

UNIVERSITY OF CAPE COAST

COMPARATIVE STUDY OF RECORDS MANAGEMENT PRACTICES IN
PUBLIC AND PRIVATE TERTIARY EDUCATION INSTITUTIONS IN
GHANA

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GHANA

BY

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Education

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DECLARATION

Candidate's Declaration

I hereby declare that this thesis is the result of my own original research and that no part of it has been presented for another degree in this university or elsewhere.

Candidate's Signature..... Date.....

Name:

Supervisors' Declaration

We hereby declare that the preparation and presentation of this thesis were supervised in accordance with the guidelines on supervision of thesis laid down by the University of Cape Coast.

Principal Supervisor's Signature..... Date.....

Name

Co-Supervisor's Signature..... Date.....

Name

ABSTRACT

This study explored records management practices of one public university and one private university. It specifically considered record keeping and management practices of administrators in these two universities, and then compared the practices between the universities. The study aimed at examining records management practices used for keeping records, records disposal and the challenges the institutions face in managing their records. The sample comprised 607 respondents from the two universities. Questionnaires were used to gather data. Both descriptive and inferential statistics were used to analyze the data of the study. It was found that, there is no significant difference in the two universities with regards to guidelines and procedures on the creation and capturing of records. However, there was significant difference in the filing system used for record keeping in the two universities. The chi-square also showed significant differences in record disposal practices among the universities. Finally, the study found significant differences in challenges associated with records management practices in both universities. It is therefore, recommended that, workshops and training programmes should be regularly organized for staff to improve their skills in records management in public (University A) and adequate storage space should be provided in both universities.

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DEDICATION

To my children, Kwame Dasmani, Kwadwo Dasmani and Nana Adwoa
Dasmani

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LIST OF ABBREVIATIONS

ARMA	Association of Records Managers and Administration
AU	African Union
HEIs	Higher Education Institutions
ISO	International Organization for Standardization
KM	Knowledge Management

CHAPTER ONE

INTRODUCTION

The primary function of records management practices is to facilitate the free flow of records through an institution, to ensure that information is available rapidly where and when it is needed. To carry out this function needs an efficient, effective records management practices program. This programme helps the users to do their jobs better and more easily. Given that an institution's records are unique to it, they need to be managed explicitly, just as the institution would manage its other resources. Any tertiary institution established, be it public or private needs to document its activities and this could only be done by creating records. Records contain information relating to institution's activities captured in reproduction form during the institution course of administration.

Background to the Study

The role of records management practices in education institutions cannot be over-emphasized. It is difficult to attain development without records. The term records, as defined by Read and Ginn (2011), are stored information, regardless of media or characteristics, made or received by an organization that is evident of its operations and has value requiring its retention for specific period of time. With this definition in mind, one may observe that records are created by all kinds of people and organizations/institutions as a result of the activities that take place in them. Any organization established, public or private needs to document its activities, and this can only be done by creating records. Records contain information relating to an organization's activities captured in reproduction form during the organization's course of administration (Tagbotor, Adzido, & Agbanu, 2015).

In the course of human interactions and service provisions that occur in organizations, records are created. For instance, in educational institutions such as the universities, academic records refer to information or data relating to students both in paper and electronic formats that provides evidence of and information about the actions or events that happened. These events are created through the processes of admission, matriculation, examination and convocation to mention but a few. Furthermore, both private and public universities might also receive information about its student(s) from other organizations or institutions. Accordingly, records can either be generated internally or externally (Thomassen, 2002).

Therefore, records are evidence of the processes of interactions that occur daily in any human society. Also, records display and confirm the decisions taken, the actions carried out and the results of such actions. They support policy formulation and management decision making, protect the interest of the organization, the rights of the employers, clients and citizens and help the organization to conduct its business and deliver its services in consistent and equitable ways (Langemo, 1994).

According to Atulomah (2011), information and records management practices are foundational to business activities. The absence of records keeping can cripple the planning and decision-making processes of management. This fact is very applicable to universities records management concerning its staff and student records. From a broad perspective, the creation and maintenance of records relating to the tertiary institutions are essential to managing the relationship between the institution, the staff and the students; providing support and other services and facilities to the students; controlling the students'

academic progress and measuring their achievement, both at the institution and subsequently; providing support to the students after they leave the institution (JISC IfoNet, 2007). Nakpodia (2011) summarized the value of educational records management practice as facilitation of continuity in the administration of a school, provision of information needed by ex-students for higher and other related institutions and employers of labour, for admission or job placement, the provision of data for planning and decision making by school heads, ministries of education and other related education authorities.

Further, Anho (2006), citing Anderson and Dyke (1992); as well as Olagboye (2004), state that the significance of records management include: ensuring that accurate and proper records of a student's achievement and growth during his/her school days are kept and to report same to parents/guardians, employers, other institutions for students admission or job placement; Provision of data for planning and decision-making by school heads, ministry of education and other related authorities; Facilitation of continuity in the administration of a school, research activities that will promote efficiency and effectiveness; Providing information needed by lecturers, staff, counselors in working with students.

Ifedili and Agbaire (2011) added that, educational regulatory bodies rely on education records to evaluate the status of governance of an institution and academic quality of schools; School administrators rely on records to evaluate students' performance and reward same, and researchers in education also find relevance in educational records for their researches towards contributing to knowledge. Effective students' records management can ensure an advantage of one university over another, enable a seamless access and controlled access

to students' data simultaneously by different arms of a university and also protects a university from students' fraud.

Record keeping 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. In conventional paper-based organizations, such as the universities both private and public, paper continues to be viewed as the material for records in administrative documentations even though currently, lots of efforts are being made by the tertiary institutions to move away or reduce the paper typed records keeping and management to digital records keeping (Igwoku, 2008). Universities today are paying more attention to the management of records in their custody for efficiency and effectiveness. Information in the form of records reduces the difficulty Universities' face in decision-making. Universities process huge amounts of records. Examples of records available in universities are; correspondences, accounting documents, personnel files, pay roll, minutes of meetings (University Council, faculty and departmental boards meetings), students registration, students' admissions and examination records, inventory of facilities, budgetary information, lists of courses offered, time-table for lectures, speeches, legal documents, deeds, financial records, letters (appointment, confirmations, admissions, sick leave, queries) and so forth.

Accurate and timely availability and use of the records on these would reduce the common problems of management in Universities, such as: difficulty in finding information needed to take a decision or to respond to inquiry, delays in payment of staff emoluments and fringe benefits; piling up of administrative

matters causing discontent among staff, students and parents improperly registering students in school registers and records; inaccurate demographic figures resulting in either lack of places/spaces for students or wastage of spaces available and inability to forward students reports/records or release results on schedule (Nwankwo,1985). However, despite the crucial role played by records management practices as indicated, there is consensus amongst researchers that many organizations still pay little attention to the management of records and handle recorded information carelessly without realizing that records constitute a major resource compared to finance, people, money and equipment (Walala, 2010).

