawn from the analysis of data collected by questionnaire and document reviews. Record keeping at selected universities is not fully recognised as a strategic function. The low profile of the record-keeping programme results in

low funding and low investment in personnel. This could be seen by lack of compliance with legislation governing Records Management, poor storage facilities, low budget, the lack of effective Archives and Records Management in the selected universities. The University's top management needs better awareness and training of the significance of records. This would assist to create support for personnel development, and budgets for equipment and facilities require the adoption of an Archives and Records Management framework. The establishment of an Archives and Records Management framework can be successful if supported by key stakeholders on which is based, including archivists and Records Managers. The framework for ARM Policy framework for the universities should consider factors such as legislation, standards, procedures and guideline. There is a need for effective planning, implementation, review and implementation, review and improvement. This is because an effective Records Management System not only improves management efficiency but creates intellectual capital at the university, for sustainable development.

6.4 An integrated Archives and Records Management framework

It was envisioned that the developed ARM framework will assist the South African universities and other organizations to overcome the risk of poor Records and Archive Management. The proposed framework for the management of universities in South Africa provides a structure that can be used to promote a collective approach to the management of university records as part of the enterprise business management processes.

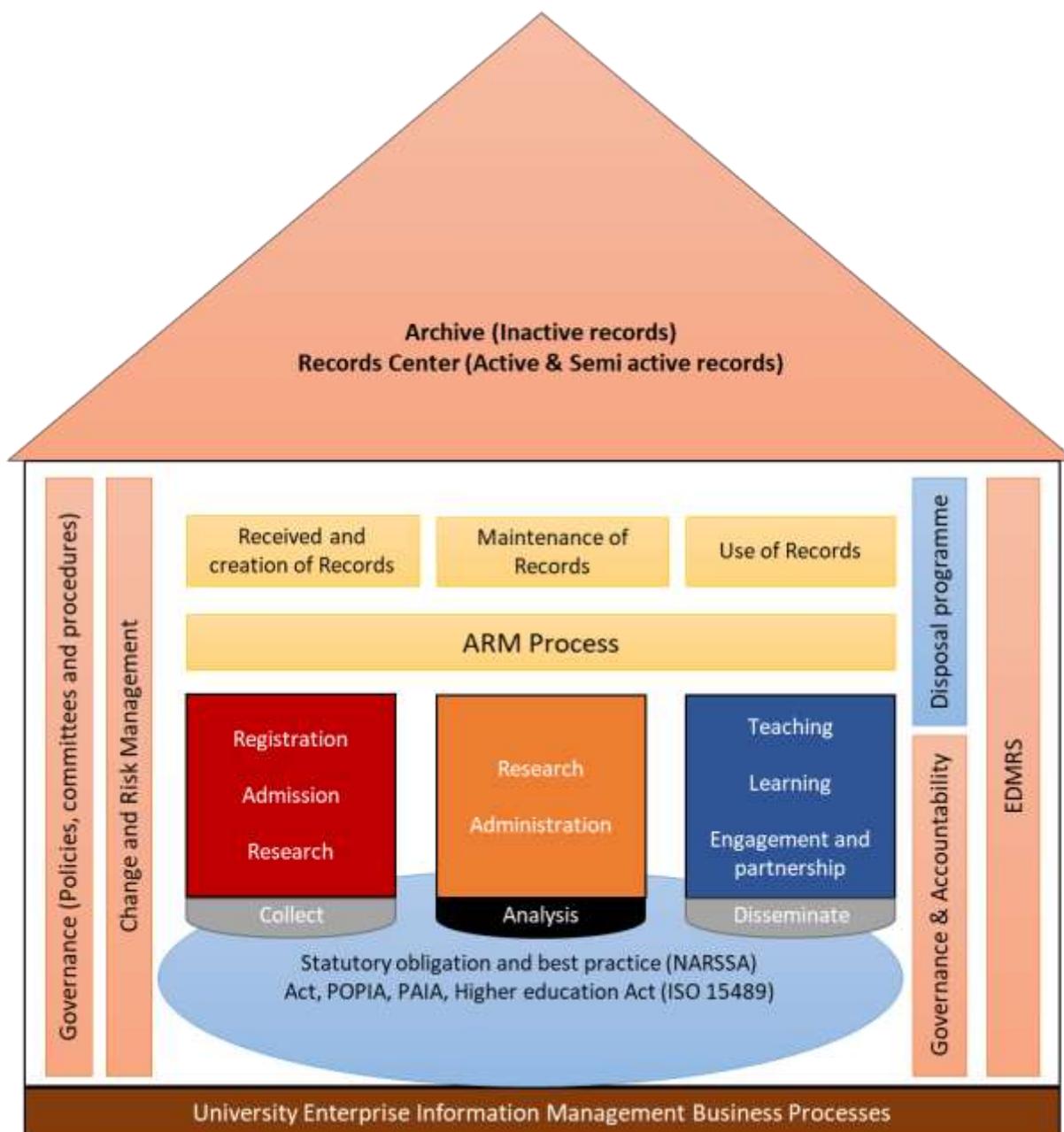


Figure 6.1 An Integrated Archives and Records Management Framework

6.4.1 Key Components of the framework

This section explains the key components of the framework. The University Enterprise Information Management Business Process informs this framework. The University Enterprise Information Management Business Processes are guided by the statutory obligation and best practices such as NARSSA Act, POPIA, ISO 15489 and Higher Education Act. This means that universities are to put governance in places such as Information and Records Management Policies and committees in place.

Universities collect, analyse and disseminate information during the execution of their functions. Universities collect information during student admission, registration and research. Universities' information is analysed during research and administration of the duties. The University community (i.e., students, lecturers and staff) conducts a University's research and there is also research conducted by external stakeholders through university engagement and partnerships. The University analyses the type of records needed to be preserved by external communities to be transferred to the University Community. After the collection and analysing of information, such information is disseminated through teaching and learning. Archives Records Management processes require involved received and creation of records during the collection stage of records. Records are maintained during the process of records analysing. Thereafter, records are maintained and use by ensuring that File Plans, Records Management procedures are in place to ensure records preservation.

