ASSESSMENT OF RECORDS MANAGEMENT PRACTICES AMONG THE

ADMINISTRATIVE STAFF OF UNIVERSITY OF EDUCATION, WINNEBA –

KUMASI (UEW-K) AND MAMPONG (UEW-M) CAMPUSES

By

Adu Freda, Bachelor of Business Administration

© 2014 Department of Managerial Sciences

A Thesis submitted to the Department of Managerial Sciences,

Kwame Nkrumah University of Science and Technology

in partial fulfillment of the requirements for the degree

of

MASTER OF BUSINESS ADMINISTRATION (HRM OPTION)

School of Business

College of Art and Social Sciences

2014

DECLARATION

I hereby declare that this submission is my own work towards the Master of Business Administration (Human Resource Management Option) and that, to the best of my knowledge, it contains no material previously published by another person nor material which has been accepted for the award of any other degree of the University, except where due acknowledgement has been made in the text.

Adu Freda, PG7615612 ....
Student Name & ID   Signature   Date

Certified By:

Mrs. Rosemary Boateng Coffie ....
Supervisor's Name   Signature   Date

Certified By:

Mr. J.K. Turkson ....
Head of Dept. Name   Signature   Date

ABSTRACT

Records management seeks to efficiently and systematically control the lifecycle of records that are routinely generated as a result of activities and transactions. Most universities are continuously deploying integrated records management as a means of improving the decision making as well as service delivery quality. It is also generally recognized that at the core of the numerous complex university problems, is a poor capacity for records management. This research thus, attempted to fill this gap by using two satellite campuses (Kumasi and Mampong) of the University of Education, Winneba (UEW) as study-survey institution.

The study reviewed literature on the concepts of records, their forms as well as the life-cycle of records. It further outlined the benefits and challenges of records management.

The study purposely sampled 80 administrative staff comprising senior members, senior staff and junior staff from the two satellite campuses. Flowing from the quantitative nature of the research strategy, structured questionnaires were used as the sole data collection instrument and Statistical Package for Social Sciences (SPSS) was used to analyze the data.

The major findings of the study revealed that the administrative documents are stored in both manual and electronic forms. This leads to quick decision making, saves office space and promotes good corporate governance. It was further indicated that there were insufficient resources in terms of professionally trained records managers, training-starved administrative staff and office space. Therefore, it was recommended that management of UEW should embrace the records management function to ensure its effectiveness, and also professionally trained records managers should be employed.

ACKNOWLEDGEMENTS

I wish to express my heartfelt gratitude to the following people, for their direct or indirectcontribution towards the successful completion of this thesis. It would be a great sin not to thank the Most High God, who has been the source of my strength and spiritualguidance throughout my education.

I owe a debt of gratitude to my supervisor, Mrs. Rosemary Boateng Coffie for the professional manner in which she guidedme through this study. Without her motivation and encouragement this research wouldnot have been completed.
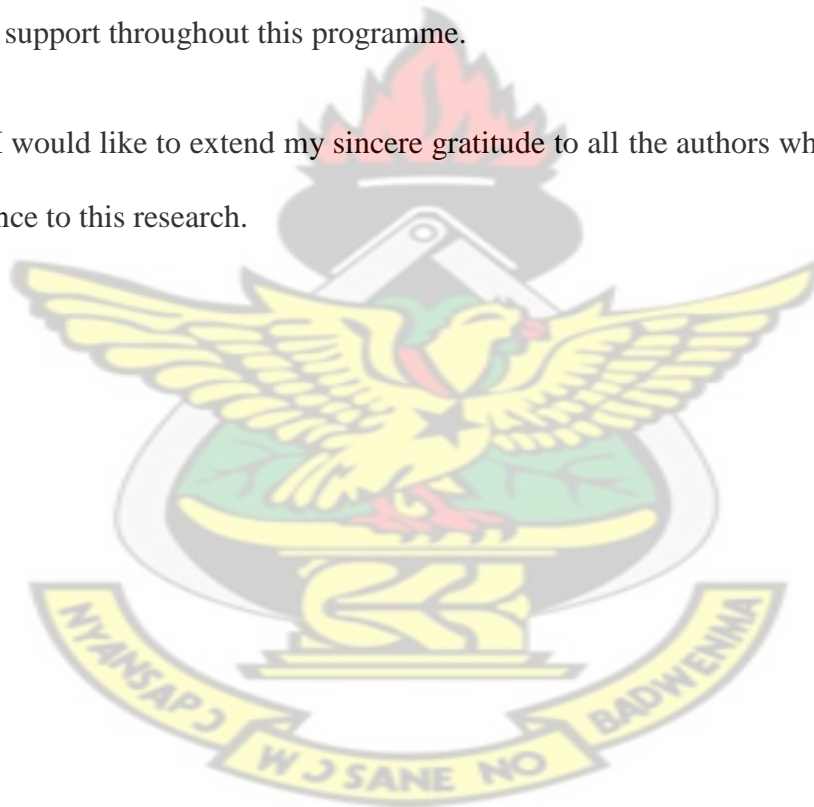
I would also want to express my sincere appreciation to my lovely father, Mr. M.K. Adu (Deputy Registrar, UEW-K) for laying solid foundation for my success, Madam Abena Serwaa Amoatemaa and M.K. Twum-Ampomah (Senior Assistant Registrars, UEW-K), especially to Lawrencia Maame Serwaa Frimpong, Mr. Charles Campion, Mr. Yaw Adu and Madam Dorcas Darkowaa Kyeremeh (Assistant Registrars, UEW-K), Rev. Dr. Joseph Osei, Madam Dorothy Eshun (lecturers, UEW-K), Mr. John Awuni (Finance Section, UEW-K), my mother, Janet Asante, brothers and sisters, for their support, inspiration and encouragement to pursue my education.

Furthermore, I wish to send my regards to Prof. Nana FrimpongMensahof Natural Resources, KNUST, Prof. Magnus Frimpong, Dean, School of Business, KNUST, and Mr. J.K. Turkson, a lecturer at KNUST School of Business for their contribution to thisprogramme.

DEDICATION

I gladly dedicate this thesis to my lovely dad, Mr. M.K. Adu (Deputy Registrar, UEW-K), Madam Abena Serwaa Amoatemaa (Senior Assistant Registrar, UEW-K), Lawrencia Maame Serwaa Frimpong (Assistant Registrar) my mum, Janet Asante, my pastors, friends and loved ones, for their initiative, ideals, training and principles that have taken me to this level of my education. I also dedicate it to my brothers and sisters, and finally to myfuture husband and twins (Kwame Senior and Ama Junior).

TABLE OF CONTENTS

**CHAPTER FOUR: DATA PRESENTATION, ANALYSIS
                AND DISCUSSION**

**CHAPTER FIVE: SUMMARY OF FINDINGS, CONCLUSION AND
RECOMMENDATIONS**

LIST OF TABLES

LIST OF FIGURES

KNUST

CHAPTER ONE

INTRODUCTION

1.2   Background to the Study

The University of Education, Winneba (UEW), like other higher educational institutions in Ghana, is semi-autonomous. This is because it receives a portion of its funding from the state, students' fees and stakeholders. As a result of these activities, the University generates large volumes of physical and electronic data and documents on a daily basis. Undoubtedly, these documents and data are of high importance and as such need to be strictly preserved. Universities are legally bound to retain and preserve documents as a record of their activities and proceedings.

Institutions create records to support the activities they carry out. However, if these records are not managed properly, they will not provide the necessary support and information might be lost causing problems for the institution. To provide an efficient and effective administration that ensures that institutions run as smoothly as possible, there should be proper management of records. International Organization for Standardization (ISO) 15489 (2001) explained records management as the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of an information about business activities and transactions in the form of records.

Mrwebi (2000) indicated that information plays a very vital role in the economic development of organizations which is essential for any corporate body to function

effectively. Information is every organization's most basic and essential asset, and in common with any other business asset, recorded information requires effective management. Institutions produce increasingly large amounts of information and consequently greater volumes of records, in both paper and electronic forms. It is essential that information is captured, managed and preserved in an organized system that maintains its integrity and authenticity as well as fulfilling legal and financial requirements. According to Shepherd (2006), organizations use records to support accountability, when they need to prove that they have met their obligations or complied with the best practice or established policies. An unmanaged record system makes the performance of duties more difficult, costs organizations all resources (e.g. time, money etc.) and makes them vulnerable to security breaches, prosecution and embarrassment.

Rule of law, management of state resources, probity, accountability, foreign relations and the protection of entitlements and rights of citizens are very critical to every good government. However, without records, all these would be meaningless (Dzandu, 2009). Important information of an organization can be lost forever if records are not kept properly especially when a member who is holding a key position in an organization dies, retires, resigns, travels abroad, transfer to different department, branch, or campus like UEW which has four satellite campuses, namely; Winneba, Kumasi, Mampong and Ajumako. According to Duose (2009), if public officers keep their records right, the records would always be there to show the situation as it is. He added that one cannot talk about good governance, democracy and rule of law when records are not kept properly. Kumasi and Mampong campuses of UEW as reputable higher educational institutions play an important developmental role in building mother Ghana by producing

quality manpower for every sector of our economy. Hence, the need for accurate records management at the various units, sections, departments and faculties is very essential.

1.3   Problem Statement

In 2011, the Ghana Statistical Service estimated that a greater chunk of the 23% budget expenditure on education went into the tertiary education. However, in spite of all these financial strides made by the government, tertiary educational institutions like the universities are not only facing complex managerial problems (Atulomah, 2011). Addo (2010) was of the view that the problems in most universities in Ghana tend to be inadequacy of funds, student population explosion and a lack of an efficient and effective records management systems. The woes of records management systems of tertiary institutions are not isolated to Ghana alone. It has become a recurrent issue for records to be irretrievable when required especially in tertiary institutions of most developing countries (Fabunmi, 2004). The difficulty of this problem is better appreciated by those who bear the brunt especially university teachers, students, parents and administrators who require students records to facilitate accurate and timely decisions. In such a situation administrators find it difficult to retrieve the information they need to formulate, implement and monitor policy and to manage key personnel and financial resources.

In Ghana, the problem mostly arises where schools, colleges, universities and others have to allocate large office space to keep students' files manually every year when students are admitted (Bailey et al., 2011). Again, educational institutions especially the universities must keep large volume of students' examination papers and results for at least five years before they can be disposed of. It is however becoming clearer that it is

3

more pronounced in the university system because accurate, reliable and trustworthy records that fulfill evidential requirements are being created but not properly managed (Longe, 2001).

Based on the problems stated above the need for all public and private universities (of which UEW is part) to keep proper records cannot be overemphasized. Therefore, out of convenience purposes the two satellite campuses of UEW was chosen by the researcher.

1.2   Objectives of the Study

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

1.2.1   General Objective

The general objective of this study is to assess the records management practices among the administrative staff of University of Education, Winneba – Kumasi and Mampong campuses.

1.2.2   Specific Objectives

The specific objectives of the study are to:

a)   assess the records management practices at the university.

b)   identify the benefits derived from proper records management.

c)   identify the challenges associated with records management at the university.

1.3   Research Questions

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

a)   What are the records management practices at the university?

b)   How does proper records management benefit the university?

c)   What are the challenges associated with records management?

1.4   Significance of the Study

The study will be very significant to different stakeholders. The study will help management of UEW to sensitize the administrative staff on the importance of effective records management practices in the university.   Again, the study will benefit the management of UEW-K and UEW-M to appreciate the challenges associated with records management and how to address them.

It would also help students and the general public to know the importance of proper records management. Furthermore, the study will help reveal the need for good records management for effective planning of UEW to ensure rapid growth and development. It will also help identify the need to use appropriate filing system to meet the day to day activities of the two campuses within the university.

In addition, the study will ensure easy access to records by authorized people. Also, it will help provide the government with quick and accurate data for effective policy formulation and regulation. Lastly, it will also add to the body of knowledge in the area of records management.

1.5   Brief Methodology

Both primary and secondary data were used in this study. Primary data were collected through questionnaire administration whilst articles from the internet, journals, and information from the University of Education, Winneba were consulted by the researcher as the secondary data.

A non-probability sampling method specifically, purposive sampling was used to sampled eighty (80) out of the total population of Four Hundred and Seventy (470) of administrative staff of the University of Education, Winneba – Kumasi and Mampong Campuses as records management is a cross-departmental collective responsibility. Agyedu et al., (2010) suggested that in purposive sampling the researcher uses his or her own judgment about which respondents to choose, and picks only who best meet the purpose of the study   Purposive sampling was also used where staff who deal directly with records management were selected, as well as senior members who can assist in making records management one of the strategic priorities. It was aimed at getting as more relevant and valuable information for the research as possible. Statistical Package for Social Sciences (SPSS version 16.0) was used to analyze the data.

1.6   Scope of the Study

The study was restricted to records management practices among the administrative staff of the University of Education, Winneba – Kumasi (UEW-K) and Mampong (UEW-M) campuses. It therefore confined itself to units, sections, departments, faculties in the UEW-K and UEW-M campuses. Therefore, the conclusion and generalization may not be readily applicable to other universities in the country.

1.7   Limitation of the Study

The limitations of the study include limited financial resources, time constraints, difficulty in determining appropriate sample size to be used, difficulty in retrieval of administered questionnaires and willingness of prospective respondents to answer questionnaire. This implies that the administrative staff of the university delayed the data collection process for the researcher. The researcher did not add observations and also

conduct interviews due to limited time.

Again, the study was restricted to records management practices among the administrative staff of the University of Education, Winneba – Kumasi (UEW-K) and Mampong (UEW-M) campuses and unable to extend to other campuses (Winneba and Ajumako) of the University.

1.8   Organization of the Study

This study is structured into five chapters. The chapter one deals with background of the study, statement of the problem, objectives of the study, research questions, significance of the study, scope of the study,limitations of the study, and organization of the study. Chapter two is the literature review. It is concerned with the review of related literature to support the study. Chapter three is the methodology used in the study. This includes the research design, population, sample and sampling procedures used in the study. Chapter four deals with the data presentation, analysis, and discussions. Chapter five presents the summary, conclusion and recommendations of the study.

CHAPTER TWO

LITERATURE REVIEW

2.0   Introduction

This chapter reviews literature related to this study. It is organized under the following; the meaning of records and records management, records management practices, benefits derived from records management and challenges associated with records management.

2.1.0   Meaning of Records

In order to define records management, the concept of "record" needs to be fully explored. A record is defined either in terms of the physical tangible format in which it appears, or in terms of the information it contains. It must be noted that records differ in format or size, and have different contents. The term record comes from the Latin word "recordari", which means to recall, or to remember, or bring back to mind, and this is exactly what records do (Pember and Cowan, 2010). Cox (2001) also explained records as an extension of human memory, purposefully created to record information, document transactions, communicate thoughts, substantiate claims, advance explanations, offer justifications and provide lasting evidence events.

Records can be defined as "documented information, in any form, created or received and maintained by an organization or person in the transaction of business or conduct of affairs and kept as evidence of such activity". Again, Langemo (1995) defines a record as the memory of the organization, the raw material for decision making and the basis for legal defensibility (UEW Records Management Policy Framework, 2000). Kallus (1991) further defines a record as written or oral evidence that has been collected and kept for

use in making decisions. The most common records (such as forms, correspondence, reports and books) are written, printed or typed on paper. Oral records capture the human voice on tape, and are stored on cassettes or on other magnetic media. In support of Kallus's (1991) definition, Quible (1996) further defines records as informational documents such as forms, letters, memoranda, reports and manuals used to carry out various functions.

In a nutshell, the concept "record" can be defined as the information captured for re-use at a later stage as evidence of an activity or action undertaken, and a basis on which future decisions are made. Records are important and it is difficult to imagine life without them, particularly in the running of an organization (Penn et al., 1994).

2.1.1 Records Management

Institutions create records to support the activities that they carry out. However, if these records are not manage properly, they will not provide the necessary support and information might be lost causing problems for the institution To provide an efficient and effective administration that ensures that the business runs as smoothly as possible, there should be proper management of records. Records management is the application of systematic and scientific controls to recorded information required in the operation of an organization's business (Zawiyah and Robert, 1999).