Fabunmi and Isah (2014) asserted that it has become a recurrent issue for records to be irretrievable when required especially in tertiary institutions. Similarly, Popoola and Oluwole (2007) opined that administrators are often concerned about the alarming rate of misplacement or loss of vital records and the slow speed at which needed records are retrieved from their storage by records management personnel. In most cases, misplaced or lost records delay necessary actions on urgent matters, or lead to irrational decisions, which may translate to social crisis or embarrassment to the university system. To guarantee efficiency, effectiveness and to enable organizations like universities to survive in the accountability period in which we live, records must be actively managed throughout their life. This needs to be done via a records management programme, which is the main implementation vehicle for the records management policy, whose aims and objectives must be aligned with those of the organization.

In Ghana, the nature and extent of records management may vary depending on the purpose, setting and context of the services. However, whatever the record may be, it is important that the staff get familiar with the legal and ethical requirement for record keeping and management in their specific professional context and jurisdiction. Generally, record keeping must be guided by some level of confidentiality, proper maintenance, security, preservation of the content and context (Akporhonor & Iwhiwhu, 2007). Unfortunately, the Ghanaian higher education situation in the business of record keeping and management especially in the university system has not been too successful because of lack of management components (Mahama, 2017).

This can be more critical in private tertiary institutions, where management is often in the hands of few individuals who take decisions with little involvement of the various governmental agencies including National Council for Tertiary Education, National Accreditation Board, Ghana Education Service and many others. Some of the challenges found in a study conducted by Seniwoliba, Mahama and Abilla (2017) on challenges of records management at the University for Development Studies, one of Ghana's tertiary institutions revealed that records management was decentralized and managed manually through filing of hard copies in folders and kept in metal cabinets based on individual ability and knowledge at the various departments/sections/units and the faculties and schools. It was further affirmed that only the Academic Affairs Section and the Finance Department had well developed software to store and retrieve information. All of these are some attempts made by tertiary institutions to ensure proper records and management practices.

Statement of the Problem

In the Ghanaian society, it appears researches conducted on records management have not paid specific attention to comparative study on records management practices in public and private tertiary institutions. Azameti and Adjei (2013) examined the challenges associated with academic records management in tertiary institutions in Ghana. Adu (2014) assessed records management practices among the administrative staff of University of Winneba campuses using Kumasi and Mampong campuses as the study areas. Amo (2016), conducted a study on the role of records management practices in improving decision making in public hospitals using Ashanti Bekwai municipal hospital as the case study. The work of Akuffo and Adams (2016) examined the records management practices at the Trinity Theological Seminary in Ghana.

Notably, these studies on the records management practices did not concentrate on comparing the records management practices of the public and private tertiary educational institutions in Ghana. Therefore, this has led the researcher to conduct a comparative study to explore the records management practices in public and private tertiary institutions in Ghana using a comparative approach. This is to ascertain if there exist differences in their records management practices in accordance with the established principles of records management in the institutions and make policy recommendations for the improvement in managerial practices in both universities.

Purpose of the Study

The purpose of the study was to do a comparative study of records management practices of a public (University A) and a private (University B) university in Ghana.

Research Questions

The study was guided by the following research questions

1. How are records created by the Administrative Staff in public and private universities?
2. How do public and private universities in Ghana maintain records in their institutions?
3. What are the differences in records disposal practices of public and private universities in Ghana?
4. What are the differences in challenges associated with records management in public and private universities in Ghana?

Hypotheses

In order to compare records management practices in both public and private universities, the following hypothesis were stated.

1. Ho: There is no significant difference in the records disposal practices in a public and a private university
H₁: There is a significant difference in the records disposal practices in a public and a private university in Ghana.
2. Ho: There is no significant difference in the challenges of records management practices in a public and a private university in Ghana.
H₁: There is a significant difference in the challenges of records management practices in a public and a private university in Ghana.

Significance of the Study

The study is based on the premise that the management of records in Ghanaian universities is not regimented. It is an inquiry into the state of record

keeping in the university system with the view to exposing the best practices of records keeping of public and private universities in Ghana. It is therefore not out of place to expect that the study will be of benefit to the case study universities in terms of policy implementation but the study will also make data available for further studies. The university administrations will also benefit, as the study will illuminate the stale areas of record keeping in the universities and also create awareness on how to manage records more effectively with less stress. It is hoped that the study will be an invaluable contribution to issue of university record management and that it will provoke more researches which will largely draw more attention to the importance of records keeping and management practices in the tertiary institutions in Ghana.

Delimitation

The study focused on three records management practices: creation and capturing of records, maintenance of records and disposal of records as well as the challenges associated with the records management. The study was restricted to University A and University B in Ghana. Finally; the population for the study was limited to the administrative staff of the two universities.

Limitations

The study was restricted to records management practices in University A and University B in Ghana. Therefore, the findings relating to these two institutions could not be generalized to reflect the inefficiencies of records management practices in all public and private universities in Ghana.

Definition of Terms

Records are documents created, received, and maintained as evidence and information by an institution.

Records Management refers to the systematic administration of records and documented information for its entire life cycle, from creation/receipt, classification, use, filing, retention, storage, to final disposition. For the study therefore Records management practices refer to how records are created, how records are maintained or stored and how they are disposed off.

Records Creation and Capturing is collecting basic data about records and their volume; physical form location, physical condition, storage facilities, rule of accumulation and use, and similar information for the purpose of planning, retention, disposition, microfilming operations and related archival activities.

Records Disposal refers to the physical destruction of paper records; deleting email, documents or other data from institution systems.

Manual records are records that have been written or printed on paper.

Electronic records are files that are created and stored in digitized form through the use of computers and applications software.

Organization of the Study

This study is structured into five chapters. The chapter one dealt 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 focused on a review of the literature from which the findings were analyzed in the context of their significance to the objectives of the study. Chapter three addressed the research methodology and included the research design, population, sample and sampling procedure, instrument, data collection procedure and data analysis

procedure. Chapter four looked at the results obtained from the study and discussed them within the context of the literature reviewed. Chapter five focused on the summary of the study, conclusions and recommendations.

CHAPTER TWO

LITERATURE REVIEW

Introduction

This section reviewed both theoretical and empirical literature related to this study. Issues related to the concept of records and records management practices were first reviewed. Literature was also reviewed in the areas of records management in tertiary institutions, the creation of records in tertiary institutions, maintenance of records, disposal practices of records in tertiary institutions and challenges associated with records management practices. The theoretical review includes; theories of records management, the life cycle of records management process, the continuum model and the big bucket theory. It further considered the conceptual framework, which related to the records management practices and forms of record management in public and private tertiary institutions.

Concept 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 & 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. 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 another 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, Pennix, & Coulson, 1994)

According to Robek, Brown and Maeddke (1987) records management is a systematic control of the recorded information that an organization needs to conduct business. They further 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.

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. For the purposes of this study records therefore are conceptualized as;

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 rapidly available where and when it is needed. To carry out this function needs an efficient, effective records

management programme in order to help the users to do their jobs better and more easily. 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 (University A, Records Management Policy Framework, 2012).

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.