Governance and accountability are dependent on effective Archives and Records Management programmes. This means that decision-making is dependent on an effective Records Management programme. The proper management of records contributed to an effective disposal programme that includes an appraisal of records, disposal of records, and preservation of archival materials. This means that there would be an effective process to transfer archival materials to archives repository while records with short-term value are disposed of. The adoption of the Electronic Document Management and Records System (EDMRS) is recommended for an organisation to implement a systematic disposal programme.

6.4.2 Implementation of the framework

Governance and recordkeeping are elements in an organisation's strategy. Universities operate in an environment with a few laws and regulations that directly and indirectly affect recordkeeping.

Universities are to do the following to conduct the following

- Establishing ARM programme;
- Develop policies, standards and practices to manage records;

- Provide professional training in Records Management for both universities staff (Support and line functions);
- Embedding sound recordkeeping practices into business processes;
- Records Management to be treated as a governance function; and
- Commitment from top management concerning resources (Finance, human resources and information communication technology).

6.5 Areas for Further Research

Research is a process and has to go on as a way of answering and generating further questions. Likewise, in the course of this research, several problems have been discovered but need further attention as presented below.

- i. The role of the National Archives of South Africa towards the management of university archives is not indicated. There is, therefore, a necessity to study the functions of the National Archives towards the university's records and archives; and
- ii. Lack of integration of business processes at universities was identified as the challenge for most of the university. There is, therefore, a need for research to determine the best Electronic Records Management System to manage university records in Southern Africa.

6.6 Study Implications

The finding of this study contributes towards good governance, compliance, improved performance and mitigates risks. The study contributes to the existing body of knowledge with regards to the topic in question by integrating Records Management practices into business processes. Furthermore, the current study provided empirical evidence on the importance of managing university records through the records lifecycle and suggested means for improving governance in the universities by strengthening effective Records Management System in South Africa.