Again, International Organization for Standardization (ISO) 15489 (2001) explained records management as the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of an information about

business activities and transactions in the form of records. Records management is also the discipline of applying well-established techniques and procedures to the control of those sources of information, which arises internally within an organization as a result of its own activities (Newton, 1986).

Unuigbe (1990) saw records management as the quality, quantity, and cost of records and encompassing the procedures, systems, operations, space, equipment and staff required for managing the records. Asiwaju (1985) recognized that records management is a dynamic science of handling recorded information for immediate and future use efficiently and economically.

Furthermore, Pali (2009) pointed out that records management is the systematic control of all records, either in media format or printed materials from their creation until its final disposition; including the development and application of standards to the creation, use, storage, retrieval, disposal and archival preservation of recorded information. In summary, an effective records management program will ensure that records are available for use when needed, that privacy and confidentiality are maintained, that redundant records are destroyed and that records ultimately contribute towards sustaining service delivery.

2.1.2 Records Management and Information Management

Records management and information management are two terms often used interchangeably (Atolumah, 2011). Some authors have gone at lengths to draw similarities between the two, while others insist that there are differences. For example, records management over the years has increasingly been referred to as records and

information management. The merger of these two terms shows how slight a difference exists between them. Information management entails the management of all the information in an organization as well as the management of the people, hardware, software and systems that produce the information.

Records management is portrayed as means of good information management, improving and enlightening the management of organizations (Yusof and Chell, 1999). Information management is a broader concept within which records management falls. In other words, the main purpose of records management is to manage and control the flow of records with the necessary information within a particular organization.

According to Robek et al., (1987) records management is a systematic control of the recorded information that an organization needs to conduct business. Ricks et al., (1992) stated that records management is a function of providing systematic control of records from creation, or receipt, through their processing, distribution, organization, storage and retrieval to their ultimate disposal.

Penn et al., (1994) also saw records management as the management of any information captured in reproducible form that is required for conducting business. Mazikana (1990) emphasizes that records management is concerned with the generation, receipt, processing, storage, distribution, use and disposal of records. It encompasses a wide variety of activities and sub-disciplines such as the management of mail, correspondence, reports, copies, forms and directives. Records management is further viewed by Place and Hyslop (1982) as a process of controlling organizational information from the creation through its final disposition. Ricks and Gow (1988) also defined records

management as the systematic control of records from creation of records to final disposal. Furthermore, Langemo (1999) pointed out records management as the professional management of information in the physical form of records from the time records are received or created through their processing, distribution and placement in a storage and retrieval system until either eventual elimination or identification for permanent retention in the archives.

The most effective information management system manages all information, regardless of medium and format. For example, human resource information management system, accounting information management system, decisions and executing support information systems. Information management simply entails the process of planning, controlling, and using the information resources of an organization in support of its business.

Figure 2.1: The Hierarchy of Information Management
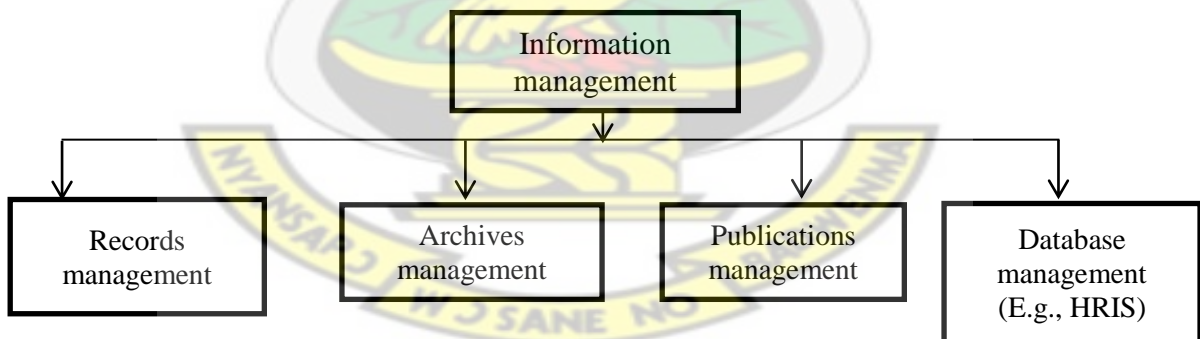
Source: Information Solutions Group (2000)

Figure 2.1 above shows that information management is a broader concept within which records management falls. In other words, the main purpose of records management is to manage and control the flow of records with the necessary information within a particular organization.

12

2.1.3 Life-Cycle of Records

The life of a record goes through phases starting from when it is created or received by the institution, through to its usage, maintenance and finally disposal. The life-cycle of a record is a basis on which a records management system is made, as the system stipulates the procedures and processes that organizations need to follow at each phase of the record's life-cycle. Efficient life-cycle management of records is a key concept in records management. If institutional bodies do not control records through the earlier stages of their life-cycle, records that have low administrative value are kept too long and those of archival value cannot be identified and safeguarded (National Archives and Records Service of South Africa, 2007).

All records have a life cycle from creation/receipt (birth), through into the period of active currency (youth), then into middle-aged closed files that are still referred to occasionally, and finally either confidential disposal or archival preservation (UEW, Records Management Policy Framework, 2000).

Again, one of the core concepts in records management is that of the record's life cycle. The concept of a life cycle is at the core of most records management programs. The activities of records management programs are developed upon this concept, which has several phases that explain the stages or status of records thus from creation through use and maintenance to ultimate disposal (Erlandsson, 1997). It continues as records are stored for an additional period of infrequent or dormant use in off-site records centres, and ends when their operational use ends entirely, or when they are 'selected' as archivally valuable and transferred to an archive, or declared non-archival and destroyed.

The life-cycle of records reflects the opinion that all records, irrespective of form and purpose, pass through certain well-defined phases (Newton, 1989). Each phase requires special techniques for effective control. On the other hand, Gill (1993), emphasizes that the record's life cycle means a movement of records in logical steps from the creation, through its use, storage, and retention in active files, to its transfer to inactive files, storage, and finally disposal.

Often, the division and the meaning of the life-cycle stage depend on the individual organization. In some institutions, the disposition stage would mean ultimate destruction whereas in another it means sending those records to the archive for research and posterity (Zawiyah and Robert, 2000). Brooks (1996) discusses the life cycle concept in relation to the appraisal process. He argues that the selection of records for disposal or preservation must be accompanied by a thorough understanding of their value. Brooks (1996) ascertains that before a record is created, the professional background and level of knowledge of the creators plays a significant role. Only records with enduring value are permitted to undergo the complete life cycle process. Finally, Porter-Roth (2006) pointed out the following as the basic stages in a records life cycle; capturing, managing, storing, delivery and disposition stages.

2.2.0 Records Management Practices

The past twenty years has revolutionized the way in which information is generated and stored (Beastall, 1998). The service provided by records management is vital to any institution, and to every information-using employee in it. Its primary function is to facilitate the free flow of records through an institution, to ensure that information is

14

rapidly available where and when it is needed. To carry out this function needs an efficient, effective records management programme. By helping the users to do their jobs better and more easily, the records manager serves the institution. Given that an organization's records are unique to it, they need to be managed explicitly, just as the organization would manage its other resources (people, money and estate). Records management systems and procedures should facilitate compliance with university policies. Specific business functions and activities within universities may be subject to specific legislation or to professional best practice or relevant ethical guidelines.

Again, heads of institutions, schools, other units and business functions within the university have overall responsibility for the management of records generated by their activities thus ensuring that records controlled within their units are managed in a way which meet aims of the University's Records Management policies.The Registrar has a particular responsibility in ensuring that the University corporately meets its legal responsibilities, and internal and external governance and accountability requirement. Day-to-day responsibility will be delegated to a Records Manager, who will report to the Registrar. The Records Manager will have a coordinating and enabling role and will advise on policy and best practice. The key records management practices in the University records management policy framework are records creation and capture, records survey/audit, records analysis/retention schedule, disposal of records, records protection and security and provision of appropriate training for relevant staff (UEW Records Management Policy Framework, 2000).

Kanzi (2010) pointed out that for a sound records management practices to take place, heads of institutions should designate or appoint a staff member (Record Manager) at senior management level to whom they can delegate the responsibility of ensuring that sound records management practices are implemented and maintained. He added that records managers should develop and implement records management policies, which are endorsed by the heads of the institutions and their top management teams. Adherence to these should be continuously monitored and be reviewed on an annual basis. Furthermore, he stated that there should be records management procedures to serve as a guide to employees, records classification system to facilitate efficient retrieval and disposal of records, and training of records managers and records office staff to equip them with the necessary skills to carry out their functions properly.

Utulu (2001) also mentioned that if any information was to be lost or misplaced, it could cause a range of problems some of which might affect the future of students needing essential information from their records. According to Afolabi (1999), Records Management and Archives staff should be responsible for providing an appropriate record management training programme to the University staff. Again, he added that records should not be taken from the University without the permission of the Records Manager/Archivist or an appropriate Office Manager.

Scholars of records management theory and practice agree that, in principle, organizations should create and capture records for every activity that involves more than one party and that they should identify and record every process that generates records (Bearman 1994; Reed 1997; Shepherd and Yeo 2003). Therefore, records must be

authentic, complete and usable. For example, even Information Communication Technology (ICT) systems must be able to generate or capture the 'metadata' that record the contents, contexts and structures of records within the business processes that produce them (IRMT, 2008).

In addition, Shepherd and Yeo (2003), when assessing the need to create and capture records, suggested that it is essential to consider the requirements of the organizations or particular business units that need records to provide evidence and information for operational use, the requirements of the organizations, particular business units or external stakeholders that need evidence to ensure accountability, the cost of creating, capturing and maintaining the records that organizations require and the risk to them if they do not have these records.

International Organization for Standardization (ISO) 15489 (2001) is of the view that a policy for creating records is also necessary. It should stipulate the requirements for capturing, registering, classifying, retaining, storing, tracking, accessing and disposing of records. Organizations create and keep records so that designated users, mostly from within the organizations and occasionally from outside, can use them when they need to. Any records management system that captures records must have systems that allow users to use the records thoroughly (Shepherd and Yeo 2003). Therefore, institutions create records for a purpose. The timely and accurate retrieval of records depends largely on how well organized and classified the records are. As a result, records classification systems should reflect the business activities of the organizations. Organizations need to determine the degree of classification control they require for their business purposes (ISO 15489-2001).

Shepherd and Yeo (2003) also pointed out that classification schemes are based on an analysis of functions processes and activities and document the structure of a records management system and the relationship between records and the activities that generate them. Again, they emphasized that it is necessary to use appraisal techniques to support decisions about retention, that is 'which records can be destroyed at an early stage, and which merit longer-term or indefinite retention'. Other researchers and authorities emphasize that any effective records management programme requires classification (Kemoni 2007; Reed 2005). Vocabulary control tools usually support classification systems. They give institution-specific definitions and explain the usage of terms.

Institutions should establish ongoing programmes for training in managing records. Institutions can design or set up this training together with external bodies. They cannot retain files, irrespective of their format (paper or digital), indefinitely. The reason for this is the cost of storage and maintenance as well as slower and difficult access because of the high volumes. Records systems should be able to facilitate and implement decisions about retaining or disposing of records. Therefore, the effective management of records requires that there are procedures for the timely disposal of records that institutions no longer need to support current day-to-day activities or those that they do not need to retain for legacy purposes (ISO 15489, 2001).

2.2.1 Centralized and Decentralized/Departmental Filing

Filing may be organized centrally or departmentally. Some organizations choose the centralized filing system, while others prefer de-centralized/departmental filing. Others also find both systems to be good. Centralized filing is whereby all the files of an

institution are kept and controlled in one room instead of allowing each department to file

its own records. In many large organizations, a separate department (central filing

department) is created to take care of its filing. Trained personnel called records

managers are in-charge of all filing and so filing is done more efficiently. This makes it

possible for effective supervision to be exercised over files including the movement and

placement of correspondence on files. Decentralized or departmental filing is a system

by which each department or section of an organization keeps and maintains its own

system of filing which best suits it (Arora, 2006).

2.2.2 Forms of Records Management

Correspondence is normally conducted manually or electronically through electronic mail

or intranet. Documents such as policies, procedures, contracts, regulations, minutes,

circulars are often available for administrative staff to update or familiarize themselves

with the normal operation of their institutions. Ignorance of such documents may affect

the competitive performance of an institution. This implies that information in the form

of records is used by institutions through staff as a strategic weapon to gain a competitive

advantage for the organization that creates, receives and uses them effectively (Mrwebi,

2000).

2.2.2.1 Manual or Paper-based Records Management

Paper based records are any records that have been written or printed on paper. They can

be items such as hand written notes, correspondence, printed reports, procedures or maps.

Universities are responsible for creating full and accurate records of all their activities

and decisions in accordance with standard record management requirements. When

19

a record is created or received, it is up to the user to ensure that it is filed and documented correctly to allow for easy tracking and further use by the organization Azman (2009).

2.2.2.2   Importance of Manual or Paper-based Records Management

Paper as a medium has been important to our species at least since the time of ancient Egypt, when the papyrus roll was developed and initially used for religious and administrative records management purposes and later for storing and disseminating (in a restricted way) knowledge on mathematics, surgery, and engineering (Martin, 1992). Even the advent of the personal computer, and predictions of the paperless office, have not interfered with our fondness for paper. In fact, with each passing decade of the personal computer revolution, paper consumption has increased (Sellen and Harper, 2002).

Paper plays an important role in organizational life. Paper documents such as schedules and flow charts provide a gathering place for workers to view information and be seen viewing information. Sellen and Harper (2002), showed that large paper documents became the foci of organizational life. Again, Whittaker and Schwartz (1995), found that even the computer professionals who studied, viewed their large paper schedules as "more real" than its electronic counterpart. The paper schedule, for example, was public, and therefore not only motivated work but also helped people be aware of what others were doing. Moreover, printed artefacts seem to serve as centres for societal interaction and memory. This was also found to be true in the health care arena (Nygren and Henriksson 1992).

2.2.2.3 Problems associated with Manual Records Management

Gregg (2013) came out with two challenges faced by paper-based records management. Accessibility through hardcopy files is limited because paper-based information can only exist in a single location at a time. He added that with one copy of a document in existence, only one person can access that information at any given time. This serial approach to information management does not play well in today's "I need it now" business environment. This is especially the case since most organizations are decentralized and geographically dispersed. When there is only one version of information, managing the hardcopy document involved becomes a physical challenge

2.2.3.0 Electronic Records Management

Records management has evolved from a paper-based function responsible for the storage of an organization's miscellaneous documents, to one concerned with the management of specified internal records, in a multitude of media, from creation to disposal, through their active use as sources of information and hence of ultimate review against retention schedules, for their eventual destruction (De Wet and Du Toit, 2000).

The introduction of computers therefore assists in achieving and adding value to the conduct of business transactions (Johare, 2001). Electronic records management is very important to every institution because records are one of the University's most valuable assets. Records support decision making, demonstrate compliance, document the history of the University, and perhaps most importantly, enable the institution to do their jobs. Records need to be properly managed in order to maximize their value and minimize their cost. By implementing good records management practices, the institution can

control, avoid and even decrease the costs associated with maintaining the records and improve the efficiency of the business operations (Hebert, 1998).

In this modernized world of computers, it makes sense to manage records electronically, with Universities spreading out or having different locations, yet totally being tied together with the internet. This just makes plain sense to have an electronic records management system. In fact, it is so important that many institutions absolutely require it as it has become the standard in business, rather than the exception.

2.2.3.1   Importance of Electronic Records Management

Institutions are under increasing pressure to become more efficient while at the same time maintaining or improving the quality of service. Electronic records with its potential play an important role in supporting efficiency, accuracy and accessibility of information. Sing (2002) pointed out that there is a direct relationship between investment in electronic records and productivity improvements in the office and these include; better customer service, greater product/service variety, shorter response time, enhanced product/service quality and better customization of products and services.