Kalusopa and Ngulube (2012) conducted a study on records management practices in labour organization in Botswana and found out that, the management of both paper-based and electronic records was not satisfactory and fell short of the best recognized records management standards and practices. Also, in a study conducted by Adu (2014) on assessment of records management practices among the administrative staff University of Winneba campuses (Kumasi and Mampong), structured questionnaires were used as the sole data collection instrument. The major findings of the study revealed that the administrative documents are stored in both manual and electronic forms. This led to quick decision making, saved office space and promoted good corporate governance. It was further indicated that there were insufficient resources in terms of professionally trained records managers.

Similarly, Amo (2016), conducted study on the role of records management practices in improving decision making in public hospitals: the case of Ashanti Bekwai municipal hospital. The study therefore sought to inquire into the role of records management practices in improving clinical and

administrative decisions at Ashanti Bekwai Municipal Hospital. In view of that, the study used the Hybrid Records Life Cycle Model, which encompassed the pre-natal phase of the Records Continuum Model and the conceptual stages of the Records Life Cycle Model as its underpinning model for the study. The model extended to decision-making variables such as decision accuracy, decision commitment, decision timeliness and decision understanding. The study employed a mixed method approach where an exploratory survey was used. A cluster sampling technique was used to classify the whole hospital into 16 units (clusters). The researcher purposively selected 160 health workers and a records manager to participate in the study. A semi-structured questionnaire, interview guide and direct observation were employed to elicit information from 160 health workers and the records manager.

The findings showed that the hospital had a records management programme, a disaster management plan, security and access control measures and an electronic records management system to manage patients' records and to keep reports on morbidity and mortality. However, the hospital did not organize training programmes on records management to its staff. The study further revealed that records officers were always engaged in the design of records management systems of the hospital. Furthermore, the kind of records management system at the hospital improved decision timeliness, decision accuracy and decision commitment. Unfortunately, the hospital was plagued by challenges such as inadequate storage location (filing space), misfiling, missing files, damaged records, poor staff knowledge, lack of records management training programmes and inadequate hardware. The study recommended that healthcare facilities should train and educate their employees in the

management of records. Also, healthcare facilities should adopt an integrated electronic records management system (automation) as a solution to minimize records keeping challenges caused by paper records keeping.

Baldwin and Omenu (2016) examined the extent to which the records management systems of higher educational institutions in Bayelsa State are adequate. The descriptive research design was adopted in the study. The stratified random sampling technique was used to draw a sample of 162 respondents for the study from heads of departments, administrative heads of units and faculty officers saddled with the responsibility of managing records across the five higher educational institutions in Bayelsa State. The results showed that the records management systems adopted in higher educational institutions in Bayelsa State were grossly inadequate. It was therefore recommended that a sustainable policies and procedures should be evolved and used for records management in higher educational institutions in Bayelsa State in line with best global practice. For the purpose of effectiveness, regular on-the-job training programmes, conferences and workshops must be put in place for all staff responsible for records management for improvement in the quality of service delivery.

In conclusion, the literature on record management practices revealed that most institutions used paper or manual records and as well as electronic records. However, electronic records management practices were found in most institutions as efficient way of keeping records.

Forms of Records Management

Correspondence is normally conducted manually or electronically through electronic mail or internet. 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). Records therefore need to be effectively managed. Its' management can be looked at from two main perspectives; manual and electronic records management.

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 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). The researcher holds true to this assertion that proper documentation can only happen when standard record management practices are strictly adhered to.

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 & 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 artifacts seem to serve as Centre’s for societal interaction and memory. This was also found to be true in the health care arena (Nygren & Henriksson, 1992).

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 & 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.

Bigirimana, Jagero and Chizema (2015) assessing the effectiveness of the management of electronic records at Africa University, considers electronic records as effective creation, storage, distribution, use, securing, backup, and disaster recovery systems and procedures. The study revealed that there was no effective maintenance of electronic records at Africa University. Staff was not aware of existing policies and procedures although access to the server room was restricted. The staff was aware of the importance of security measures such as security databases, upholding passwords and keeping off site backup systems. However, at the implementation level, were discrepancies in the regularity of backup, which indicates that either there is clear policy or the policy, which was, there was not consistently implemented. Most staff were not aware of the existence of a disaster recovery plan.

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 tertiary institution. 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).

Importance of Records Management in an Institution

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

organization. Employees require 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 institution (Wamukoya, 2000). According to Northwest Territories (2002), the role of records management is to ensure that members of staff involved in different operations have the information they need, when necessary. Among their other purpose, records also act as raw materials for research in various disciplines, including science research, which is an important ingredient of socio-economic development.

Furthermore, records can be used as an information resource for strategic planning purposes. The service provided by records management is therefore of vital importance to both employees (end users) and organizational success. As outlined earlier, the primary function of records management is to facilitate the free flow of records throughout the entire organization. Most importantly, it remains the function of records management to ensure that an institution's records are safe for future reference (De Wet & Du Toit, 2000).

According to Palmer (2000), the role of records management system is that it acts as a control system that reinforces other control systems such as internal and external auditing. The record environment that allows opportunities to commit fraud, once fraud is detected; 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 all manual and electronic records aid most institutions in terms planning, decision making and running day-to-day activities of the institutions.

Records Management in Tertiary Institutions

Institutions create records to support the activities that 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 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 & Robert, 1999).

Again, the International Organization for Standardization (ISO) (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 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, effective records management 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.

It can therefore be concluded from the discussions above that good records management in educational institutions is a vital component of the universities administrative system. Despite the challenges associated with the records management practices, the educational systems need these practices since these management practices of records keep their systems moving. These challenges range from limited knowledge in ICT which does not enhance understanding in electronic records management and inadequate finance to help promote effective records management practices.

Ngulube (2005) investigated records management practices and procedures at the University of KwaZulu-Natal in order to find out if the University was managing its records in accordance with established principles and procedures. To accomplish its objectives, the study adopted a survey approach with a self-administered questionnaire as the primary tool of data collection. The results of the study showed that the University of KwaZulu-Natal did not manage its records in accordance with established procedures for records management.

Again, Kemoni and Wamukoya (2000) sought to determine the key issues that underpin the management of administrative and personnel records in electronic form at Moi University. The study population consisted of seven

records clerks and three senior administrative officers involved with the management of records. Data was collected through the use of personal interviews and questionnaires. The results of the study indicate that all the seven records staff is not conversant with issues affecting the management of electronic records, and two of the three senior administrative officers do not know how electronic records should be managed.

Hase and Galt (2011) sought to provide some important lessons learned from the introduction of a new records management system in a tertiary educational institution and its relation to records management. The key findings built on the extant literature that is largely case study based. The findings were that: it is easy to lose sight of key systems issues and knowledge management in a busy world; knowledge and records management are strategic issues; records management is essential to organizational effectiveness; records and knowledge management is not just another task; implementation needs to be driven from the top and built from the bottom; training and support are essential; and external expertise should be used when necessary. Hence, it was concluded that these lessons have been used to enhance records management in tertiary institutions.