6.7 Contribution of the Study

The study conducted by Creswell (2003:149) states that the significance of the study elaborates on the importance and implications of a study for researcher, practitioners, and policymakers. This study is significant in several ways. For NARSSA, its finding

provides guidelines for managing university records. The finding is capable of informing policy development and implementation fit to support universities' Records Management programmes. Secondly, the study proposes the ARM framework as an approach to manage university records in South Africa and other parts of the world. The beneficiaries of the framework will be NARSSA, government ministries, the Auditor General of South Africa, and universities. The framework would serve more like an evaluation tool of corporate governance and improve transparency and accountability. Generally, the study stands to add to scholarly literature on university records.

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APPENDICES

Appendix A: QUESTIONNAIRE

Interview Checklist: University Staff members

A: BIOGRAPHICAL INFORMATION

ITEM	INFORMATION
1. Name of the University:	
2. Your department/section:	
3. Your designation:	
4. Your length of service:	
5. Your highest educational qualification:	

B. COMPLIANCE WITH STATUTORY/ REGULATORY FRAMEWORK

1. Does your University comply with the following statutory obligations?

Legislation	Yes	No	If no, how will you enable your University to comply?
National Archives and Records Service of South Africa Act (No. 43.1996) (focusing on effective Records and Archives Management Section 13)			
Promotion of Access to Information Act (No.2 of 2000) (Focusing on the access of information: section 14 PAIA Manual)			
Promotion of Administrative Justice Act (Act.No.3 of 2000) Section 3			
Protection of Personal Information (Act No. 4 of 2013) (Focusing on the protection of personal information Section 5)			
Electronic Communication and Transaction Act (Act. No.25 of 2002) (Focusing on the management of Electronic Records Management of Section 27)			
Other: Please list			

2. Does your university or department have an approved Records management Policy?

Yes	<p>If yes, Please tick the components of the policy that your University or department does comply with. <input type="checkbox"/></p> <p>The statutory and regulatory environment <input type="checkbox"/></p> <p>Responsibilities <input type="checkbox"/></p> <p>Access to records <input type="checkbox"/></p> <p>Retention or destruction of records <input type="checkbox"/></p> <p>Monitoring the records management program <input type="checkbox"/></p> <p>Any other (explained)</p>
No	<p>If no, how does your department ensure proper control and management of records?</p>

3 Does your university or department have archival repository storage (archives purpose building used to capture, structure, provide access to, and preserve archival materials produced by the University)?

Yes	<p>If yes, please tick the components of archival repository storage which the university or department does comply with.</p> <p>Fire prevention systems are in place <input type="checkbox"/></p> <p>Adequate environmental control exist <input type="checkbox"/></p> <p>Security rules and procedures are in place and followed <input type="checkbox"/></p> <p>Disaster preparedness plan is in place <input type="checkbox"/></p> <p>Proper shelving is used to store records <input type="checkbox"/></p> <p>Any other (explained)</p>
No	<p>If no, explain how your university or department store records?</p>
Not sure	

4. Does your university have a records procedure manual (Records procedure manual is a standardised process to manage and control records in an institution)?

Yes	<p>If yes, Please tick the components of the records procedure which your University or Department does comply with.</p> <p>Forms Management <input type="checkbox"/></p> <p>Management of electronic records <input type="checkbox"/></p> <p>Management of active, semi-active records <input type="checkbox"/></p> <p>Vital records protection <input type="checkbox"/></p> <p>Destruction of records <input type="checkbox"/></p> <p>Any other?</p>
No	If no, how will you ensure that your department has a records procedure manual?
Not sure	

5. Does your university or department have an approved File Plan (a File Plan is a comprehensive document outline that includes the records series, file organization, active file locations, file transfer instructions, file retention and disposition instructions and other specific instructions that guide effective management of records).