The implementation of sound record management practices for electronic records can result in a number of benefits for government. One of the most important benefits is to ensure a creation and management of accurate and reliable electronic records. This allows organizations to fulfill legal mandates regarding the protection of their records. Other benefits include; ensuring the legal acceptability of the organization's electronic records, reducing the burden of paper records management, identifying appropriate means for the movement of records to successive generations of technology and systems, and finally improve citizen access to public information (Mashburn, 2001).

22

2.2.3.2   The Challenges Associated with Electronic Records Management

While information technologies have brought many benefits to organizations, they have also introduced a number of challenges and difficulties. The challenges posed by electronic records, particularly in the public sector, have been highlighted by Mnjama and Wamukoya (2007). These challenges include absence of organizational plans for managing electronic records, low awareness of the role of records management in support of organizational efficiency and accountability, lack of stewardship and coordination in handling paper as well as electronic records, absence of legislation, absence of policies and procedures to guide the management of both paper and electronic records, absence of core competencies in records and archives management, absence of budgets dedicated for records management, poor security and confidentiality controls, lack of records retention and disposal policies, absence of migration strategies for electronic records.

According to Hebert (1998), electronic records increased efficiency and productivity using the hospital environment with the interactions between health workers and patients and for shorter duration. Thus it does not 'free up time' for workers to interact with other co-workers physically. Other effects include reduction in job satisfaction as more time is spent on the computer.

2.2.4.0   Comparison of Electronic Records Management with Manual Records

Both electronic and manual records management come with varied benefits to businesses and organizations in respect to data storage. However, current literature suggests that electronic records management have proven to be effective as compared to the manual. For instance, Iziomo (2014) identified that electronic records management gives

unlimited storage space as compared to conventional method of office cataloging that involves categorizing several ink printed papers in a cabinet to allow for retrieval when needed.

Data retrieval is one area where computers clearly excel. Finding a particular piece of information is infinitely easier with a modern computer system than it is with reams of paper. Solving a particular problem may, in fact, take longer with Paper Patient Records (PPRs), despite the fact that reading from paper is generally easier. But finding a particular piece of information presupposes one knows what one is looking for, which is not always the case. Gen (2008) stated that paper-based systems have improved communication, ability to have remote access of patient information, and improved revenues. He perceived that electronic health records (EHR) would provide improved communication between practitioners and patients. For instance, paper-based system improved communication between inpatient and ambulatory practices; information retrieval between these two is currently difficult and time-consuming.

According to Gen (2008), half of the paper-based system leaders were especially interested in having remote access to patient information. On the other hand, electronic health record would enable physicians to provide more knowledgeable advice during off-site/off-regular hours. He mentioned that there is an immense expectation of the EHR to improve overall practice efficiency and revenue. Also, enhanced efficiency would be created through decreasing time-consuming activities such as chart retrieval. Finally, he believed that the EHR would boost revenues by improving billing and collection by capturing the true work load.

O'Hara and Sellen (1997) studied the differences in process between reading paper documents versus electronic documents. Their experiments showed that there was a number of advantages to paper that must be addressed by the design of digital systems. Among the advantages that paper offers is the way it supports annotation while at the same time permitting quick and easy navigation, which in turn permits the user to develop a sense of overall structure.

Furthermore, they learned that improvements in navigation and control of spatial layout of individual and multiple documents must also be supported in electronic documents. In line with this, Ovsiannikov et al., (1999) showed that digital systems can support annotation and that there can be a number of advantages to electronic annotation technology if properly implemented. For example, annotations can be stored in an annotation database and make retrieval and document summaries much easier, they can be linked permitting hypertext navigation, they can be easily shared. All this is not to say that paper is in and of itself superior to electronic media. Golovchinsky (1997) pointed out that users prefer interfaces that provide for multiple navigation options. Paper provides a very transparent interface, given its lack of modalities. It facilitates active reading and various modes of note taking (Niinimaki et al., 1989).

Schilit et al., (1998) attempted to duplicate this functionality of paper records with the XLibris project. XLibris used the paper document metaphor to provide computers with some of the affordances of paper. Xlibris, a tablet computer, has a flat panel display and permits pen input. Unlike paper, however, it permits multiple navigation mechanisms, including "turning pages", document view showing all pages of a document, and a history view that permits backtracking through a reading session.

According to Marchionini (1995), browsing is different from navigating and can be associated either with the goal of the activity or with the method used to achieve the goal. Paper facilitates browsing, even in a medical environment. It is easy to hold several pages next to one another for comparison.

2.3.0   The Benefits of Proper Records Management

A number of institutional benefits will accrue to any University when proper records are kept. These benefits include better use of physical and server space, save staff time, improved control of valuable information resources, compliance with standards and reduction in its operational costs (UEW Records Management Policy Framework, 2000).

According to Sanderson and Ward (2003), the importance of records management is increasingly being recognized in organizations. It is therefore the responsibility of records managers to ensure that they gain the attention of decision-makers in their organizations. Gaining recognition is all about convincing management of the role of records management as enabling unit in an organization.

Administrative staff required information in order to carry out their official duties and responsibilities efficiently and effectively in a transparent manner. Records represent major sources of information and are almost the only reliable and legally verifiable source of data that can serve as evidence of decisions, actions and transactions in an organization (Wamukoya, 2000). Again, Northwest Territories (2003) suggest that the role of records management is to ensure that members of staff involved in different operations have the information they need, when necessary.

Also, De Wet and Du Toit (2000) stated that the service provided by records management is of vital importance to both employees (end users) and organizational success. The primary function of records management is to facilitate the free flow of records throughout the entire institution. Most importantly, it remains the function of records management to ensure that an organization's records are safe for future reference.

According to Palmer (2000), the role of a records management system is that it acts as a control system that reinforces other control systems such as internal and external auditing. The records themselves can serve to detect fraud and recover the loss. Since corruption creates an environment that allows opportunities to commit fraud, records can provide a trail for investigators to track the root of corruption. However, for records to be useful in this capacity, they must be accessible. In Hare and McLeod (1979) views, organizations keep records for the following reasons; information retrieval, evidence of organization's activities, compliance with regulations. In support of Hare and McLeod, Cowling (2003), further identified four main reasons motivating organizations to preserve records permanently as: administrative value, financial value, legal value and information value.

In summary, it may be appropriate to indicate that records exist in order to remind institutions of their previous activities. Hounsome (2001) noted that while records management may seem boring to many, it is hard to under-estimate in the role played by records management in organizations. The records are the corporate memory of the organization, evidence of what was done and why it was done. They provide information for different institutional purposes, such as decision making, financial accountability, performance measurement, strategic planning and research.

Without divorcing themselves from the above scholars, Sanderson and Ward (2003) further explored the role of records management in an organization as avoiding the cost of litigation or failure to comply with regulatory bodies, preventing the loss of intellectual property or loss of corporate learning/corporate memory, preventing loss of information from disasters or theft and ensuring business continuity, maximizing the efficiency of operation and usage of information, responding in a timely and effective way to requirements of customers, protecting executives and their organizations from loss of reputation and credibility with the general public and customers by demonstrating good practice and providing accountability for their actions.

Thurston (2005) argues that dysfunctional records management undermines legal and judicial reform. Decisions are made without full information about cases, and the absence of systematic record management and controls leaves scope for corruption or collusion between court officials and lawyers. Court time is wasted, delays are created, and the judiciary's standing is lowered. The large volume of records passing through a typical court system, their sensitivity, and time pressures on courts makes effective records management essential.

Roper and Millar (1999) opine that, "records are fundamental to the efficient and effective operation of the legal system of a country and perhaps are even more crucial to the administration of law than to any other function of the public sector". They further stated that, "within the legal context", records serve several functions; they support legal rights and obligations within the legal system, they provide evidence or proof that a particular activity took place and they contribute to accountability in organizations and in

28

government" (Roper & Millar, 1999). According to Sprehe (2002), records ensure that an organization can; conduct its business in an orderly, efficient, and accountable manner, deliver services consistently and equitably, document its policies, decisions, and outcomes to stakeholders and regulators, meet its legislative and regulatory requirements, including audits, protect itself in litigation, function in a financially and ethically accountable manner, protect corporate interests as well as the rights of employees, clients, and other stakeholders, provide continuity of operations in an emergency or disaster, and maintain its corporate and institutional memory.

Zawiyah and Robert (1999) pointed the following as the benefits of accurate records management; speedy and accurate retrieval of records necessitates systematic filing and storage of records, saves space and prevents duplication of effort with similar records, easier retrieval, better utilization of space, and less frequent loss of documents.

Records management is important because it reduces litigation risks, provides regulatory compliance and protects corporate assets (Porter-Roth, 2006). Blake (2014) also said that properly managed records can help reduce operating expenses, enhance customer service and ensure that the company is in compliance with laws and regulations. Without records, no assessment can be made of whether individuals, private and public organizations have actually carried out the actions and transactions that they had to execute, or whether they ensure that these actions and transactions meet the criteria of efficiency, legitimacy or the principles of good governance, and whether they had done things which they were not supposed to do (Thomassen, 2001).

Records as important resource for organizations should be harnessed through proper records management practices (Mutula and Wamukoya, 2009). Institutions and individuals create records in the conduct of their current business to support administration, to ensure accountability, and for cultural purposes, to meet the needs of society for collective memory and the preservation of individual and community identity and history (Shepherd, 2010). Records can be used to ensure accountability, to make people and businesses account for their actions and obligations and when there is a need to prove that organizations have complied with legal or regulatory requirements or recognized best practice. Records enable institutions to meet legal, regulatory, and financial requirements, and to protect their assets and rights.

Proper records management helps to support the expectation of a democratic society for transparency and they protect citizen's rights. They enable governments to deliver electronically enabled services to citizens (e-government) and facilitate citizen participation through the provision of information and digital interaction (Shepherd, 2010). Thus, records have to be managed as a strategic resource so as to facilitate the day to day operations of the institution. For instance, Mnjama (2004) pointed out that there are several reasons why organizations should manage records as a key resource, including: Records themselves are organizational assets because they document organizational activities and are needed for audit trails, especially in establishing who did what, why and when. Records document financial activities. Without proper records, meaningful audits cannot be carried out, fraud cannot be proven, and those responsible for the financial management of the institutions cannot be held accountable for their actions.

Records management serves the cause of history by identifying and preserving important research records. Shepherd (2006) states that records which are managed as part of an appropriate records management programme will help the organisation to conduct business in an efficient, accountable manner, deliver services consistently, support managerial decision making and transparent policy formulation and ensure continuity in policy execution, management and administration.

In summary, an effective records management programme will ensure that records are available for use when needed, privacy and confidentiality maintained, redundant records destroyed and that records ultimately contribute towards sustaining service delivery.

2.4.0   Challenges Associated with Records Management

Brendan (2012) observed the following as the challenges associated with records management; First of all, he noted weak legislative and organizational infrastructures as a major challenge.

Studies by Kemoni and Wamukoya (2000), Iwhiwhu (2005), and Egwunyenga (2009) confirmed that African records keepers lack the basic skills and competences for handling records and archives in the public sector. There is a serious problem of technophobia in most offices in Africa especially among the older employees. Due to inadequate skills in information technology, many traditional librarians, records managers, and archivists are very conservative and have phobia for computers. This may be due to generation gaps between the new and old professionals which led analogue information managers to perceive computers as a threat to their status as experts. Ezeani (2010) in her studies observed that younger librarians are faster in capturing the use of ICTs than the older

31

librarians because "older librarians are finding it difficult to cope with the requirements of the digital age". Also, Ojedokun (2008) noted that older librarians are "too reluctant to jettison the old practices for new one". Successful application of information handling technologies in the management of electronic records in developing countries requires an ability to overcome staff and personal resistance.

Brendan (2012) opined that, growing use of information technologies in record management creates a lot of problems in the management of records in both public and private organizations. He added that in Africa and many developing countries governments are looking forward to computerizing their core functions and compelled most African countries to use ICTs in their public services by adopting e-government. Regrettably these projects fail to succeed because governments neither assess the available information framework suitable for electronic records management, nor consult the records mangers to determine how the process of automation will not affect the role of records managers in providing reliable and authentic evidence.

In Miller's (2004) view, the conversion from traditional records management activities to electronic environment will not succeed in Africa if the underlying processes are not structured in an efficient and effective fashion. Many African states are jumping into the information technology bandwagon without adequately incorporating good records management strategies.

Lawal (2007) attributed the challenges associated with records management in most organizations to corruption or inadequate finance. According to him, corrupt leaders in Africa do not provide adequate funds, facilities, and infrastructure for proper and efficient

electronic record management. Instead, corrupt bureaucrats intentionally distort public policies, public records, decision-making apparatuses, and sometimes go to a length to transfer experienced records managers in a bid to create opportunities for embezzlement. Bribery and corruption contributed to ninety percent (90%) of the underdevelopment of Africa and their ineffective records management institutions. For example, studies have shown that the African Union (AU) in September 2002 estimated that corruption costs African economies more than $148 billion dollars a year.

Otuama (2010) mentioned the following as the problems associated with records management in most organizations; Absence of an archival institution, the problem of oral traditions, inadequate skills and high staff turn-over, inadequate funding, poor housing and equipment, absence of an archival law, high levels of illiteracy, Poor transport and communication network. Ilana (2008) identified lost records and record storage as challenges associated with records management. According to her, lost records can range from a minor inconvenience for businesses to an enormous hassle that takes months, or even years, to resolve. Thus, if clients request documents from the company on a regular basis and the company is unable to provide them in a timely manner (or at all), the company risks the loss of their business in the future. If important records are needed for a legal matter, such as defending the company against a lawsuit, not supplying the appropriate documents can cost huge sums of money, or even mean the dissolution of the business entirely. On record storage, she stated that, depending upon the type of business for which the company keeps records, as well as how long the company has operated, the company may find itself running out of space.

2.5.0 Conclusion

In a world of change, information has become the most dominant resource in the success of organizations and at the same time, organization has to meet increasing regulatory and legal requirements. The management recorded information, irrespective of form or format, is more vital to organizations than ever before (Sanderson & Ward, 2003). In its response to change, record management has moved along with several conceptual frameworks, from archives to information management. Now the discipline has to acquire another framework, derived from information and communication technology.

The problems of record keeping identified generally in the educational system in Ghana include lack of record manual and filing guidelines which lead to loss of vital information and inadequate computer terminals. Others are difficulty in record retrieval and lack of appreciation by management and staff of the need for well-controlled records. However, theory and literature are emphatic as the significant contribution of good record keeping to an organization if it will actualized it objectives in the both short and long term decisions.

2.6.0 Conceptual Framework
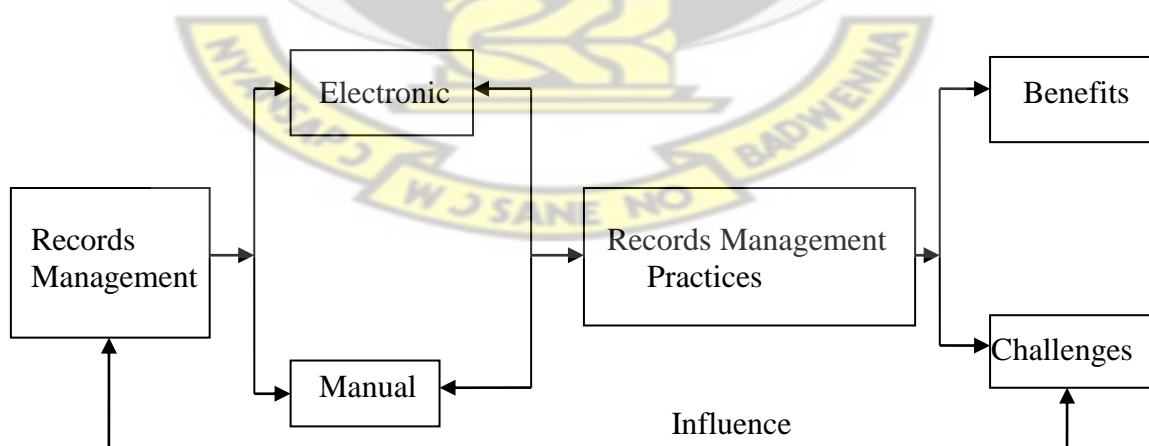
Figure 2.2.: **Conceptual framework explaining records management practices in organizations.**

Based on the literature review, a conceptual framework developed in Figure 2.2 shows that records management is made up of two forms. These forms are electronics and manual records management. The proper and continuous management of these two forms of records management produce the records management practices in organizations.