Mahama (2017) explored whether records management as a valuable resource of the institution received the desired attention. The primary data was collected through the use of questionnaires while the secondary data was gathered from books, publications, public records and Archives Administration Act 1997 (Act 535). The study revealed that records management was decentralized and are managed manually through filing of hard copies in folders and kept in metal cabinets based on individual ability and knowledge at the

various departments/sections/units and the faculties and schools.

In order, for effective records management to occur in tertiary institutions, there should be regular on-the-job training programmes; conferences and workshops must be put in place for all staff responsible for records management for improvement in the quality of service delivery. More so, high-level collaboration should be encouraged between Government agencies, multinational corporations, the organized private sector, public-spirited individuals and higher educational institutions in the Country in ensuring that adequate facilities are put in place to aid the effective administration of these institutions.

The Creation and Capturing of Records in Tertiary Institutions

Information is created every time someone in an institution writes an email, drafts a brief, writes a report or records minutes, adds data to a spreadsheet, makes a film or sound recording or takes a photo. This information is created as part of a specific institution process, and needs to be managed so that it can be searched, shared, reused and repurposed. According to Popoola (1999), creation of records involves collecting basic data about records and their volume; physical form location, physical condition, storage facilities, rule of accumulation and use, and similar information for the purpose of planning, retention, disposition, microfilming operations and related archival activities. When the creation of records is not properly managed, attainment of goals and objectives become a problem. These may manifest in difficulty in locating papers/information, bulky files, wrong filing, wrong title of files and having offices clustered with papers and files (Popoola, 2003).

In line with this, several studies have been conducted on the creation and capturing of records as part of records management practices. Devi, Choy Chong and Ismail (2012) investigated and compared the practices of Knowledge Management (KM) processes, which have been grounded in the KM literature, between public and private Higher Education Institutions (HEIs). Data were collected from 594 academics from three public and three private HEIs in Malaysia. The analyses suggested that knowledge creation and capturing were moderately practiced by the institutions surveyed and that there were significant differences in the overall practices of KM processes between the public and private HEIs.

Kyobe, Molai and Salie (2010) investigated the extent to which academics and students at a leading University in South Africa managed electronic records in accordance with good practices and regulatory requirements. Literature on Electronic Records Management (ERM) and regulatory compliance was synthesised to create a framework for effective records management. A survey was then conducted to test this framework with 17 academics, 97 students and two technical staff from five faculties. The results revealed several incidents of poor records management and lack of compliance with regulations. Many academics and students were unaware of legislative requirements and penalties. They did not backup or archive records regularly and where this was done, there were no standard procedures followed, which resulted in the adoption of distinct approaches to record keeping.

Muhenda and Lwanga (2012) conducted a cross sectional study on the impact of human resource policies on the management of records in HEI's in Uganda. Results of the study showed that records creation and capturing was

low. Further results confirmed a significant relationship between staff orientation and records disposal and records maintenance. Furthermore, recruitment and specifically head hunting were found to have a positive effect on records creation, records maintenance and records disposal. Surprisingly financial and non-financial rewards had no significant effect on records management.

Akor and Udensi (2013) carried out a study to assess record management of the Federal University of Technology, Minna Nigeria and Ibrahim Badamasi Babangida University Lapai, Nigeria. The study sample population comprised of 88 staff (46 staff from the establishment division of the Federal University of Technology, Minna and 42 staff from the establishment division of the Ibrahim Badamasi Babangida University, Lapai. The instrument used for data collection was questionnaire. The research questions were answered using frequency and percentages. The major findings of the study revealed ineffectiveness in record creation and capturing and this were attributed to incompetent personnel, inadequate infrastructural facilities, and constant power failure.

In a nutshell, records capture should be a routine part of each university's role and integrated into standard operations and business processes at every level of the institution. The failure to capture records in official systems leads to personal stores of records that often remain uncontrolled and inaccessible to others who may need them - which is particularly problematic in a decentralized and autonomous University environment. Just as common sense applies when working out what level of formality or detail should be used in creating a record, common sense applies when assessing what needs to be captured in the University's record keeping system. The university has an

obligation to capture any documents that contain information or evidence of enduring value: anything that shows or explains what we do as an institution. If you create or receive any document that contains information of continuing value to the University, you must retain and capture it as a "University record".

Record creation is one of the typical characteristics of tertiary institutions. The many committees and councils at the universities create records in the conduct of their business. Examples include meeting minutes and supporting documents, working papers, reports and membership records, student records etc.

These records are used to oversee and administer programmes, departments or centers. They are more substantive materials used for planning and evaluation and may be created for reporting purposes, to satisfy missions or directives or to document achievements, which reports, strategic plans, policies and procedures and program development and evaluation records. All recorded information, regardless of its physical form or characteristics, created or received pursuant to the transaction of university business or in the fulfillment of its educational, administrative, business or legal obligations.

Akuffo and Adams (2016) aimed at examining the records management practices at the Trinity Theological Seminary in Ghana and were underpinned by the life cycle concept. The researchers drew qualitative inferences from interviews, complementing personal observations, with 25 purposively sampled staff. The study revealed the creation, maintenance and use of records to support administrative and decision-making processes. Problems hampering effective records management included non-existent records management policy, inadequate staff training and erratic power supply. Among the

recommendations proposed to overcome these setbacks were: formulating a written policy statement for managing records, providing staff with formal training and installing a standby generator. Creating understandable and logical document or file names is essential to easy and quick retrieval of records. At a minimum, all document names should include a title, a version number and a date.

Maintenance of Records in Tertiary Institutions

The maintenance of records involves all activities that ensure that they are in good condition, and kept in an orderly state. This is a central function of record management. According to Thomassen (2001), a record has several criteria, which makes the record unique in relation to other types of information. Records are evidence of actions and transactions; Records should support accountability, which is tightly connected to evidence but which allows accountability to be traced; Records are related to processes, i.e. “information that is generated by and linked to work processes. Records must be preserved, some for very short time and some permanently. Regardless of whether existing records programs are simply analyzed for information or business systems are re-engineered, a key activity in the management of current records is maintaining the systems. This involves the following steps: maintaining control over the documentation used to record the creation, use, and disposal of current records, such as registers and logs, systematically managing the creation and handling of records, such as correspondence, mails, and forms, managing the creation and use of files and ensuring the regular transfer of records from current to semi-current storage and the destruction of obsolete records.

Once systems are established for managing current records, the administrative staff must determine which records should be retained for their ongoing assessment and which may be destroyed as obsolete. Appraisal or retention decisions are taken on the basis of an assessment of the continuing value of the records for administrative, operational, or other uses.

Disposal Practices of Records in Tertiary Institutions

Disposal of records is a process that addresses all the decisions for how long records will be kept before destruction. All disposal decisions must be based on demonstrating accountability and meeting professional needs and public expectations. As part of normal administrative practice, records disposal should be planned and the processes associated with implementing disposal decisions, must be applied to records in a systematic way. No public record may be destroyed or otherwise disposed of without proper authorization.