Yes	<p>If yes, please tick the components of the File Plan which your University or Department does comply with?</p> <p>The classification of the records <input type="checkbox"/></p> <p>Location of the stored records <input type="checkbox"/></p> <p>Description of the retention schedule and period <input type="checkbox"/></p> <p>Registers (File opened and destruction register) <input type="checkbox"/></p> <p>Implementation of a File Plan <input type="checkbox"/></p> <p>Any other explanation?</p>
No	If no, how will you ensure that your University or Department has an approved File Plan?
Not sure	

6. Does your university or department have an approved records retention schedule (Records retention schedule defines how long the organisation needs to retain them before you destroy them or transfer them to archives).

Yes	<p>If yes, please tick the components of the Records Retention Schedule which your university or department does comply with.</p> <p>Schedule requirements <input type="checkbox"/></p> <p>Retention languages <input type="checkbox"/></p> <p>Safeguard against an improper disposition <input type="checkbox"/></p> <p>Records appraisal <input type="checkbox"/></p> <p>Any other explain</p>
-----	--

No	If no, how will you ensure that your university or department has a records retention schedule? <hr/> <hr/> <hr/>
Not sure	

7. Does your university have an electronic document management system? (An electronic system that uses business rules to ensure that information stored in digital formats is properly distributed, used, stored, retrieved, protected, and preserved according to established policies and procedures).

Yes	If yes, Please tick the activities which were followed to implement the system Conduct preliminary investigation <input type="checkbox"/> Initial assessment of the university's legal and business environment <input type="checkbox"/> Identification of records related challenges <input type="checkbox"/> Results in defining the scope of the programme and the charter <input type="checkbox"/> Implement a records system <input type="checkbox"/> Other activities
No	If no, how do you manage records generated electronically?
Not sure	

C. ESTABLISHMENT OF RECORDS MANAGEMENT BEST PRACTICES AS GUIDED BY INTERNATIONAL RECORDS MANAGEMENT STANDARDS

Apart from statutory obligation, are you applying archives and records management (ARM) Standards at your university or department to enhance archives and records management programme?

Yes	If yes, please tick the ARM standards that have been implemented in your Department to enhance records and archives management programme? Standard on full and accurate records <input type="checkbox"/> Standard on managing a records
-----	---

	management program <input type="checkbox"/> Standard on digital recordkeeping <input type="checkbox"/> Standard on counter disaster <input type="checkbox"/> strategies for records and recordkeeping systems <input type="checkbox"/> Standard on the appraisal and disposal of State records <input type="checkbox"/> What are other standards?
No	If no, how will you ensure best practices?
Not sure	

2. Does your university or department have an approved ARM strategy? (An ARM strategy development process is designed to ensure that University ARM programme is aligned to the University overall corporate objectives, with clear achievable goals and priorities, in the shortest possible time)

	If yes, is it being implemented?	Yes		No	
Yes	What are the components of the university or department ARM strategy? ARM training <input type="checkbox"/> Disposal of records <input type="checkbox"/> Accessibility of information <input type="checkbox"/> Disaster and Recovery <input type="checkbox"/> Monitoring and evaluation <input type="checkbox"/> Any other components or element				
No	If no, how will you ensure that the University or Department develops one?				
Not sure					

D. THE ARM MATURITY STATUS (The maturity model aims to give an accurate, reliable, and honest summary of the current level of maturity of the records management measures within the University).

1. From a scale of 1-3 (1 did not comply, 2 partially complying and 3. Fully comply), how will you rate ARM maturity status in your university or department (e.g., the

measure of identifiable expertise within records management section, a measure of staff with responsibilities who have undergone training, the measure of the competence level of records management staff).