The records management practices has both benefits and challenges which influences the way and manner in which records are managed within organization.

CHAPTER THREE

RESEARCH METHODOLOGY AND ORGANISATIONAL PROFILE

3.0   Introduction

This study was concerned with the assessment of records management practices among the administrative staff of the University of Education, Winneba – Kumasi and Mampong campuses. This chapter conveys how data was collected in response to research questions, describing procedures and techniques that supported its main points used by the researcher in conducting the study. It is presented in the following order; research design, source of data, population, sampling Technique, data collection instrument, data analysis technique and organizational profile.

3.1   Research Design

The research design allows the researcher to meet the purpose of the research. Thus the research design refers to the general plan of how the researcher will go about answering the research question(s) (Saunders et al., 2007).

The main instruments used to collect field data were structured questionnaires. The questionnaires were designed by taking into account the objectives of the study in chapter one. It helped the respondents to offer relevant information needed for the study. The justification for the use for the questionnaires was that it helped the respondents to answer the questions at their convenient time. It reduced respondents' bias since the same questionnaires were answered by the respondents and variation of questions was eliminated. The questionnaires also solved the problem of non- contacts and offered greater assurance of anonymity.

3.2   Sources of Data

Both primary and secondary sources of data were used in this study.

3.2.1   Primary data

Primary data are the original data collected for a specific research goal or information that one has acquired from questionnaire, interview or observations. A primary source of data was chosen because there was the need to obtain information at first hand from the selected respondents within the University of Education, Winneba – Kumasi and Mampong campuses. Structured questionnaire were used to solicit information from respondents.

3.2.2   Secondary data

Secondary data are data originally collected for a different study, used again for a new study or purpose. The researcher used articles from the internet, journals, documented reports and information from the University of Education, Winneba.

3.3   Population

Population refers to the complete set of individuals (subjects), objects or events having common observable characteristics in which the researcher is interested in studying (Agyedu et al., 2010). The population for this study was focused on all the administrative staff of the two satellite campuses (Kumasi and Mampong) of University of Education, Winneba. However, due to limited time, the researcher could not study the whole population and had to select a sample of eighty (80) respondents. As Neuman (2006) puts it, that by sampling, the primary goal of researchers is to get a small collection of units from a much larger collection or population, such that the researcher can study the

smaller group and produce accurate generalizations about the larger group. The population of the Kumasi and Mampong Campuses of the University of Education, Winneba is shown Table 3.1 and 3.2.

Table 3.1   Composition of Staff at Kumasi Campus of UEW

Category of Staff	M	F	Total
Senior members	18	9	27
Senior staff	51	50	101
Junior staff	153	34	187
Grand Total staff	**222**	**93**	**315**

Source: UEW HR Unit, 2014

Table 3.2   Composition of Staff at Mampong Campus of UEW

Category of Staff	M	F	Total
Senior members	12	2	14
Senior staff	27	11	38
Junior staff	86	17	103
Grand Total staff	**125**	**30**	**155**

Source: UEW HR Unit, 2014

3.4   Sample Size

The researcher sampled 80 out of the total population (470) of administrative staff of the University of Education, Winneba – Kumasi and Mampong Campuses.

Table 3.3: Categories of administrative staff, the population and sample sizes

Category	Population	Male	Female	Total
Senior members	41	3	7	10
Senior staff	139	18	32	50
Junior staff	290	5	15	20
Total	**470**	**26**	**54**	**80**

Source: UEW-K Human Resource Unit, (2014)

3.5   Sampling Technique

A non-probability sampling method was used in the study, thus purposive sampling method. Agyedu et al. (2010) suggested that in purposive sampling, the researcher uses his or her own judgment about which respondents to choose, and picks only who best meet the purpose of the study   Purposive sampling was used because not all administrative staff are directly involve in records management. It was aimed at getting as more relevant and valuable information for the research as possible.

Questionnaires were distributed to selected respondents from different job levels or categories, thus junior staff, senior staff and senior members (with the exception of labourers, messengers and artisans). The reason for selecting these administrative staff is their insight and understanding of the research topic as they deal directly with records management as part of their duties, and also understand the strategic role of records management in the institution.

3.6   Data Collection Instruments

The instruments for collecting data are questionnaires, interviews, observations and analysis of documents but for the purpose of this research, questionnaire was used to collect the data.   Questionnaires were formulated from the objectives, eighty (80) questionnaires were distributed to the administrative staff which consist of senior members, senior staff and junior staff within the two satellite campus of the UEW. Respondents were given the chance to tick the most appropriate response to an item and the questionnaire items included the vital issues to provide all the necessary answers to the research questions. Structured questionnaire was administered personally to reduce the risk of failure to respond or return the administered questionnaire and also ensure that relevant and accurate information were obtained from the respondents. Such designed question type could be viewed in the appendix. Again, personally administering the questionnaires also enabled the collection to be easy and effective.

3.7   Data Analysis

The analysis of data was done at the end of the data collection. The responses were categorized on the basis of information provided by respondents. Statistical Package for Social Sciences (SPSS version 16.0) was used to analyze the data.   The data was presented and interpreted using frequency distribution tables, percentages, pie chart and bar charts. The SPSS has the incredible capabilities and flexibilities of analyzing huge data within seconds and generating an unlimited gamut of simple and sophisticated statistical results.

3.8   Profile of the Study Area

According to the University of Education Diary (2014), the University of Education, Winneba is a University in Winneba, Central Region of Ghana. On May 14, 2004, the University of Education Act, Act 672 was enacted to upgrade the status of the University College of Education to the status of a full University and provide for related matters. The University of Education, Winneba (UEW) was established in September, 1992 as a University College under PNDC Law 322. The University brought together seven diploma awarding colleges located in different towns under one umbrella institution viz the Advanced Teacher College, the Specialist Training College and the National Academy of Music, all at Winneba; the School of Ghana Languages, Ajumako; College of Special Education, Akwapim-Mampong; the Advanced Technical Training College, Kumasi; and St. Andrews Agricultural Training, Mampong-Ashanti. The Winneba campus is the seat of Vice-Chancellor with satellite campuses at Kumasi, Mampong and Ajumako. The student population is over Forty-three thousand (43, 000).

3.8.1   Mission Statement

To train competent professional teachers for all levels of education as well as conduct research, disseminate knowledge and contribute to educational policy and development.

3.8.2   Vision Statement

To be an internationally reputable institution for teacher education and research.

3.8.3   Staffing situation

The staffing position for the entire University is One Thousand, Nine Hundred and Forty-Six (1,946) total number of staff.

3.8.4 Main activities, special status and mandate

The University of Education, Winneba (UEW) is to train competent professional teachers for all levels of education. The University is charged with the responsibility of producing professional educators to spearhead a new national vision of education aimed at redirecting Ghana's efforts along the path of rapid economic and social development. The institution is expected to play a leading role in the country's drive to produce scholars whose knowledge would be fully responsive to the realities and exigencies of contemporary Ghana and the West African sub-region.

3.8.5 Brief History of Kumasi Campus

According to the University diary, 2014, the Kumasi Campus which hosts the College of Technology Education is about 320 kilometres away from Winneba, the main campus. The College is made up of the Faculty of Business Education, Faculty of Education and Communication Sciences, Faculty of Technical Education and Faculty of Vocational Education (UEW-K Human Resource Unit, 2014).

3.8.6 Staffing position of Kumasi and Mampong Campuses of UEW

The structure of UEW-K and UEW-M consist of teaching staff, senior members, senior staff, and junior staff. The management comprises the Principal of the College, the Deputy Registrars, the Deputy Finance Officer, Deans of faculties, Heads of Departments, the Deputy Librarian, the Senior Assistant Registrars, Assistant Registrars, FUSSAG, TEWU and Students' Representatives. The staffing situation for both Kumasi and Mampong Campuses is Eight Hundred (800).

CHAPTER FOUR

DATA PRESENTATION, ANALYSIS AND DISCUSSION

4.0   Introduction

This chapter presents the analysis and data collected from sampled respondents. In all, eighty (80) questionnaires were distributed to both male and female administrative staff of the institution and seventy (70) questionnaires were retrieved. The analysis was done based on items in the questionnaire and organized in line with the research questions and objectives stated in chapter one and they are presented in the form of frequency distribution tables and pie charts to give better explanations and also make the analysis easier. These modes of data presentations were generated from survey data with the aid of Statistical Package for Social Science (SPSS) version 16.0 and Microsoft excel after properly coding and imputing the data.

4.1   Demographic Information

This is the first aspect of the analysis which deals with the basic data on the respondents (senior members, senior staff and junior staff). It was important to find out from the respondents their age, gender, marital status, and educational background. These specific characteristics would affect their participation in the study, because individual responses or perceptions on some issues may vary. The data involves respondents' gender, age, level of education and number of years worked with the University which is presented as follows;

Table 4.1: Age Distribution of Respondents

Response	Frequency	Percent
25 years and below	5	7
26-35 years	36	51
36-45 years	18	26
46 years and above	11	16
Total	**70**	**100**

Source: Fieldwork, 2014

Table 4.1 illustrates the age distribution of the respondents, 36(51%) of the respondents were within the age brackets of 26 years to 35 years. Again, 18(26%) were within the age brackets of 36 years to 45 years, 11(16%) were also within the brackets of 46 years and above while 5(7%) were between the age brackets 25 and below. This implied that majority of the University administrative staff are below the age of 36 years, who are very energetic and can help the institution to achieves its target or objectives.

Table 4.2: Gender

Response	Frequency	Percent
Male	21	30
Female	49	70
Total	**70**	**100**

Source: Fieldwork, 2014

Table 4.2 shows the gender distribution of the respondents. Clearly, it can be seen from the table that female respondents dominate the study representing 70% while 21 respondents making 30% were males. This confirms the perception that administrative duties is a female dominated and that males generally do not show interest in that.

44

Table 4.3: Educational Background of administrative staff

Response	Frequency	Percent
Basic	0	0
Senior High Sch.	2	3
Polytechnic	5	7
University	63	90
Total	**70**	**100**

Source: Fieldwork, 2014

Table 4.3 shows the educational levels of the respondents. Two (2) respondents representing 3% have had their SHS education, 5 respondents making 7% have had polytechnic education, and 63 of them representing 90% have completed University education while none of the respondents have had only basic education. This gives the impression that majority of the respondents are University graduates which made the researcher used only questionnaire in data collection.

Table 4.4: Number of years worked

Response	Frequency	Percent
0-5 years	22	31
6-10 years	23	33
11-15 years	16	23
16 and above	9	13
Total	**70**	**100**

Source: Fieldwork, 2014

Table 4.4 indicates the number of years respondents have worked in the University. Twenty-two (22) respondents representing 31% of them have worked for five years or less in the University. Twenty-three (23) respondents making 33% have served in the University for 6-10 years, sixteen (16) respondents representing 23% have spent between 11-15 years in the institution and the remaining 9 of the respondents representing 13% have served over 16 years in the institution. It therefore indicates that respondents have experience in proper records management and help preserves the institutional memory. This is in line with the assertion made by Gude (1992) that as people work continuously for a long time on a particular task, they become more conversant with the best practices and tenets of the work and subsequently develops best attitudes towards high performance.

Table 4.5:   Category of staff

Response	Frequency	Percent
Senior Member	12	17
Senior Staff	43	61
Junior Staff	15	21
Total	**70**	**100**

Source: Fieldwork, 2014

The table 4.5 depicts that 12(17%) of the respondents were senior members, 43(61%) were senior staff and 15(21%) junior staff. The results shows that majority of the respondents were senior staff who play active role in the University administration.

4.2   Records Management Practices in the University
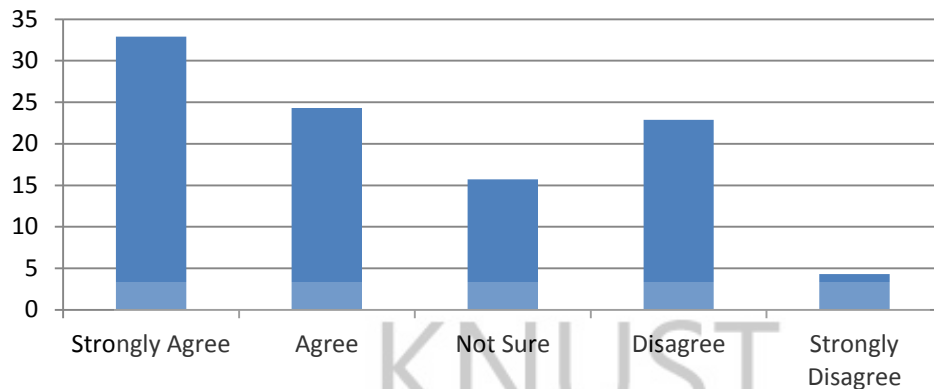
Figure 4.1:   **University policies and procedure for creating and storing records in both paper and electronic format.**

Source: Fieldwork, 2014

Results from Figure 4.1 shows that 23(33%) strongly agree that the UEW has policies and procedures for creating and storing records, 17(24%) agree, 11(16%) were not sure, and 3(4%) strongly disagree to this statement. This depicts that the administrative staff were not sure whether UEW has records management policies and procedures which facilitate how records are managed.
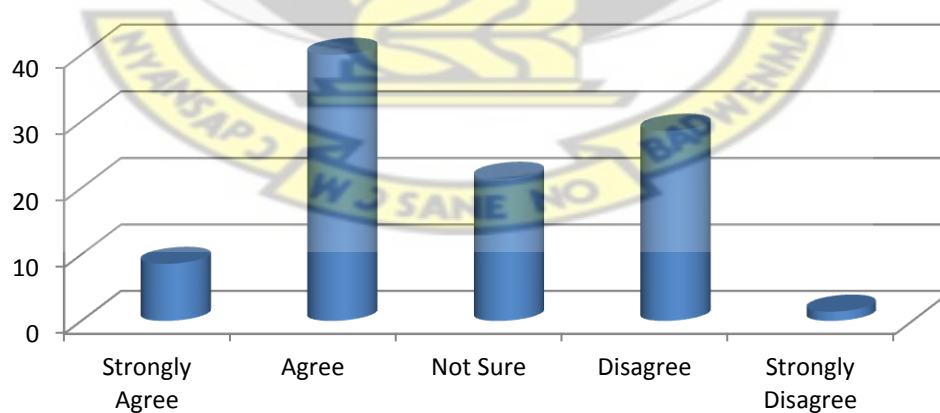
Figure 4.2   **Documented records retention schedule and expected retention time periods for University records.**

Source: Fieldwork, 2014

Figure 4.2 depicts that six (6) respondents strongly agree, twenty-eight (28) agree, fifteen (15) were not sure, twenty (20) disagree while one (1) strongly disagrees constituting 9%, 40%, 21%, 29% and 1% respectively. This implies that the University has documented records retention schedule that record categories and expected retention time periods. It also prevents excessive retention of records which will cause difficulties in retrieving records and result in space problems. This is in line with the assertion made by De Wet and Du Toit (2000) that record management has evolved from a paper-based function for the storage of an organization's miscellaneous documents to one concerned with the management of specific internal records in a multitude of media from creation to disposal through their active use as sources of information and ultimate review against retention schedules for their eventual distraction.
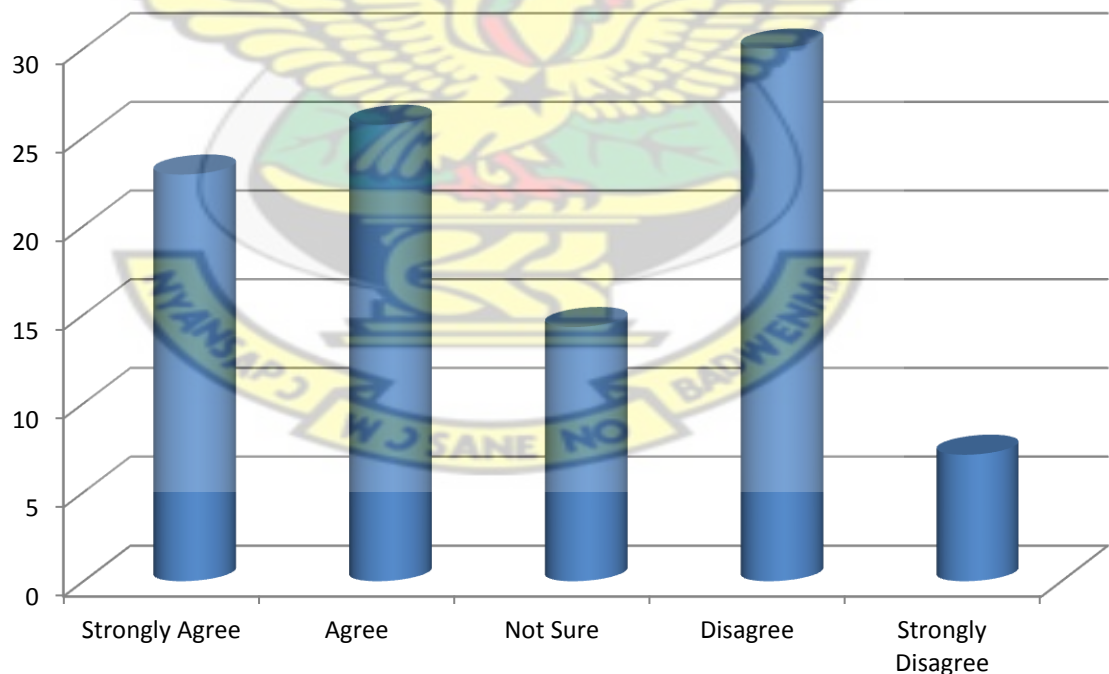
Figure 4.3: An organizational file plan at functional unit level promotes easy locating of information without depending on any particular employee.