Disposal date refers to the date on which disposal actions specified in a disposal schedule should be initiated. Disposal involves sending records from the office of origin to the records centre or the archival repository or destroying them under secure conditions if they are obsolete while Destruction is the disposal of records of no further value by incineration, maceration, pulping, shredding or another secure method (IRMT, 1999). Regular authorised disposal will reduce the costs of storing and managing information and records no longer required for business or other purposes. Disposal of a record includes the physical destruction of paper records; deleting email, documents or other data from institution systems; the transfer of records to another agency as the result of machinery of government changes; or transfer to the National Archives.

Iwhiwhu (2011) investigated the management of records in Nigerian universities, in line with the Management Information Systems (MIS) programme put in place in federal universities by the Federal Government of Nigeria, through the National University Commission to ensure effective and efficient decision making, based on available data. The study revealed that records management programmes or policy on records were not available in Nigerian universities; hence the administration of records was without recourse to the principles of records management. There were no University Records Manual, no records retention and disposition schedule, personnel handling the records were not trained in records management, inadequate facilities for the preservation, storage, and retrieval of records, no filing manual and inadequate computers to manage the volume of records generated.

Devi, Choy Chong and Ismail (2012) investigated and compared the practices of knowledge management (KM) processes, which have been grounded in the KM literature, between public and private higher education institutions (HEIs). Data were collected from 594 academics from three public and three private HEIs in Malaysia. The analyses suggested that storage and disposal of records were moderately practiced by the institutions surveyed and that there are significant differences in the overall practices of KM processes between the public and private HEIs.

Atulomah (2011) investigated the perceived record management practices and administrative decision-making among University administrators in Nigeria and to make appropriate recommendations to strengthen efficiency and effectiveness in the university sector. The study was an ex post facto in which the researcher used a semi-structured questionnaire to obtain information

about perceived records management and administrative decision making from 795 senate members enrolled by stratified random sampling of universities within Nigeria. The results showed that regarding awareness of record management practice, 133(16.7%) respondents reported not being aware of any organized system of records management programme. Further, respondents' perceived records disposal as problematic due to existence of paper records keepings.

Finally, Abdulrahman (2015) assessed the management of records for effective administration of universities in North Central Nigeria. A descriptive survey design was adopted in carrying out the study. Questionnaire was used in the collection of data. The results of the study, among others, showed that alphabetic and subject filing systems were the two major filing systems employed. Equally, records creation, records retrieval, records scheduling, filing and correspondence management and disposal of records were done manually.

In supposition, the universities policies address the retention and disposal of the generated records. The Universities require that records be retained for specific periods of time, taking into account legal or other institutional requirements. The records retention and disposal schedule are the minimum retention periods required by the university. At the conclusion of the retention period, the records should be properly disposed off, under these Policies. Requests to deviate from or modify these Policies or these retention periods must be made to and approved by the university records retention and disposal committee. Disposal is an important part of records management. Properly done, it ensures that the organisation retains records for as long as they

are needed and then, when they are no longer needed, destroys them in an appropriate manner or disposes of them in some other way, e.g. by transfer to an archives service. A managed disposal process has several benefits; it avoids unnecessary storage costs incurred by using office or server space to maintain records no longer needed by the institution; it supports compliance and finding and retrieving information becomes quicker and easier because there is less to search.

Making a disposal decision is an important first step but to realise the benefits identified, you need to implement the decisions in a timely and effective way. This means monitoring retention periods and taking appropriate disposal action when they come to an end. This disposal action would be one of the following: destruction of records; transfer of records to an in-house or external archives service; further review of records if necessary and transfer of records to a successor body. A disposal policy can be either part of the overall records management policy or a separate document. The policy usually provides an overview and serves as an introduction to a more detailed document, the disposal schedule or, for large organisations, disposal schedules.

Challenges Associated with Records Management Practices

Records management practices, whether manual or electronic have a lot of challenges. 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.

The tertiary institutions face lots of challenges with regards to the records management practices, which impedes their activities. Some of these challenges are improper records management; inadequate proper security for records; inadequate professionally trained records managers; there are inadequate resources to facilitate proper records management practices in the institution; insufficient space for records management; misplacement of vital records in the institution; loss of vital records in the institution; inadequate computer terminals; lack of record keeping policy; lack of record retention; lack of disposition schedule in the institution; ineffective means of retrieving record; improper records management in the institution. These challenges might prevent the institution from enjoying the benefits of proper record managements practices such as effective design; planning; supervision and monitoring of programmes; effective financial resource management; effective resources allocation to all unit of the institution; proper assessment of student's performance and needs; better improvement in instructional facilities for teaching and learning,

Lawal (2013) 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 universities; 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 (2012) 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.

The challenges posed by electronic records, particularly in the public sector, have been highlighted by Mnjama and Wamukoya (2010). 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 (2011), 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.

Brock (2012) carried out a research titled Federal Electronic Records Management with the introduction as Association of Records Managers and Administration (ARMA) recently developed principles-based approach to records management emphasizing the use of universal accepted principles of records management. The findings of the study revealed that electronic records are not managed effectively, there were few technologies known and used by electronic records manager and lack of expertise was reported as a challenge facing electronic records managers.

Brendan (2012) conducted a study on the challenge of managing electronic records in developing countries. Implications for records managers in sub Saharan Africa. The study shows that the major problems of e-records

management in Africa are administrative and the technically induced challenge and the benefits of managing hybrid records in Africa can only be realized if the appropriate infrastructures, workable legislation and regulatory frameworks, adequate finance, and competent ICT personnel are available.

Seniwoliba, Mahama and Abilla, (2017), conducted similar studies on challenges of records management in higher education in Ghana: The case of University for Development Studies. The study sought to create and enhance awareness and also sensitizes the staff of University for Development Studies (UDS) of the fundamental role played by effective records management in fulfilling the Institution's mandate. The primary aim was to explore and find out whether records management as a valuable resource of the institution receives the desired attention. The primary data was collected through the use of questionnaires while the secondary data was gathered from books, publications, public records and Archives Administration Act 1997 (Act 535).

The study revealed that records management was decentralized and were managed manually through filing of hard copies in folders and kept in metal cabinets based on individual ability and knowledge at the various departments/sections/units and the faculties and schools. It was further affirmed that only the Academic Affairs Section and the Finance Department had well-developed software's to store and retrieve information. The study also identified the "poor shape" in which the University's records were managed and this was attributed to lack of training on how to handle, manage and retrieve records in the university, which in most cases has led to loss of important documents. The research revealed that efficient and effective records management is not a choice but compulsory because 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. The university lack professional and qualified records management staff, resulting in the poor management of records. It is therefore recommended records management function should be incorporated into the University-wide strategic planning initiative to ensure that there is a standard approach to storing and retrieving information.

Azameti and Adjei (2013) examined the challenges associated with academic records management in tertiary institutions in Ghana. A stratified sampling technique was used to sample 1990 respondents from public and private universities, polytechnics, and nursing and teacher training colleges. Both descriptive and inferential statistics were used to analyse the findings of the study. It was concluded that, public tertiary institutions lacked the logistical support required to effectively manage electronic records. Virus infection was a major threat to electronic records keeping in tertiary institutions.