1.1. Compliance with archives and records related legislations as outlined in Section B

1		2		3	
---	--	---	--	---	--

1.2. Recognition of the value of ARM practice

1		2		3	
---	--	---	--	---	--

1.3. Staff awareness of ARM policy/ programme

1		2		3	
---	--	---	--	---	--

1.4 Measuring the extent to which the University views ARM as an operational and strategic priority

1		2		3	
---	--	---	--	---	--

1.5 Does the executive management team of your university or department support the ARM programme?

Yes	<p>If yes, please tick the type of support do they provide to improve the maturity level of the ARM?</p> <p>Administer a records management program <input type="checkbox"/></p> <p>Resources Allocation (Finance, Staff and Equipment) <input checked="" type="checkbox"/></p> <p>Build Stakeholders <input type="checkbox"/></p> <p>Any other support _____</p>
No	
Not sure	

1.7 Does your university or department has an ARM division?

Yes	<p>If Yes, please tick the level ARM designations (Job Level)</p> <p>Director Level <input type="checkbox"/></p> <p>Deputy Director Level <input type="checkbox"/></p> <p>Assistant Director Level <input type="checkbox"/></p> <p>Administrative Officer <input type="checkbox"/></p> <p>Any other level _____</p>
No	
Not sure	

1.8 Is ARM training/workshops (components of training) conducted at your University?

Yes	If Yes, please tick the module or content of the training/ workshop offered?		
	Legislations and compliance <input type="checkbox"/> Classification system <input type="checkbox"/> Disposal of records <input type="checkbox"/> Access and Security <input type="checkbox"/> Electronic Records Management <input type="checkbox"/> <u>Any other module or content of the training/ workshop</u> _____		
	How Often		
	Once a Year	Twice a year	More than Three times a year
No			
Not sure			

2. Does your university or department have an Information Security Classification Register? (All University matters requiring the application of security measures (exempted from disclosure) must be classified "Restricted", "Confidential", "Secret" in terms of Minimum Information Security Standards (MISS)).

Yes	If yes, what are your information security classification levels?						
	Top secret		Confidential		Restricted		Other (please specify)
No	If no, how are your records protected from unauthorised access?						
Not sure							

3. Does your university or department have a Records Disposal Programme?

Yes	If yes, please tick the process of disposal of records					
	Shredding <input type="checkbox"/> Recycling <input type="checkbox"/> Dumping <input type="checkbox"/> Retain as archives <input type="checkbox"/> Transfer <input type="checkbox"/> Any other form of disposal _____					
	If yes, how often to you dispose or transfer your records?					
	Yearly		Quarterly		Monthly	
No	If no, how do you manage expired records?					
Not sure						

4. Does your University have a strategy to manage record related risks?

Yes	<p>If Yes, please tick the records related to risk areas in your University or Department.</p> <p>Privacy of information <input type="checkbox"/></p> <p>failure to provide comprehensive oversight <input type="checkbox"/></p> <p>Access control <input type="checkbox"/></p> <p>Reliability of ARM systems <input type="checkbox"/></p> <p>A failure to assign responsibility <input type="checkbox"/></p> <p>Any other? _____</p>
No	If no, how do you manage record related risks within your University or Department?
Not Sure	

5. Does your university or department have a vital record register (vital records register is a register that keeps those records that are necessary for a university to continue to operate in the event of a disaster like a fire; security and environmental pollution).

Yes	<p>If yes, please tick the measures you put in place to protect such a register?</p> <p>Scan and save electronically <input type="checkbox"/></p> <p>Off-site storage <input type="checkbox"/></p> <p>Store in another University building <input type="checkbox"/></p> <p>Any other measure _____</p>
No	
Not sure	

E. ALIGNMENT OF ARM PROCESSES TO UNIVERSITY BUSINESS PROCESSES

1. Is the ARM function aligned with your University's Strategic Plan?

Yes	<p>If yes, under which strategic pillar (University or Department) is records management embedded?</p> <p>Governance, Management and Support Service <input type="checkbox"/></p> <p>Innovation and social leadership <input type="checkbox"/></p> <p>Extensive networks and partnerships <input type="checkbox"/></p> <p>Research and Knowledge leadership <input type="checkbox"/></p> <p>Teaching and Learning <input type="checkbox"/></p> <p>Institutional Planning and Quality Assurance <input checked="" type="checkbox"/></p> <p>Library and information services <input type="checkbox"/></p> <p>Access and performance <input type="checkbox"/></p> <p>Any other _____</p>
No	If no, what is your plan to incorporate RM into the strategic plan of the university or department?
Not sure	