Source: Fieldwork, 2014

48

Figure 4.3 depicts that sixteen (16) respondents strongly agree, eighteen (18) agree, ten (10) were not sure, twenty-one (21) disagree while five (5) strongly disagrees constituting 23%, 26%, 14%, 30% and 7% respectively. The results shows that the institution do not have file plan that guide officials on the allocation of file reference number for easy filing and retrieval.
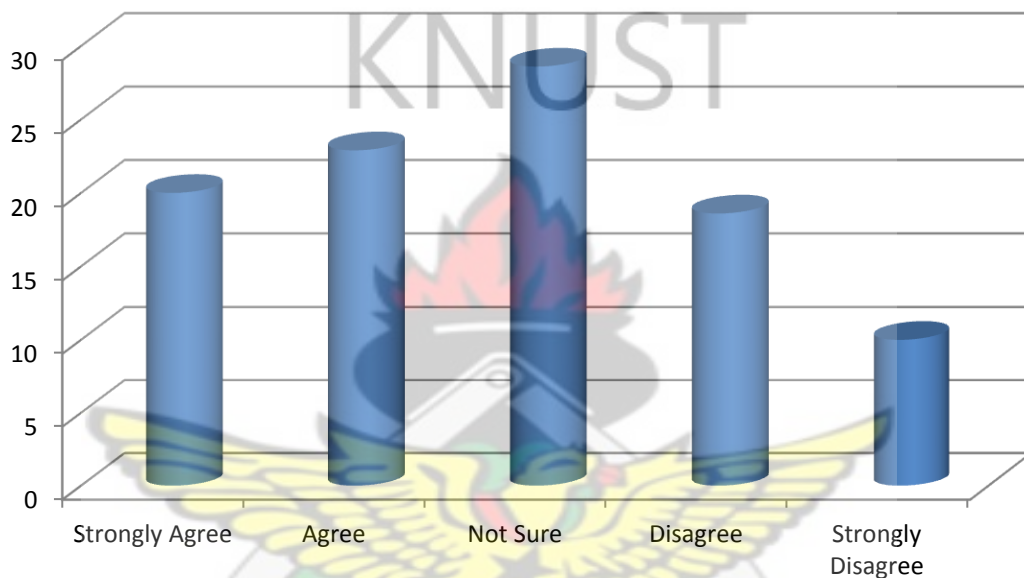
Figure 4.4   The University has a vital records program that serves as a back-up in case of a disaster

Source: Fieldwork, 2014

Figure 4.4 reveals that twenty (20) respondents strongly agree, sixteen (16) agree, seven (7) were not sure, fourteen (14) disagree while thirteen (13) strongly disagree constituting 28%, 23%, 10%, 20% and 19% respectively.   This implies that majority of the respondents were in support that the University has a vital records program that serves as a back-up. The assertion is in line with Uwaifo (2004) which states that, generally records management must be guided by some level of confidentially, proper maintenance, security, preservation of the content and context.

49
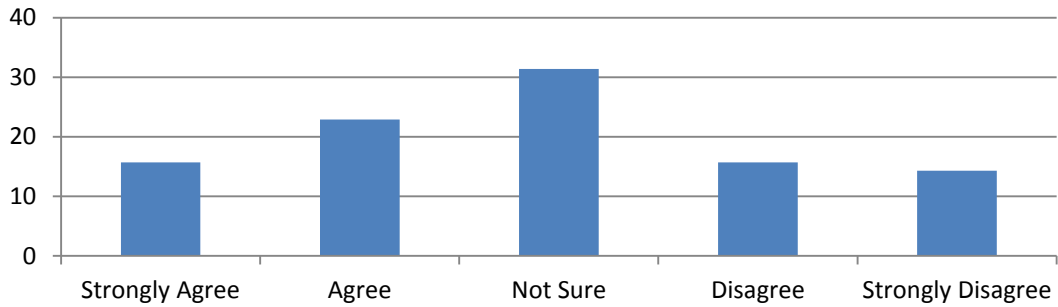
Figure 4.5   The University organizes records management training program annually to ensure that quality records are kept

Source: Fieldwork, 2014

Figure 4.5 shows that eleven (11) respondents strongly agree, sixteen (16) agree, twenty-two (22) were not sure, eleven (11) disagree while ten (10) strongly disagrees constituting 16%, 23%, 31%, 16% and 14% respectively. It indicates that the administrative staff of UEW are not aware of the annual training program organized to ensure that quality records are kept.   This conflict with the University's records management policy framework which has made provision for staff training in records management annually. It is also contrary to Kanzi (2010) assertion which states that records office staff should be trained to equip them with the necessary skills to carry out their functions properly.
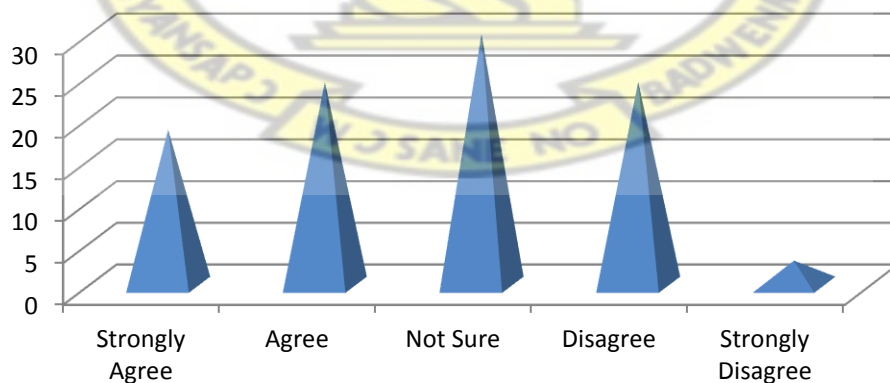
Figure 4.6: Periodic audits and assessment the clarity of records management procedures

Source: Fieldwork, 2014

Figure 4.6 shows that thirteen (13) respondents strongly agree, seventeen (17) agree, twenty-one (21) were not sure, seventeen (17) disagree while two (2) strongly disagree constituting 19%, 24%, 30%, 24% and 3% respectively. The result of the data indicates that most records management staff are not aware whether records management procedures is audited for clarity from time to time.
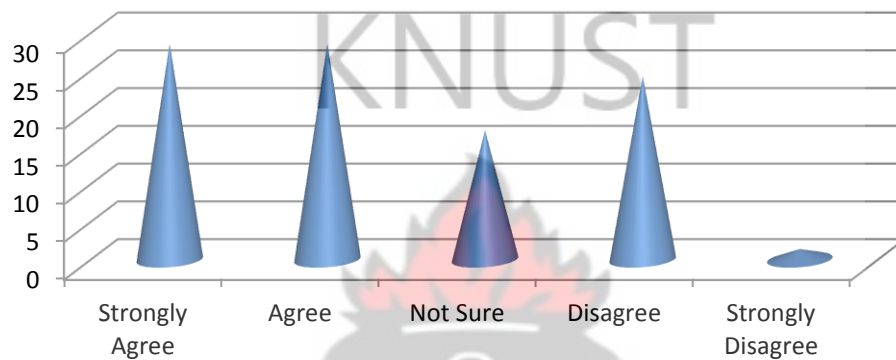
Figure 4.7: Adequacy of data privacy and security of records in the University

Source: Fieldwork, 2014

Figure 4.7 illustrates that twenty (20) respondents strongly agree, another twenty (20) also agree, twelve (12) were not sure, seventeen (17) disagree and only one (1) strongly disagree constituting 20%, 20%, 12%, 17% and 1% respectively. This confirms to the assertion that there is adequacy of data privacy and security of records at UEW.

Table 4.6: How documents are stored in the University

Response	Frequency	Percent
Manual	11	16
Electronic	5	7
Both	54	77
Total	**70**	**100**

Source: Fieldwork, 2014

Table 4.6 demonstrates clearly that 11(16%) keep their office documents manually, 5(7%) store their records electronically while 54(77%) store their records both manual and electronic forms. The results show that majority of the respondents used both manual and electronic forms in data storage making the retrieval of records easy.

Table 4.7: Filing of office documents

Response	Frequency	Percent
Daily	39	56
Weekly	23	33
Monthly	8	11
Total	**70**	**100**

Source: Fieldwork, 2014

Table 4.7 shows how often office documents are filed in the University. Out of the 70 responses, 39(56%) file their documents on daily basis, 23(33%) do it weekly while 8(11%) also file monthly. Interestingly, majority of them (56%) file their correspondence on a daily basis. This shows how UEW attach importance to their records hence the need to maintain the records on daily basis.

Table 4.8: Kind of records management system practiced in the University

Response	Frequency	Percent
Centralized	0	0
De-centralized	70	100
Total	**70**	**100**

Source: Fieldwork, 2014

Table 4.8 pointed out the kind of records management system being practice in the University. None of the respondents practice centralized records management system. That is, all the seventy (70) respondents representing 100% practice de-centralized records management system in the University. This shows that records are secured in various unit/sections/departments/faculties, hence one unit/department cannot have access to another department records without permission.

Table 4.9: Officers in-charge of records monitoring, control and management

Response	Frequency	Percent
Record Manager	0	0
Individuals	70	100
Others	0	0
Total	**70**	**100**

Source: Fieldwork, 2014

Table 4.9 specifies the officers in charge of records management in the University. All the 70 respondents, representing 100% indicated that individuals in their various units/sections/department/faculties were in-charge of records management. None of the respondents were against this assertion. The results suggest that none of the respondents stated they have a records manager or any other appointed officer who monitors and controls records. This is contrary to the assertion made by Kanzi (2010) that for a sound records management practices to take place, heads of institutions should designate or appoint a record manager who will develop and implement records management policies endorsed by the head of the organization and the top management team. Again, in the absence of records manager within the various units, sections, departments and faculties

53

is contrary to the University Records Management Policy Framework which states that the Records Manager will develop a schedule for retention and disposal of records drawn up as a result of applied best practice i.e. based on records surveys, analyses, agreements with business units.

Table 4.10: Record life-cycle of the institution

Response	Frequency	Percent
Five	12	17
Four	33	47
Three	25	36
Others	0	0
Total	**70**	**100**

Source: Fieldwork, 2014

In Table 4.10, represent the record life-cycle of the institution.   It shows that a majority of the respondents 33(47%) were in assertion that records life-cycle has four phases, 25(36%) said it has three phases, 12(l7%) also said it has four stages while none of them made mention of phase one or two.   The illustration shows that UEW records pass through four phases (from creation, through use and maintenance to ultimate disposal) of the life-cycle which agrees with the assertion made by Erlandsson (1997) that the activities of records management programs are developed upon the records management concept which has several phases that explain the stages or status of records, from creation, through use and maintenance to ultimate disposal.

4.3   Benefits derived from Records Management

Records management occupies a strategic position in the efficient and effective management of the University system. In fact, it is central in the administration of institutions of learning because it documents the planning and implementation of appropriate course of services allowing proper monitoring of work. The researcher found out the benefits derived from records management. The responses are as follows;
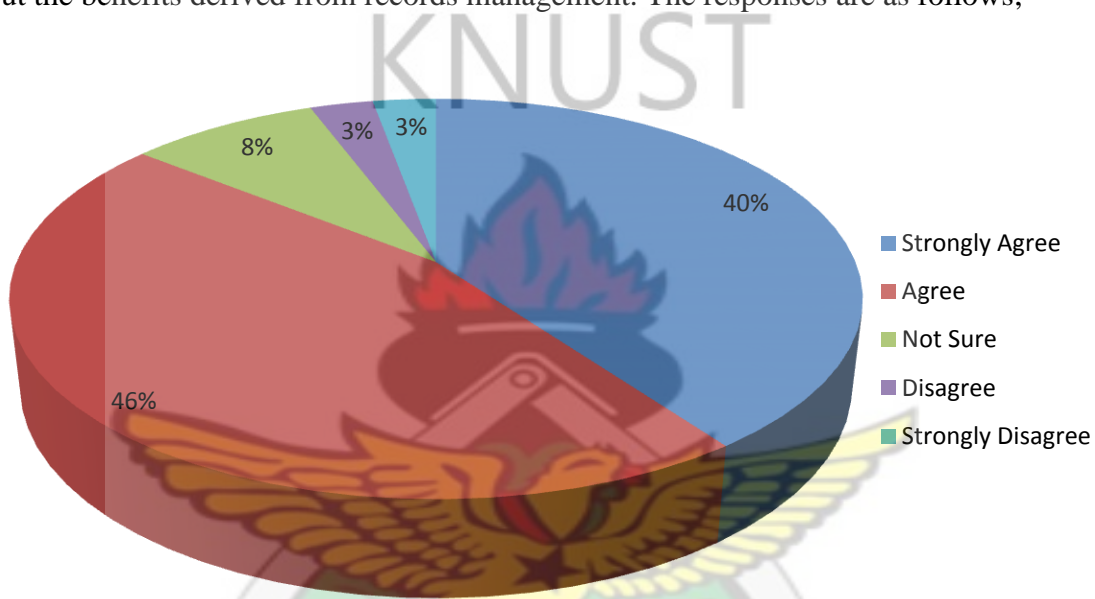
Figure 4.8: Proper records management leads to quick decision making

Source: Fieldwork, 2014

Figure 4.8 shows that 28(40%) of the respondents strongly agree that proper records management leads to quick decision making, 32(46%) agree, 6(9%) were not sure, 2(3%) disagree and 2(3%) strongly disagree to the assertion. The results indicate that quick decision making help the University to fast track service delivery, and promote its image. This agrees with the assertion made by Hebert (1998) that records support decision making, demonstrate compliance, documents the history of the University and perhaps most importantly enables the institution to do their jobs.
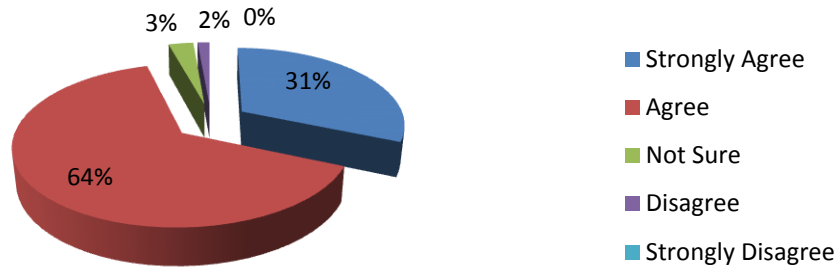
Figure 4.9: Proper records management saves office space