In conclusion, the challenges faced by the institutions were varied from inadequate storage space, missing files, misfiling, poor security of records and inadequate staff who manage the records and lack of training for the staff. However, misfiling appears to be the most common challenge facing all the institutions reviewed.

Related Theories of Records Management

Life cycle of records management process

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. The 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.

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 programmes. The activities of records management programmes 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 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 disposal stage would mean ultimate destruction whereas in another it means sending those records to the archive for research and posterity (Zawiyah & 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; creation/receipt, maintenance and disposal. These stages of records creation, maintenance and disposal has necessitated the adoption of the Life cycle records management process to investigate the records management practices in both public and private tertiary institutions. This will help compare their similarities and differences, as well as the challenges faced by tertiary institutions in records management.

The Continuum Model

The continuum model was developed in the 1990s by Ian MacLean who argues that record keeping is a continuing and rolling process that does not separate the life of records in time and space Upward (2000). When he developed the continuum concept, MacLean was of the view that the work of archivists and records managers are interrelated and that there is continuity between records management and archives (Kemoni, Ngulube & Stillwell 2007).

According to Upward (2003), “the continuum theory has been defined in ways which show it is a time or space approach instead of a life of the records approach”. In the continuum approach, there are no strict boundaries between archives and records management responsibilities, as current records can also become archives right from creation, instead of waiting for final disposal to determine this. The continuum theory is useful for managing records in the electronic environment. The continuum theory suggests that information are stored by creating folders through the identification of similar documents, classifying this information into a logical system (intellectual control) and the maintenance and use of such information (Access). In view of this, and also of the fact that in Ghana manual systems are still prevailing, electronic systems are increasingly being used for records keeping and the continuum theory remains relevant to this study because it offers a useful framework.

Big Bucket Theory

In theory, the big bucket approach should greatly simplify records retention thus improving administrators’ compliance and reducing the risk of mismanaged files. The big bucket approach does carry some considerations of

their own. There is the danger of creating categories that are too broad, which affect accessibility and the volume of records stored. Also, the documents in the single category are retained for as long as the longest retention in that market (US National Archives and Records Administration, 2003)

The theory explains how large an amount of Records will be grouped into Series or Bucket in such a way that Records that have similar characteristics will be placed together for easy retrieval and use. (Cisco, 2008). The resultant group of similar records that contains multiple of such Records is called “Big Bucket”. Another interpretation of Big Bucket in the context of records management is called Record Series. The essence of grouping similar Records into one Bucket or Series containing multiple numbers of the same Records is for the permanent retention of such Records. Retention of Records in any Organization is expected to be guided by a tool. This tool is called Records Retentions policy.

Baba and Olugbeja (2012) established that records retention policy is a tool that guides records disposal. Records disposal is an exercise involving judging the values of the Records. These values include Historical, Administrative, Informational, Fiscal, Research and Evidential ones. At the end of the exercise, some Records that are judged to have a permanent value will be retained. Other Records that do not have a permanent value will be destroyed. Similarly, Taiwo, Olanrewaju and Taiwo (2011) believed that before Records Retention takes Place Records must past a particular judgment. This judgment is called Records appraisal where the value of the Records will be determined before Destroying or Retaining of such Records.

Ashley and Cisco (2014) carried out a study with a title M08516- Less is more: How to Apply Big Bucket Theory to Retention Schedule simplification. The study introduced that retention schedule provides a structured framework for identifying an organization's official records, documenting those records using policies of such organization. The research question of the study was what different retention periods are in use today? What current strategies are available in the organization? What are the systems used in creating and storing records in the organization? The methodology used for this research was quantitative, the method used was survey. The research instrument used was questionnaire. The finding of this research was that big bucket theory was not used in many organizations hence their records retention system was poor. The study recommended that for organizations records to be retained properly big bucket theory needs to be adopted as a guide.

A study conducted by Kyobe, Molai and Salie (2009) titled Investigating Electronic Records Management and Compliance with Regulatory Requirements in a South African University adopted big bucket theory. The study's introduction was that electronic records management has become an essential business activity and an element of compliance with regulation in many countries. The research questions asked were how electronic records are managed? What is the extent of compliance with regulatory requirements? The approach adopted was quantitative, method used was survey, and instrument used was questionnaire. The findings of the study were that, there was poor management of electronic records and poor compliance with the regulatory requirement; the recommendations were that, management of electronic records

should be done by experts and compliance with the requirement should be done strictly.

Big Bucket Records Retention Theory explains how Records are retained in the organization as follows; Principles of records identification, Principles of records organization, Principles of legal adherence and Principles of records period assigning. It is in this perspective that, this study sought to conduct comparative study of records management practices to assess their records identification, records organisation, legal adherence and records period assigning in public and private tertiary institutions in Ghana. The study will provide understanding on the principles of records that underpin management practices in each university. The theory can therefore be used as a framework in carrying out this research in records management practices. From the theory, a researcher will also have a better understanding of how the problem of records management practices can be solved.

Conceptual Framework

This conceptual framework depicts the process of records management practices through to creation, maintenance, disposal and challenges that the institutions face in the process of keeping proper records for policy decisions.

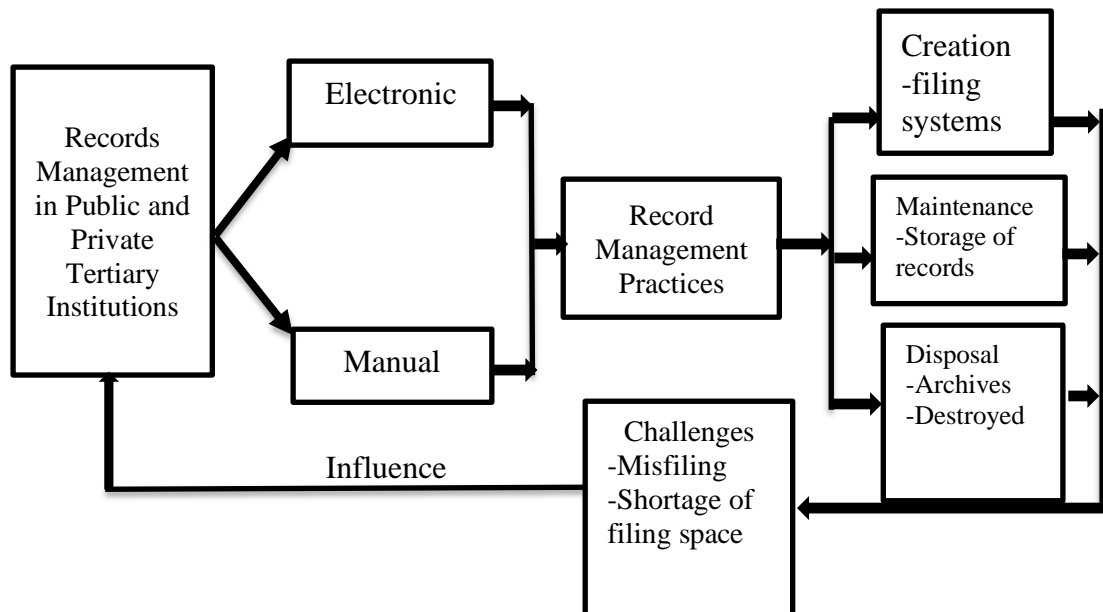


Figure 1: Conceptual framework explaining records management practices in the tertiary institutions

Source: Dasmani (2018).