2. Are your ARM processes aligned to other university departmental processes?

Yes	If yes, tick the ARM processes aligned to other department. Receive/Creation <input type="checkbox"/> Store <input type="checkbox"/> Retrieve <input type="checkbox"/> Distribute <input type="checkbox"/> Disposal <input type="checkbox"/> Archiving <input type="checkbox"/> Any other processes
No	If no, what informs other departments' records management processes?
Not sure	

F. STAKEHOLDERS IN ARM AT THE UNIVERSITIES

1. Which of the following organisations are your main stakeholders in ARM and how do you rank them?

NAME	RANKING			
	High Priority	Medium Priority	Low Priority	Motivate your ranking
NARSSA				
AGSA				
SABS				
Information Regulator				
Other				

Thank you for your time and contribution.

Appendix B: Permission to Conduct Research Letter (UNIVEN)

Research and Innovation
Office of the Director

07 February 2018

Mr NS Netshakhuma
University of South Africa
Department of Information Science

Dear Mr. Netshakhuma

Permission to conduct Research at the University of Venda

You are hereby granted permission to conduct research at the University of Venda.

The Research will be based on your Doctoral Project titled: **Developing a framework for archives and records management Programme: Comparative Analysis of University of Venda and the University of Witwatersrand.**

The conditions are that all the data pertaining to University of Venda will be treated in accordance with the Ethical Principles and that will be shared with the University. In addition consent should be sought by you as a researcher from participants.

Attached is our policy on ethics.

Thank you



Senior Prof. G.E. Ekosse
Director Research and Innovation

Cc: Senior Prof LB Khoza (Acting: DVC Academic)



UNIVERSITY OF VENDA
PRIVATE BAG X5050, THOHOYANDOU, 0950. LIMPOPO PROVINCE, SOUTH AFRICA
TELEPHONE 015 962 8313 / 8504. FAX 015 962 9060
Email: research@univen.ac.za

"A quality driven, financially sustainable, rural-based comprehensive University"

Appendix C: Permission to Conduct Research Letter (WITS)



OFFICE OF THE DEPUTY REGISTRAR

11 January 2018

Mr Nkholezani Sidney Netshakhuma
PhD Information Science Candidate
University of South Africa

TO WHOM IT MAY CONCERN

**“Developing a framework for archives and records management programme:
Comparative analysis of University of Venda and the University of the
Witwatersrand”**

This letter serves to confirm that the above project has received permission to be conducted on University premises, and/or involving staff and/or students of the University as research participants. In undertaking this research, you agree to abide by all University regulations for conducting research on campus and to respect participants’ rights to withdraw from participation at any time.

If you are conducting research on certain student cohorts, year groups or courses within specific Schools and within the teaching term, permission must be sought from Heads of School or individual academics.

Ethical clearance has been obtained. (Protocol Number 36300632)

A handwritten signature in black ink, appearing to read "Nicoleen Potgieter".

Nicoleen Potgieter
University Deputy Registrar

Appendix D: Ethical Clearance Letter



DEPARTMENT OF INFORMATION SCIENCE RESEARCH ETHICS REVIEW
COMMITTEE

Date: 10 December 2017

Ref #:
2017_NSNetshakhuma_36300632_001
Name of applicant: NS Netshakhuma
Student #:X
Staff #:

Dear NS Netshakhuma,

Decision: Ethics Approval

Name: Title and name of principle applicant, address, e-mail address, and phone number

NS Netshakhuma, Unisa Information Science, 36300632@mylife.unisa.ac.za; and 082 596 3016

Proposal: Developing a framework for archives and records management programme: comparative analysis of University of Venda and the University of Witwatersrand.

Qualification: PHD in Information Science

Thank you for the application for research ethics clearance by the Department of Information Science Research Ethics Review Committee for the above mentioned research. Final approval is granted for 4 years.