Source: Fieldwork, 2014

Figure 4.9 depicts that out of the seventy (70) respondents, 22(31%) of the respondents strongly agree that proper records management saves office space, 45(64%) agree, 2(3%) were not sure, 1(1%) disagrees while none of the respondents strongly disagree to the assertion. The result shows that proper records management saves office space. This is in accordance with Shepherd and Yao (2003) assertion that records management, in theory and practice emphasize that it is necessary to use appraisal technique to support decisions about retention that is which records can be destroyed at an early stage and which merit longer term or indefinite retention. This implies that proper record management prevent a situation whereby unwanted records are kept over a long period of time thereby occupying already limited office spaces.
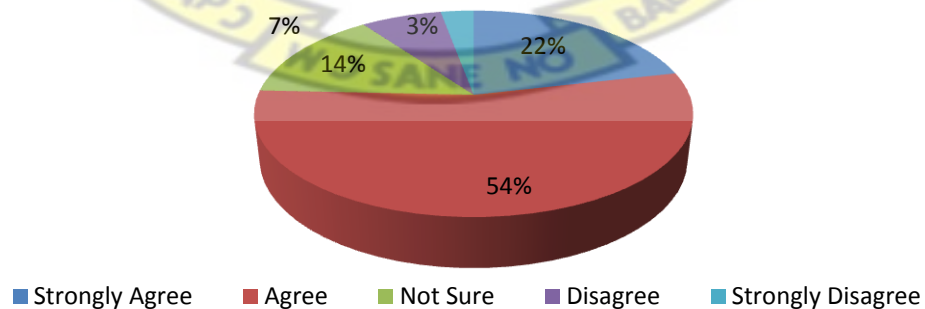
Figure 4.10: Proper records management leads to a reduction in storage cost

Source: Fieldwork, 2014

Figure 4.10 points out that 15(21%) of the respondents strongly agree that proper records managements leads to a reduction in storage cost, 38(54%) agree, 10(14%) were not sure, 5(7%) disagree, and finally 2(3%) strongly disagree to this assertion. This shows that majority of them agree that proper records management leads to a reduction in storage cost.
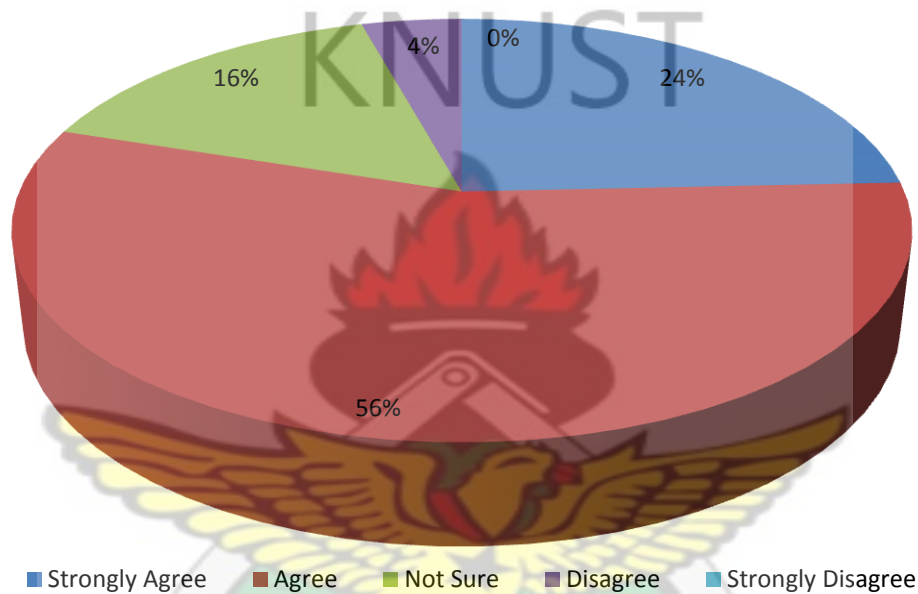
Figure 4.11: Proper records management promote good governance

Source: Fieldwork, 2014

Figure 4.11 reveals that 17(24%) of the respondents strongly agree that proper records management promote good governance, 39(56%) agree, 11(16%) were not sure, 3(4%) disagree and lastly none of the respondents strongly agree to the statement. The result indicates that proper records management promotes good governance. This agrees with the statement made by McLeod and Childs (2007), good record management help demonstrate accountability, transparency and corporate governance and is the source of information for citizens in context of open government and freedom of information.
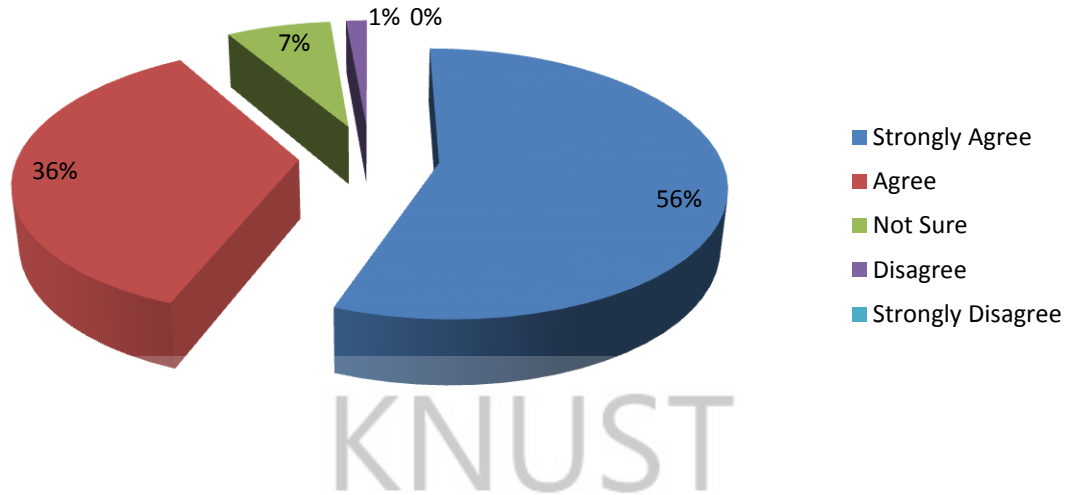
Figure 4.12: **Proper records management save employees' time**

Source: Fieldwork, 2014

Figure 4.12 depicts that, Out of seventy (70) respondents, 39(56%) of the respondents strongly agree that proper records management saves employees' time. 25(36%) agree, 5(7%) were not sure, 1(1%) disagrees but none of the respondents strongly disagree. This shows that majority of them were in support of the assertion.
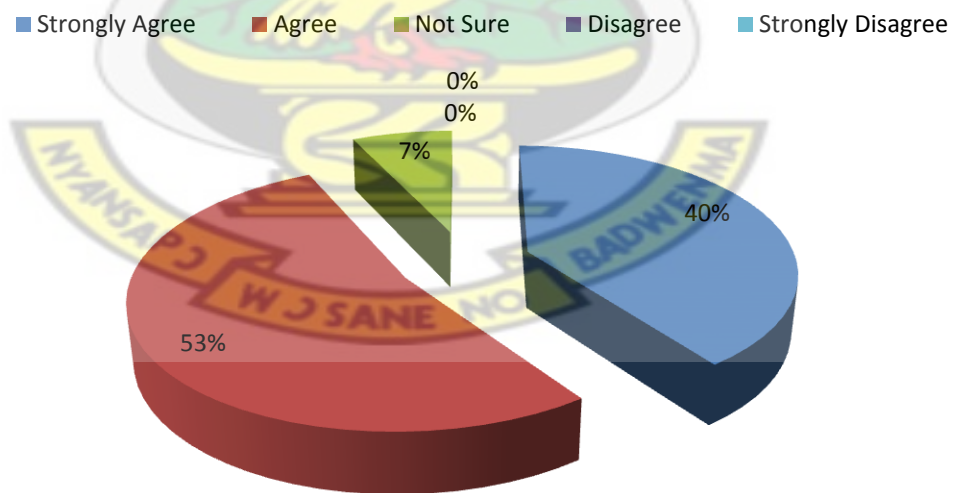
Figure 4.13: **Proper records management maintain corporate and institutional memory**

Source: Fieldwork, 2014

In Figure 4.13, 28(40%) of the respondents strongly agree that proper records management maintain corporate and institutional memory. 37(53%) agree, 5(7%) were not sure while none of the respondents disagree and strongly disagree respectively. The result confirms that proper records management maintains corporate and institutional memory. This agrees with Langemo (1995) assertion that a record is the memory of the institution, the raw materials for decision making and the basis for legal defensibility. It is also in line with Hounsome (2001) statement that proper records management are the corporate memory of the organization, evidence of what was done and why it was done.
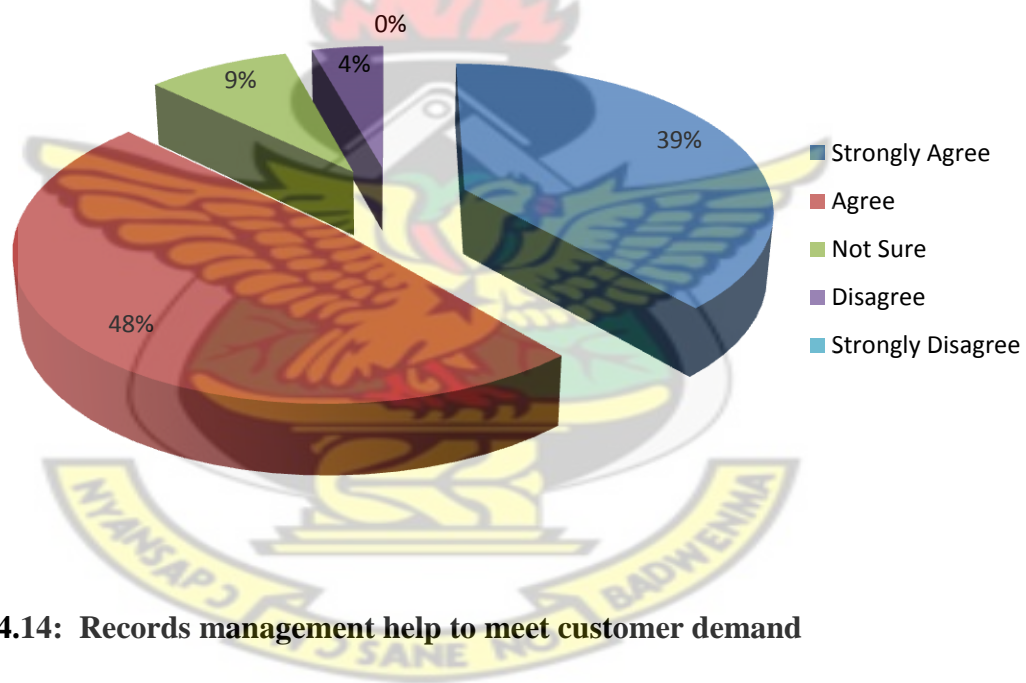
Figure 4.14: Records management help to meet customer demand

Source: Fieldwork, 2014

From Figure 4.14, out of seventy (70) respondents, 27(39%) of them strongly agree that proper records management helps meet customer demand, 34(49%) agree, 6(9%) were not sure, while 3(4%) disagree to the statement. This indicates that proper records management helps the institution to meet customers demand.

59

4.4 Challenges with Records Management
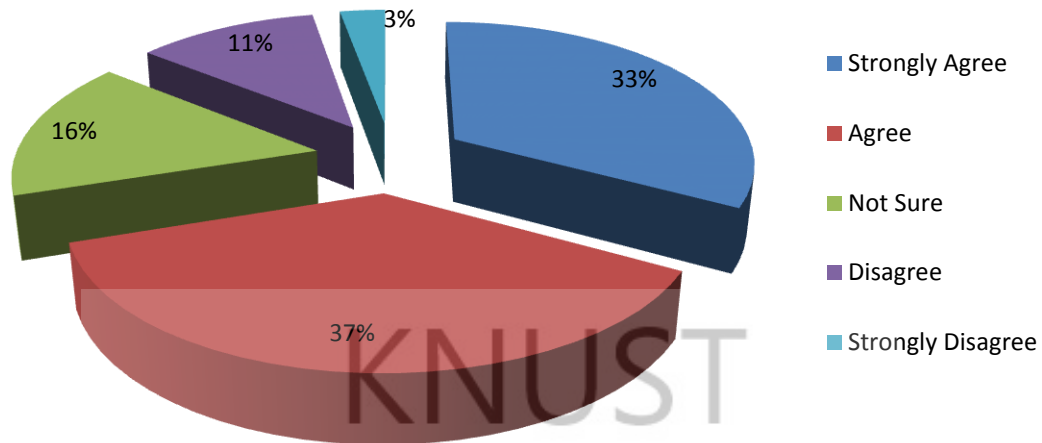
Figure 4.15: Improper records management is challenge in retrieving office documents.

Source: Fieldwork, 2014

Figure 4.15 pointed out that, 23(33%) of the respondents strongly agree that improper records management is challenge in retrieving office documents, 26(37%) agree, 11(16%) were not sure, 8(11%) disagree while 2(3%) strongly disagree. The results show that poor records management is a great challenge in retrieving office documents.
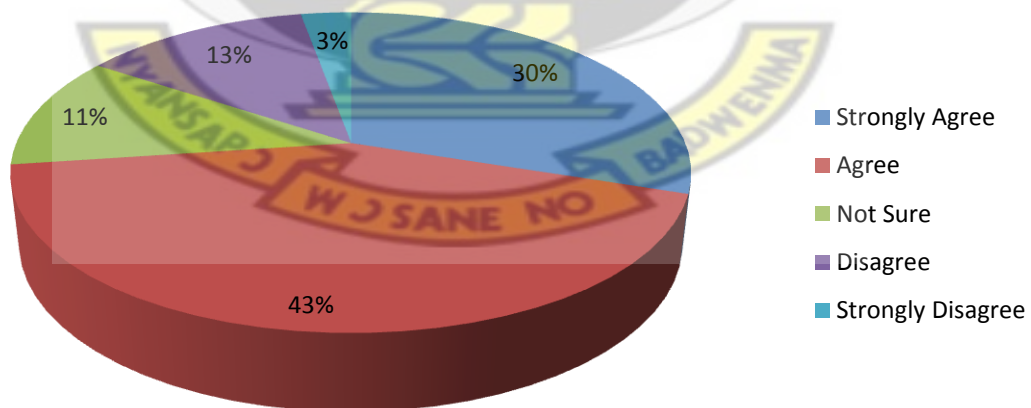
Figure 4.16: Lack of proper security for records affects the records management practices in the University

Source: Fieldwork, 2014

Figure 4.16 shows that 21(30%) strongly agree that lack of proper security for records affects the records management practices in the University, 30(43%) agree, 8(11%) were not sure, 9(13%) disagree while 2(3%) strongly disagree to the statement. The results indicate that improper security of records affect records management practices.
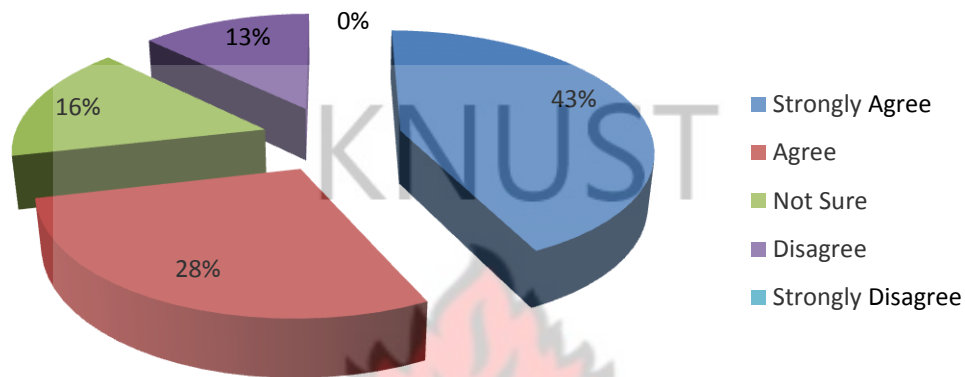
Figure 4.17: **Lack of professionally trained records managers contribute to problems of records management**