Records management is an important function of tertiary institutions. We believe that good and proper recordkeeping is evidence of a well-governed institution and should be seen as an integral part of, rather than incidental to, any dealing. In terms of strengthening corporate governance and promoting good management practices,

The framework shows that in records management in tertiary institutions. There are two main forms namely; the electronic and the manual. From the framework, it can be observed that the records management practices are in three categories which are; the creation of records management, maintenance of records management and the disposal of records management. Tertiary institutions must ensure that records are created to provide evidence of their activities. Generally, records are created as a direct result of the business transaction. When the transaction does not automatically generate a record, one must be created as soon as possible to when the event took place. Management

practices and procedures should be in place to support the creation of records in all formats. When designing recordkeeping systems, it would be best to provide for the automatic or easy creation, capture, maintenance, disposal and identification of records as this would help ensure that the records are accurate. As part of normal administrative practice, records disposal should be planned and the processes associated with implementing disposal decisions, must be applied to records in a systematic way.

It is out of these records management practices that organizations and educational institutions encounter challenges such as; shortage of filling space, misfiling and missing of files, damage of records and poor conditions of storage locations. Other challenges include; inadequate or poor staff knowledge, inadequate management support, and unavailability of hardware and software and security issues. Eventually, these challenges of records management influence records management in public and private educational institutions.

Chapter Summary

This chapter discussed the concepts of records; Record management practices; Forms of records; Importance of records management; Students' records management in tertiary institution; Records management in tertiary institutions; The creation and capturing of records in tertiary institutions; Maintenance of records; Disposal practices of records in tertiary institutions; challenges related to records management in tertiary institutions; Related theories of records management and Conceptual framework for the this study. The review of the related literature showed that records management practices is a major challenge facing a number of organizations including tertiary institutions.

CHAPTER THREE

RESEARCH METHODS

Introduction

This study concerned itself with the records management practices among the administrative staff of University A (public) and University B (private). This section considered how data was collected in response to the research questions, describing procedures and techniques that were used by the researcher in data collection and analysis of the study. It was presented in the following order; research design, study areas, population, sampling procedure, data collection instrument, data collection procedure, pre-testing, ethical consideration and data processing and analysis.

Research Design

This study employed the descriptive multi-site case quantitative research design. This implies that the study is based on two purposively selected institutions as cases to examine the phenomenon but the data collection and analysis were exclusively quantitative. Korzilius (2012) argues that quantitative analysis is not the most common way to analyze in case study research; however, depending on the phenomena under study, the research questions formulated, the type of case study, and the sources of evidence used, the collection and analysis of quantitative data can be profound ways to describe and explain phenomena that would not have been possible had the focus been exclusively on qualitative analysis.

The design is appropriate because the study sought to explore the records management practices in one public university (University A) and one private university (University B). The use of descriptive multi-site case quantitative

research design gave the researcher the opportunity to rely on research instruments such as questionnaires to gather diverse information and opinions from the respondents. The study delved into how manual and electronic records of the two universities are created, maintained disposed and the challenges associated with records management practices. Moreover, the adoption of a descriptive multi-site case quantitative research design guided the study to ascertain how records are created, maintained, disposed of and the challenges faced by the universities in the process of keeping records.

Study Areas

University A

University A was established in 1962 out of a dire need for highly qualified and skilled manpower in education. It was established to train graduate teachers for second cycle institutions such as teacher training colleges and technical institutions, a mission that the two existing universities were unequipped to fulfill. Since its establishment, the university has added to its functions the training of education planners, administrators, agriculturalists and health care professionals. In pursuance of its mission, the university restructured its undergraduate programmes from BA, BSc and B.Ed. in education to B.A/BSc with non-education content and a B.Ed., a professional qualification in Education. From an initial student enrolment of 155 in 1963, University A now has a total student population of 74, 720. The breakdown is as follows: 18,949 regular undergraduate students, 1445 sandwich undergraduate students, 1014 regular postgraduate students, 2773 sandwich postgraduate students, 48,989 distance undergraduate students and 1540 postgraduate distance students.

University B

University B was founded in the year 2000 and granted accreditation by the National Accreditation Board in August 2000. Over 30 programmes of undergraduate, graduate and professional study are offered at the university. The university has staff strength of 340 and a student population of about 4,000.

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, Donkor, & Obeng, 2010). The population for this study comprised all the administrative staff of university A and university B. The population categories of each group of the respondents in the various universities was obtained from the Human Resource Unit of each university and presented in the Tables 1 and 2.

Sampling Procedure

The multi stage sampling was used to sample the respondents. At the first stage, non-probability sampling, thus purposive sampling techniques was used to select the two universities. Agyedu, Donkor, and Obeng, (2010) suggested that in purposive sampling, the researcher uses his or her own judgment about which respondents to choose, and picks only those who best meet the purpose of the study. Secondly, census was used to select all administrative staff who were directly involved in records keeping. It was aimed at getting as more relevant and valuable information for the research as possible. The reason for selecting these administrative staff is their insight and understanding of the research problem as they deal directly with records

management as part of their duties, and also understand the strategic role of records management in the institution.

The sample size was determined using the sample determination table by Krejcie and Morgan (1970). According to Krejcie and Morgan (1970), no calculations are needed to use sample determination table and it is applicable to any defined population. The table has also been cited by International Programme for Development Evaluation Training (IPDET, 2007). They further explained that, larger samples are better than smaller samples (all other things being equal) because larger samples tend to minimize the probability of errors, maximizing the accuracy of population estimates, and increase the generalizability of the result

The breakdown of the population and the samples are given in Table 1 and 2. In all, a total of 607 respondents were selected from the two institutions, 428 from university A and 179 from university B.

Table 1: Categories of Administrative Staff in University A

Categories	Population	Selected Sample
Senior members	155	110
Senior staff	455	210
Junior staff	150	108
Total	760	428

Source: HRM- unit, 2017

Table 2: Categories of Administrative Staff in University B

Categories	Population	Selected Sample
Senior members	35	32
Senior staff	92	74
Junior staff	90	73
Total	217	179

Source: HRM- unit, 2017

Data Collection Instrument

Questionnaires were distributed to the respondents that were selected from different job levels or categories, thus junior staff, senior staff and senior members. For the purpose of this study, the questionnaire was made up of four sections. Sections A dealt with demographic characteristics of the respondents who participated in the survey. Section B considers the process of creating and capturing records in the various departments of the universities. This section also highlighted on the effectiveness of the records keeping in the departments. Section C looked at records maintenance in the universities. It also emphasized on a number of issues, which includes type of record management practices. Section D highlighted on the records disposal practices and the last Section E looked at the problems and challenges associated with records management practices at the universities. With exception of questions under section E, which were multiple responses, most of the questions in the rest of the section were close-ended where the respondents were given the option to select their responses.