For full approval: The application was reviewed in compliance with the Unisa Policy on Research Ethics by the Department of Information Science Research Ethics Review Committee on 10 December 2017.

The proposed research may now commence with the proviso that:

- 1) The researcher/s will ensure that the research project adheres to the values and principles expressed in the UNISA Policy on Research Ethics.*
- 2) Any adverse circumstance arising in the undertaking of the research project that is relevant to the ethicality of the study, as well as changes in the methodology, should be communicated in writing to the Department of information Science Ethics Review Committee. An amended application could be requested if there are substantial changes from the existing proposal, especially if those changes affect any of the study-related risks for the research participants.*



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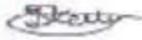
3) *The researcher will ensure that the research project adheres to any applicable national legislation, professional codes of conduct, institutional guidelines and scientific standards relevant to the specific field of study.*

Note:

The reference number 2017_NSNetchakhuma_36300632_001 should be clearly indicated on all forms of communication [e.g. Webmail, E-mail messages, letters] with the intended research participants, as well as with the Department of Information Science RERC.

Kind regards,

Signature



Dr Isabel Schellnack-Kelly
Department of Information Science
Research Ethics Review Committee

012 429 6936

Appendix E: Editor's Letter

Mr MM Mohlake
University of Limpopo
Turfloop Campus
Private Bag x 1106
Sovenga
0727

16 May 2020

To Whom It May Concern

EDITING CONFIRMATION: Mr NS NETSHAKHUMA's STUDY

This letter is meant to acknowledge that I, M.M. Mohlake, as a professional editor, have meticulously edited the main doctoral thesis of Mr Nkholezeni Sidney Netshakhuma (Student number: 363000632) entitled "A Framework for Archives and Records Management Programme at Institution of Higher Learning in South Africa: A UNIVEN-WITS Comparison".

Thus I confirm that the readability of the work in question is of a high standard.

For any enquiries please contact me.

Regards



Mosimaneotsile M Mohlake
Freelance Professional Editor
072 1944 452
<mosimaneotsile.mohlake@ul.ac.za>

Appendix F: Curriculum Vitae of NS Netshakhuma

CURRICULUM VITAE OF NKHOLEDZENI SIDNEY NETSHAKHUMA

Current Positions

Mr Nkholezeni Sidney NETSHAKHUMA is currently the Deputy Director of Records and Archives at the University of Mpumalanga in South Africa. On a freelance basis, he offers his professional services as an e-Tutor and Marker for the Archives and Records Management course at UNISA.

Historical Positions

Previously, Mr Netshakhuma worked for the South Africa Public Service for 12 years as Deputy Manager, Information and Records Management; SANParks as a Records Manager; and the African National Congress as an Archivist.

Educational Achievements

Mr. Netshakhuma holds a BA degree (History and Political Studies); BTECH degree (Archival Studies); BPHIL (Honours) Information and Knowledge Management; Post Diploma in Records and Archives Management; Postgraduate Diploma in Heritage and Museum Studies; Advance Certificate in Records and Archives Management; Master's of Information Science from the University of South Africa; and he is currently enrolled for a doctoral programme in Information Science at UNISA.

Cooperate Responsibilities

Mr. Netshakhuma served as the Advisory committee member of UNISA Centre for Applied Communication (Records and Archives Management). He is currently a Deputy Chairperson of the South Africa Higher Education Records Management Forum. He also served as an advisor for the Reference Group of the Mpumalanga Records Management Forum.

Academic Participation & Publication Record

Mr. Netshakhuma's areas of interest include university records and archives; archival legislation; liberation archives; and knowledge management. He published 22 extensive research articles both nationally and internationally accredited and high impact journals. He presented more than 20 papers, both nationally and internationally, at platforms organised by, among others, the International Council on Archives Section on Universities Archives, Records and Information Management Professionals (Australasia); the South Africa Society of Archivists; Mpumalanga Records Management Forum and the South Africa Records Management Forum.