Source: Fieldwork, 2014

Figure 4.17 specifies that, 30(43%) of the respondents strongly agree that lack of professionally trained records managers contribute to the problem of records management. 20(29%) agree, 11(16%) were not sure. 9(13%) disagree while none of them strongly disagree with the statement. It can be seen clearly from the figure that lack of professionally trained records managers bring about improper records management. This confirms to the assertion made by Igoudala (1998) that personnel who maintain the registry systems with filing cabinets containing the paper evidence of University business are inadequate and in fact ignorant of their responsibilities. Giving credence to this, Afolabi (1999) asserted that records management practice in Ghana has a number of problems which may include insufficient and experience record management personnel.
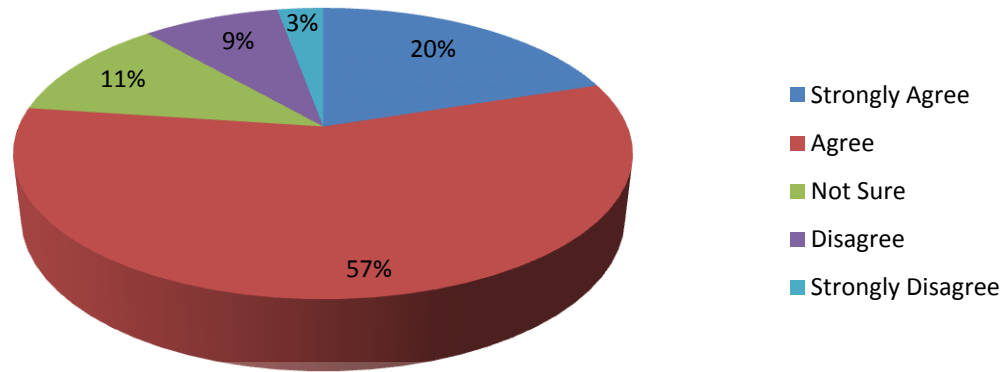
Figure 4.18: Inadequate resources to facilitate proper records management practices is problem in the institution

Source: Fieldwork, 2014

Figure 4.18 stated that 14(20%) strongly agree that inadequate resources to facilitate proper records management practices is a problem in the institution, 40(57%) agree, 8(11%) were not sure, 6(9%) disagree, 2(3%) strongly disagree. The results suggest that majority of the respondents agree that insufficient resources contribute to poor records management practice in the University.
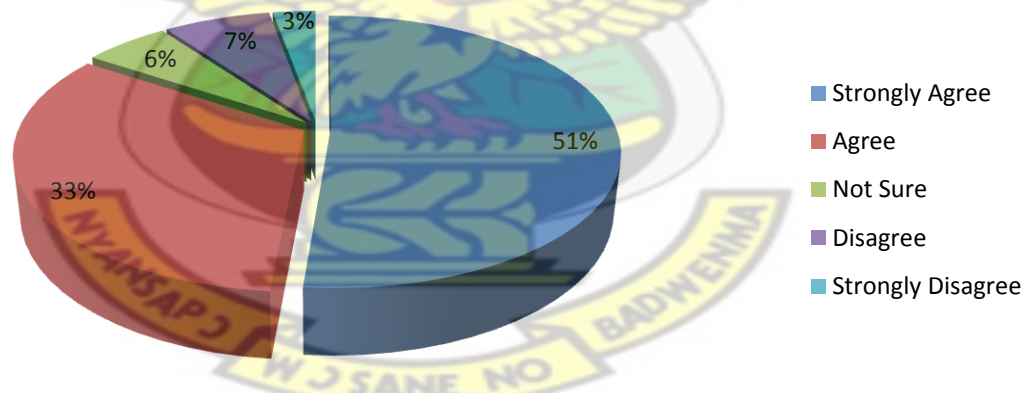
Figure 4.19: Insufficient space for records management at the University is also a challenge.

Source: Fieldwork, 2014

Figure 4.19 shows that 36(5%) of the respondents strongly agree that insufficient space for records management in the University is a big challenge, 23(33%) agree, 4(6%) were not sure, 5(7%) disagree and 2(3%) strongly agree to the statement. The results confirm that insufficient space for storage of records is a challenge in the institution.

CHAPTER FIVE

SUMMARY OF FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

5.0   Introduction

This chapter captures the main issues addressed in the study. It presents the summary, conclusion and recommendations which would be of interest to various stakeholders.

5.1   Summary of Findings

This has been arranged according to forms of records management, Records Management Practices, benefits derived from proper records management and challenges associated with records management.

5.1.1   Records Management Practices

The research revealed that decentralized system of records management is being practiced in the University. This meant that each of the various units, sections, departments and faculties keep their own records and no unit, section, department or faculty can have access to another unit, section, department or faculty's records without permission.

The study further discovered that as far as records monitoring, control and management are concerned, there are individuals who are in-charge within the various units, sections, departments and faculties in the University. None of the respondents stated that they have a records manager or any other appointed officer who monitors and control records.

The study also established that the University records pass through four (4) phases (from creation, through use and maintenance to ultimate disposal) of the records life cycle. Again, it was revealed that the University has policies and procedures for creating and storing records in both paper and electronic forms. However, the awareness of these policies and procedures is very low.

Furthermore, it was realized that the University has a documented records retention schedules and expected retention time periods for the University records. Besides, the finding indicated that the records management staff are not being given record management training to ensure that quality records are kept. It was also realized that the University has adequate policy framework on data privacy and security for its records.

5.1.1.1   Forms of Records Management

The study established that majority of respondents store their administrative documents in both manual and electronic forms. This meant that the University records are secured to large extend. Thus when one form of the records is lost, the institution can rely on the other form for its operations. On the filing of office documents, the study confirmed that the respondents file their office documents on daily basis. This shows the importance the administrative staff attached to records of the University.

5.1.2   Benefits of Records Management

The study revealed that proper records management leads to quick decision making and saves office space as well. In addition, the finding indicated that proper records management promotes good corporate governance and helps maintain corporate and institutional memory.

5.1.3 Challenges with Records Management

The study indicated that one of the challenges associated with proper records management is inadequate professionally trained records managers. It was further established that insufficient resources like office space pose a challenge to proper records management in the University.

5.2 Conclusion

From the study, it can be deduced that records are inextricable entwined with increased transparency, accountability and good governance. It also became apparent that fraud cannot be proven, meaningful audits cannot be carried out and government actions are not open to review when records are not well managed. Records provide verifiable evidence of fraud and can lead investigators to the root cause of corruption. Sound records management is therefore at the centre of increased accountability and good governance, it is one of the best weapons in fighting corruption, it plays a vital role in the advancement of human rights and contributes towards ensuring sound financial management. Records should therefore be managed in the same manner that the other organisational resources, such as finance and staff, are managed.

Furthermore, the discussion has revealed that sound records management is not a choice, but compulsory as it is regulated by Universities. Advocating the management of records as an organisational and societal benefit is therefore not an activity to be taken for granted. Ignorance on records management can have adverse effects to the University's performance and can drain financial resources, and that will ultimately affect service delivery.

5.3   Recommendations

Records management function should be incorporated into the organization-wide strategic planning initiatives. Most importantly, senior management should embrace the records management function to ensure its effectiveness and should be incorporated into their performance management targets.   The recommendations of the study are as follows:

The study reveals the importance of a records manager and it is unfortunate that the University of Education, Winneba (Kumasi and Mampong campuses) has no records manager. The institution needs to appoint records managers whose responsibilities will be compilation, implementation, maintenance and utilization of approved filing systems and the records filed according to these systems.

Again, records management is a field that needs to be run by experienced professionals who will know what has to be done. It is therefore necessary for the University to train their records management staff to have a qualification in records management. Workshops and seminars should be organized by the University to train staff on records management.

Furthermore, all University officials should be workshopped on the Records Management Policy and the Procedure and should be posted on University's website for easy access. Also, there should be Records Control Schedule to control and manage all institutions records and prevent unauthorized removal and destruction of records.

5.4   Suggestions for further research

The management of records must be recognized as being one of the key and vital functions that contribute towards the realization of the organizational goals. The study assessed records management practices among administrative staff of the University of Education, Winneba (Kumasi and Mampong Campuses). The study identified several issues which could be a subject of further investigation by records management researchers. It is recommended that studies be conducted to establish the current state of records management in other Universities and other sectors of the government e.g. records management in schools (both primary and high schools), records management in business. Further research should be conducted by considering the other two satellite campuses (Winneba and Ajumako) of the University or other Universities.

In addition studies be conducted to establish records management practices in the private sector, e.g. banking, insurance and non-governmental organizations, agricultural sector and health service sector. Such a study would provide useful comparative data on records management practices in the public and private sectors.

Furthermore, future research could possible cover the role of records management in improving accountability, the contribution of records management in fighting corruption and the importance of training in ensuring sound records management.

BIBLIOGRAPHY

Addo, P.K. (2010). *The Contribution of Higher Education in National Development*. *International Journal of Educational Leadership* 2(2), pp. 81-87.

Afolabi M 1999. *Educational Training Archivists and Record Managers in Africa*. *Annual Conference Procedure of the Society of Nigerian Archivists*, Lagos: SNA, pp.61-67

Agyedu, G.O., Donkor, F, and Obeng, S. (2010). *Teach Yourself Research Methods*, University press, KNUST, Kumasi, Ghana, pp.95-103.

Arora, S.P. (2006). *Office Organization and Management;* Vikas Publishing House London Pvt. Ltd, New Delhi.

Asiwaju, G. (1985), "*The need to introduce modern records management operation in Nigeria"*, *memorandum submitted by the Federal Director of Culture and Archives to the Conference of Minister/Commissioners Responsible for Information*, Social Development, Youth, Sports and Culture. Owerri, March, p. 18.

Atulomuah, B.,C. (2011). *Perceived records management decision making among university administrators in Nigeria*. Library Philosophy and Practice (e-journal). Paper 541

Azman M.I. (2009), **Records** *Management and the Accountability of Governance*. University of Glasgow, PhD Thesis.

Bailey, T., Cloete, N., Pillay, P. (2011) *Universities and Economic Development in Africa Case Study: Ghana and University of Ghana.*

Bearman, D., 1994, *Electronic evidence strategies for managing records in contemporary Organizations*, Archives and Museums Informatics, Pittsburgh.

Beastall, G. 1998. *Records management meets knowledge gathering*. *Records Management Journal*. 8(2), August: 89-94

Blake, R. (2014). *Benefits of Records Management*. Retrieved January 2014, from: http://www.dummies.com/how-to/content/benefits-of-records-management.html

Brendan E. Asogwa, (2012) "*The challenge of managing electronic records in developing countries: Implications for records managers in sub Saharan Africa*", *Records Management Journal*, Vol. 22 Iss: 3, pp.198 - 211

Brooks, P. C. (1996). *The life cycle concept and the development of Federal Records Centres*. *The Records*, 2, 4(March): 12–13 and 2, 5 (May): 20–21.

Cowling, C. 2003.*Records management manual*. London: University of London.

Cox, R.J.(2001) *Managing records as evidence information*. London Westport.

De Wet, S and Du Toit, A. 2000. *The challenges of implementing a records management system at the national electricity regulator in South Africa*. *Records Management Journal*, 10(2), August: 73-86.

Duose J. I. (2009). *Record-keeping and Accountability*: *Ghana@50 in retrospect*. Retrieved January 2014, from: http://www.ghanaweb.com/GhanaHomePage/NewsArchive/artikel.php?ID=168079

Dzandu S. (2009). *Record-keeping and Accountability*: *Ghana@50 in retrospect*. Retrieved January 2014, from the World Wide Web: http://www.ghanaweb.com/GhanaHomePage/NewsArchive/artikel.php?ID=168079

Egwunyenga, E.J. (2009), "*Records keeping in universities: associated problems and management options in South West geographical zone of Nigeria*", *International Journal of Education and Science*, Vol. 1 No. 2, pp. 109-13

Erlandsson, A. (1997). *Electronic records management: a literature review*. Paris: International Council on Archives.

Ezeani, C. (2010), "*Information and communication technology: an overview*", in Madu, E.C. and Ezeani, C.N. (Eds), *Modern Library and Information Science for Professionals in Africa*, Text Kinks, Ibadan, pp. 7-29.

Fabunmi, B.A. (2004). *Planning the university libraries for effective customer services in Nigeria*. *In Madu, E.C. (Ed.), Technology for information management and service*: *Modern libraries and information centers on developing countries*. Ibadan: Evi-Coleman: 147-158.

Gill, S. L. (1993). *File management and information retrieval systems*: *a manual for managers and technicians*. 3rd ed. Englewood, Colorado: Libraries Unlimited.

Golovchinsky G. *The Role of Interaction in the Information Exploration Interface*, Ph.D. Thesis, *Department of Mechanical and Industrial Engineering*, University of Toronto, 1997.

Gregg B. (2013), *Document Imaging and Electronic Content Management*. *Key Challenges of Paper-based Information*. Canon Business Process Services, INC.

http://blog.cbps.canon.com/the-digital-domain/key-challenges-of-paper-based-information/

Hare, C. and McLeod, L. 1997. *Developing a records management programme*. London: Aslib.

Hounsome, C. 2001. *The records management challenges of amalgamation*. Municipal *Monitor*, June/July: 1-7.

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

Ilana W. (2008), *Common Problems Faced by Record Management.* Retrieved January 2014, from: http://www.ehow.com/list_7426188_common-problems-faced-record management.html

International Organization for Standardization (ISO), 2001, *ISO 15489-1 Information and documentation-records management-part 1 general*. ISO, Geneva.

International Records Management Trust (IRMT), 2008, *Integrating records management in ICT system: good practice indicator*, IRMT, London.

Iwhiwhu, E, B.(2005). *Management of Records in Nigerian Universities*: *Problems and Prospects*. *The Journal of Electronic Library*, 23(3): 345-355.

Johare, R. 2001. *Electronic records management in Malaysia: the need for an organizational and legal framework*. *Records Management Journal*, 11(2), August: 97-109.

Kallus, N.M. 1991. *Administrative office management*. Cincinnati: South-Western.

Kanzi, N. (2010). *An investigation of the role of records management with specific reference to amathole district municipality*. Master's thesis, Nelson Mandela Metropolitan University.

Kemoni, H. and Wamukoya, J.S. (2000), "*Preparing for the management of electronic records at Moi University, Kenya: a case study*", *African Journal of Library*, Archives & Information Science, Vol. 10 No. 2, pp. 125-38.

Kemoni, H.N., 2007, '*Records management practices and public service delivery in Kenya'*, PhD Thesis, University of KwaZulu-Natal, Pietermaritzburg, South Africa.

Langemo, M. 1995. *Successful strategies for establishing or strengthening a records management program*. In: Proceeding your highway in information management*: ARMA International Annual 40ᵗʰ Year Conference*, October, 22-25, Nashville. Prairie Village, K.S.: ARMA.

Langemo, R. 1999. *The fundamentals of record management*. Office Systems, 16(1), January: 30-35.

Lawal, G. (2007), "*Corruption and development in Africa: challenges for political and economic change*", *Humanities and Social Science Journal*, Vol. 2 No. 1, pp. 1-7.

Longe, R.S. (2001). *Introduction of Educational Planning*. *Seminar paper of the Educational planning Unit.Department of Educational management*, University of Ibadan. *Managing the public service strategies for improvement series*: No. 6.March 1997, Atlanta, Georgia, U. S. A., pp 335-342.

Marchionini, G. (1995). *Information Seeking in Electronic Environments*. Cambridge Series on Human-Computer Interaction.Cambridge University Press.

Martin, J.S. 1992. *Building an information resource center for competitive intelligence*. Online review, 16(6):379-389.

Mazikana, P. 1990. *Archives and records management for decision makers*: a RAMP study. Paris: UNESCO.

McLeod, J. & Childs, S. 2007. *Records management capacity and compliance toolkits*. *Records Management Journal* Vol. 17, No. 3.EmeraldGroup Ltd. pp. 216-232.

Miller, L. (2004), "*Authenticity of electronic records: a report prepared for UNESCO and the International Council on Archives*", UNESCO, available at; www.ica.org/download.php?¼1623 (accessed 13 May 2014).

Mnjama, N. (2004) *Records and information: the neglected resource*. ESARBICA Journal 23:44–59.

Mrwebi, S. 2000. *Records management in a management consulting firm*. **Masters in Information Science**. Johannesburg: Rand Afrikaans University.

Mutula, S. & Wamukoya, J. (2009) *Public sector information management in east and southern Africa: implications for FOI, democracy and integrity in government*. International Journal of Information Management 29:333–341.

National Archives and Records Service of South Africa (2007*) Managing e-mailed records and the law: What governmental bodies need to know?* Advisory pamphlet no. 2. Pretoria.

Neuman, W.L. 2006. *Social research methods.Qualitative and quantitative approaches*. 6th ed. USA: Pearson.

Newton, C. (1986), "*Information and malformation. Records management in information systems*", *Information '85: Using Knowledge to Shape the Future, Proceedings of Conference organized by Joint Consultative Committee of ASLIB*, Bournemouth, 16-19 September, Library Association Publishing, London, pp. 75-86.

Newton, C. (1989). *Future of records management*. In: Peter Emmerson (ed.). *How to manage your records: a guide to effective practice*. Cambridge: ICSA Publishing

Niinimaki T, Poutanen H, Myllyla B-M and Tervo-Pellikka R, *Computers on the Ward*: *Orthopaedic Care with a Paperless Medical Record and Nursing Plan*, in Barber B, Cao D, Qin D, Wagner G: MEDINFO 89, (North-Holland, Amsterdam, New York, Oxford, Tokyo 1989) pp. 818-821.

Northwest Territories. 2003. *What is Records Management? Records Management* Bulletin (3): 1-2

Nygren, E. and Henriksson, P. (1992) *Reading the Medical Record I. Analysis of physicians ways of reading the medical record*., *Computer Methods and Programs in Biomedicine* (39) pp. 1-12.

O'Hara, Kenton and Sellen, Abigail. "*A Comparison of Reading Paper and On-Line Documents*", in *Proceedings of CHI '97, Human Factors in Computing Systems*, 22-27 March 1997, Atlanta, Georgia, U. S. A., pp 335-342.

Ojedokun, A.O. (2008), **"*Transition to Automated Library Information Systems and the Challenges for Libraries in Africa*"**, in Aina, L.O. et al. (Eds), *Knowledge and Information Management in the Digital Age: Concepts, Technologies and African Perspectives*, Third World Information Service, Ibadan.

Otuama S. (2010), *Problems Faced in Archives and Records Management in Kenya* http://informationscienceblog.blogspot.com/2010/06/problems-faced-in-archives andrecords.html

Ovsiannikov I.A, Arbib M.A., and McNeill T.H., (1999). "*Annotation technology*," *International Journal of Human–Computer Studies*, volume 50, number 4, pp. 329–362. http://dx.doi.org/10.1006/ijhc.1999.0247

Pali (2009), *Records Management*. *Retrieved January 2014, from the World Wide* Web:http://information-field.blogspot.com/2009/06/challenges-in-managing-recordcentre.html

Palmer, M. 2000. ***Records management and accountability versus corruption, fraud and maladministration***. *Records Management Journal*, 10(2), August: 61-72.

Pember, M. & Cowan, R.A. (2010) ***Government records management/ recordkeeping***. In Bates, M. J. and Maack,

Penn, I., Pennix, G. and Coulson, J. 1994. ***Records management handbook***, 2nd edition. Aldershot: Gower.

Place, I. and Hyslop, D. 1982. ***Records management****: controlling business information*. Reston: Reston Publishing.

Porter-Roth B. (2006). ***Applying Electronic Records Management in the Document Management Environment***: Xerox DocuShare Business Unit 3400 Hillview Avenue Palo Alto, California 94304 USA (800) 735-774

Quible, Z. 1996. ***Administrative office management***. Prentice Hall: Upper Saddle River. *Records and the law: What governmental bodies need to know?* Advisory pamphlet no. 5. Pretoria.

Reed, B., 1997, '***Electronic records management in Australia'***, *Records Management Journal* 7(3), 1–13.

Reed, B., 2005, '***Records' in S. McKemmish***, M. Piggott, B. Reed & F. Upward (eds.), *Archives: recordkeeping in society*, pp. 101–130, *Centre for Information Studies*, Wagg, NSW. http://dx.doi.org/10.1108/eb027111

Ricks, B. Swafford, A and Gow, K. 1992. ***Information and image management***: *a records management systems approach*. 3rd edition. Cincinnati: South-Western publishing Co.

Ricks, M. and Gow, K. 1988. ***Information resource management***: *a records systems approach*. Cincinnati: South-Western Publishing.

Robek, M., Brown, G. and Maeddke, W. 1987. ***Information and records management***. Encino: Glencoe., K. 1982

Roper, M. & Millar, L. (1999), ***Managing Legal Records***, *International Records* Management Trust, London.

Sanderson, M. and Ward, S. 2003. ***Records management mission critical.Library and Information update***, October, 1-7. [Online] Available www: http://www.cilip.org.uk/update/issues/aug03/article2august.html. (Accessed 15 May, 2014).

Saunders, M.N.K., Lewis, P. and Thornhill, A. (1997) *Research Methods for Business Students*, *Financial Times Management*, London.

Saunders, Mark; Lewis, Philip and Thornhill, Adrian (2007), *Research Methods for Business* (4th Ed), Essex: Pearson Education Ltd., p.599.

Schilit B.N, Golovchinsky G, and Price M.N., (1998) "*Beyond paper: Supporting active reading with free form Digital Ink annotations*," *Proceedings of the SIGCHI Conference on Human Factors in Computing Systems (CHI '98, Los Angeles)*, pp. 249–256.

Sellen, Abigail and Harper, Richard. "*Paper as an Analytic Resource for the Design of New Technologies*" in *Proceedings of CHI '97, Human Factors in Computing Systems,* 22-27 March 1997, Atlanta, Georgia, U. S. A., pp 319-326.

Shepherd, E. & Yeo, G., 2003, *Managing records: a handbook for principles and practices*, Facet Publishing, London.

Shepherd, E. (2010) *Archival Science*. *Encyclopedia of Library and Information Sciences*. 3rd ed. 1(1):179–191.

Shepherd, E. 2006. *Why are Records in the Public Sector Organizational Assets*. *Records Management Journal*. Vol. 16, No. 1.Emerald Group Ltd p.6-12.

Sing, T. F. (2002). *Impact of Information & Communication Technology (ICT)* on **Office** Demand in Singapore CBD, *Presentation to Association for Project Management* (APM).

Sprehe, J.T. (2002), *Enterprise Record Management*: *Strategies and Solutions*. New York: Free Press, Hummingbird Ltd.

Thomassen, T. (2001) *A first introduction to archival science*. Archival Science 1:373–385

Thurston, A. and Cain, P. (1995). *The Management of Public Sector Records Project*: *Managing the Records Lifecycle*. Information Development

University of Education, Winneba, *Records Management Policy Framework* (2000), The Publications Unit, Yasarko Press Ltd.

Unuigbe, E.O. (1990), "*The feature of records management in Nigeria*", The Nigerian Archivist, *Journal of the Society of Nigerian Archivists*, Vol. 1 Nos. 2-3, p. 26.

Utulu, C,C.(2001). *Quality of University Education in Nigeria: Problems and Solution*. Journal of the Commonwealth Council for Educational Administration and Management.

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

Whittaker, S. And Schwarz, H. 1995. ***Back to the future: Pen and paper technology support complex group interaction***. In *Proceedings of CHI'95* Human Factors in Computing Systems.ACM Press, New York, 495–502.

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

Zawiyah M. Yusof and Robert Chell. 1999. ***Core Elements of a Records Management System***. Business Archives Principles and Practice no. 77 May 1999.

Zawiyah, M. Y. & Robert, W. C, (2000) ***The Records Life Cycle***: *an inadequate concept for technology-generated records*.
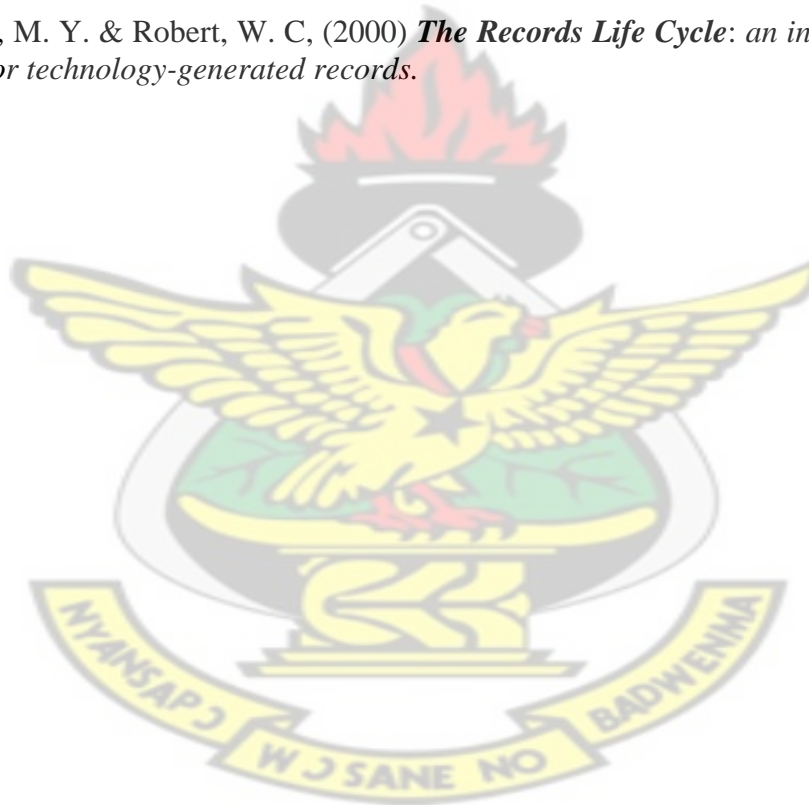
QUESTIONNAIRE

KWAME NKRUMAH UNIVERSITY OF SCIENCE AND TECHNOLOGY, KUMASI SCHOOL OF BUSINESS

THESIS TOPIC: ASSESSMENT OF RECORDS MANAGEMENT PRACTICES AMONG THE ADMINISTRATIVE STAFF OF UNIVERSITY OF EDUCATION, WINNEBA – KUMASI AND MAMPONG CAMPUSES

I am a student of KNUST School of Business, Kumasi conducting research on the assessment of records management practices among the administrative staff of the University of Education, Winneba - Kumasi and Mampong campuses.   This questionnaire is designed to collect information on the above topic for academic purposes and the researcher would be very grateful if you could spare some minutes of your time to answer the questions below.   Every information provided will be treated as confidential. Please tick or write out your response to the following questions.

Demographic Information (*Please tick where appropriate*)

1.   Age: 25 years and below [   ]   26-35 years [   ]

              36-45 years [ ]   46 and above [ ]

2.   Gender: Male   [   ]   Female   [ ]

3.   What is your highest educational qualification?

       Basic   [   ]   Secondary [ ]   University   [   ]

       Tertiary [   ]   Others (Specify) ………………….

4.   How many years have you worked with the University?

       1 – 5 years [ ]   6 – 10 years [ ]   11 – 15years [ ]   16 and above [   ]

5.   What category of staff do you belong? Senior member [   ] Senior staff [   ]

       Junior staff [   ]   Other please specify ………………

Section A: Assessment of Records Management Practices

6.   How do you store your office documents?
        Manually [   ]   Electronically [   ]   Both [   ]

7.   How often do you file the office documents?
        Daily [   ]   Weekly [   ]   Monthly [   ] Quarterly [   ]

8.   What kind of records management system do you practice at the University?
        Centralized [   ]   De-centralized [   ]   Other (Please state) ……......

9.   Who monitors and controls records management and retrieval?
        Records Manager [   ]Individuals [   ]   Other (Please state) ……......

11.   The University records pass through how many phases of the record life-cycle?
        Five [   ]   Four [   ]   Three [   ]   Other (Please state) ……......

The following statements give you a chance to assess the record management practices available at the University. Respond to the statement using the scale provided **"Strongly agree (1), Agree (2), Neutral (3), Disagree (4), strongly disagree (5). Tick (√) the boxes that most closely fit your opinion.**

Assessment of records management practices	SA(1)	A(2)	N(3)	D(4)	SD(5)
The University has policies and procedures for creating and storing records in both paper and electronic format.					
A thoroughly documented record retention schedule that lists records categories and expected retention time periods is available at the University.					
An organizational file plan that list primary types by functional unit so that information can be located without depending on any one employee is available in the University.					
The University has a vital records program that serves as a back-up in case of a disaster.					
A records management training program is organized annually to ensure that quality records are kept.					
The University has in place periodic audits that provide an enforcement vehicle and assess the clarity of procedures.					
The University adequately address data privacy and security issues.					

Section B: **Benefits derived from effective Records Management**

Please respond to the following statements on the scale provided **"Strongly agree (1),**

Agree (2), Not sure (3), Disagree (4), strongly disagree (5). Tick (√) the boxes that

most closely fit your opinion.

Benefits derived from record management practices	SA(1)	A(2)	N(3)	D(4)	SD(5)
Quick decision making leads to the benefit of proper records management					
Space saving is the benefit administrative staff of the University derive from records management					
Reduction of storage is one of the importance of effective records management					
Promoting good governance contribute to the benefit of proper records management					
Effective records management saves employees' time					
Proper records management maintain corporate and institutional memory					
Records management help to meet customers' demand					

Section C: **Problems or challenges associated with Records Management Tick (√) the boxes that most closely match your opinion.**

PROBLEMS / CHALLENGES	SA(1)	A(2)	N(3)	D(4)	SD(5)
Improper records management is challenge in retrieving office documents.					
Lack of proper security for records affects the records management practices at the University.					
Lack of professionally trained records managers contribute to problems of records management.					
Inadequate resources to facilitate proper records management practices is a problem					
Insufficient space for records management at the University is also challenge.					

ORGANOGRAM OF UEW

Vice Chancellor

Pro-Vice Chancellor

Registrar — Principal

Deans:
- Dean, Faculty of Agriculture Education
- Dean, Faculty of Science & Environment Education
- Dean, Faculty of Business Education
- Dean, Faculty of Education & Communication Sciences
- Dean, Faculty of Educational Science
- Dean, Faculty of Languages Education
- Dean, Faculty of Science Education
- Dean, Faculty of Social Science
- Dean, Faculty of Vocational & Technical Education
- Dean, School of creative Arts
- Dean, School of Research and Graduate Studies
- Center for School & Community Sci. & Tech. Education
- Institute for Education Development & Extension

Deputy Registrar, Human Resource
- Recruitment & records
- Employee Relations & Legal Matters
- Training & Development

Deputy Registrar, Academic Affairs
- Admissions
- Examinations
- Students Record Management
- Financial Aid

Director, OIA
- Alumni Relations Office
- University Relations Office
- Radio Windy Bay

Director, facility Management
- Estate Management
- Maintenance Management
- Grounds & Gardens

Deputy Operations
- Transport
- Farm
- Student Hall Management
- Health Services
- Security
- Archives

Deputy Registrar, Faculty

College Registrar
- Deputy Registrar, Human Resource & General Administration
  - Assistant Registrar, (HR)
  - Assistant Registrar, General Administration
  - Estate Officer
  - Assistant Registrar, University Relations
  - Assistant Registrar, Hall Administration
- Deputy Registrar, Academic Affairs
  - Assistant Registrar, Academic Affairs
  - Faculty Officers
  - Assistant Registrar, Students Affairs
  - Graduate Studies

Deputy Finance Officer
- Deputy Librarian
- Assistant Internal Auditor
- Development Officer
- External Funds Officer
- Procurement Officer

Source: UEW-K Human Resource Unit, (2014)

79

KNUST