Data Collection Procedure

An introductory letter collected from the Institute for Educational Planning and Administration was sent to the two institutions to seek permission to conduct the study before collecting the data. The researcher used structured questionnaires in the collection of primary data from respondents. The questionnaires were distributed to the administrative staff that were selected for the study by the researcher. The respondents consisted of senior members, senior staff and junior staff within the two campuses.

The content of the questionnaire was briefly explained to the respondents and their permission was also sought verbally before administering the questionnaires. In view of that, the questionnaires were distributed to administrative staff of both universities to elicit information on the kinds of records keeping practices in their respective departments. The questionnaire distribution was done by the researcher. The researcher ensured that all respondents selected were involved in records keeping in the university.

The 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 are obtain from the respondents. Again, personally administering the questionnaires also enabled the collection to be easy and effective. The data collection process ended successfully despite the initial challenges the researcher encountered. Some of the selected respondents were not willing to answer the questions and others complained about their busy schedules. In all 607 questionnaires were administered to both universities based on the selected samples for each university. The researcher had approximately 96% (582) response rate for all the questionnaires submitted to both universities.

In the process of data collection, the researcher took into consideration the possibility of being influenced by insider bias. Insider research is the term used to describe research in which the researcher has a direct involvement or connection with the research setting. The researcher faced challenges related to interacting with one's own peers, colleagues and study participants (e.g administrative staff), which was addressed. Never forget that you may be working with these people long after the research project is completed. The

researcher also has a responsibility to the people involved in the research and for ensuring high quality research in terms of data. Of particular importance is addressing the power relations, and of addressing the potential for bias in the research. In relation to bias, researcher took steps as an insider to guard against bias in the work, the researcher carefully paid attention to feedback from participants, carrying out an initial evaluation of data, ensuring triangulation in the methods of gathering data and being aware of the issues represented in the project.

Pre-testing of Instrument

Pilot test of the instrument was done as part of the instrument validation. In order, not to distort the sample frame, a small number of 30 each of Administrative staff at the University of Education Winneba (public) and Jayeye University College, Accra (private) were surveyed. The pre-test was expected to reveal problems in the questionnaire that require changes. Thus, after the pre-test, the questionnaire was fine-tuned where necessary.

The study ensured validity through the use of a structured questionnaire as well as pre-testing, which led to revision and refinement of the questionnaire to make sure that respondents understood the questions as intended by the researcher. To ensure validity, the questionnaires were piloted on about 30 administrative who were not part of the target population (n=30) before administering the questionnaires to the administrative staff. The pilot study tested whether the questions were clear and that could be understood by different respondents. The questionnaire designed proved to be valid after the pilot study. The pre-test of the instrument revealed that the questionnaire should not take more than thirty-five (35) minutes to complete.

In order to check for the reliability of the instrument that was used for the study, Cronbach's alpha was computed. The Cronbach alpha value was .678 which is approximately 0.7 ($\alpha \approx 0.7$) which implies that the instrument is acceptable

Ethical Considerations

In order to protect the confidentiality and anonymity of the university and the respondents, the researcher ensured that participants in the study were duly protected from privacy and confidentiality issues especially during the data collection exercise and analyses of the study. In view of that, the names of the respondents were not disclosed or referred to in the study. The researcher obtained a verbal consent from the respondents before questionnaires were administered to the participants to answer. The researcher fully informed and explained the intent of the study to the respondents and sought their permission before questionnaires were administered.

Data Processing and 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. Descriptive and inferential statistics was used to analyze the data. The data on research questions one to four was presented and interpreted using percentages, means and standard deviations. Leven test was conducted to ascertain the variances across the two tertiary institutions. Hypotheses was tested using the chi-square to determine the difference in means between public and private universities in Ghana on the records disposal practices and the challenges associated with records management practices.

Chapter Summary

This chapter discussed the methods, processes and instruments used for the entire study. In view of that, a descriptive survey design was adopted for the study. A questionnaire was designed to elicit information from the administrative staff in the university. The study relied on primary data for the analyses and discussions.

CHAPTER FOUR

RESULTS AND DISCUSSION

Introduction

This chapter of the study presents findings of the study. It covers the demographic characteristics of the respondents. The results are presented according to the research questions and hypothesis.

Background Information of the Respondents

This section dealt with the information collected on the background of the respondents. The characteristics of the respondents discussed in this section- included gender, highest educational qualification, number of years of working in the university and category of staff. The background information is presented in Table 3-5.

The administrative staff that made up the respondents at the University A had more females 218(53.2%) than males 192(46.8%). The respondents of University B on the other hand had the proportion of males 93(54.1%) more than the females 79(45.9%). This implies that there were gender variations among the respondents selected from both universities. Table 3 shows the educational qualifications of the respondents.

Table 3: Educational Qualification of the Respondents

Educational Qualification	University A		University B	
	N	%	N	%
Secondary	64	15.6	20	11.6
Tertiary	346	84.4	152	88.4
Total	410	100	172	100

Source: Field survey, Dasmani (2018)

The results showed that, for both universities, majority of the respondents' University A (84.4%) and University B (88.4%) had attained tertiary education. This shows that, majority of the respondents had obtained tertiary education and this would help improve records management and practices in both tertiary institutions. Since educated work force has the capacity to manage records.

Table 4 presents the number of years that the respondents of the study had worked in the various organizations.

Table 4: Years of Work (Experience)

Years of Work	University A		University B	
	N	%	N	%
Less than 5years	136	33.7	56	32.5
5-10 years	26	6.4	16	9.3
10-15 years	164	40.6	82	47.7
15-20 years	55	13.6	5	2.9
Above 20 years	23	5.7	13	7.6
Total	410	100	172	100

Source: Field survey, Dasmani (2018)

From Table 4, it can be observed that in both cases, less than 8% of the respondents had more than 20 years' work experience. Again, in both cases the highest proportion of staff had worked for 10-15 years; university A (40.6%) and university B (47.7%). On the average, most of the administrative staff had acquired adequate number of working experiences in the job. This stands to reason that majority of the respondents had worked for more than 10years in both universities and had obtained the requisite experiences in terms of records generation and management.

Table 5 represents different categories of the administrative staff that were part of the study.

Table 5: Category of Staff in the Study

Category of Staff	University A		University B	
	N	%	N	%
Senior Members	40	9.8	50	29.1
Senior staff	259	63.2	89	51.7
Junior staff	111	27.0	33	19.2
Total	410	100.0	172	100.0

Source: Field survey, Dasmani (2018)

It can be seen that in the case of both institutions, the highest number of administrative staff were senior staff 63.2% for University A and 51.7% for University B. This implies that, senior members dominated the administrative staff in the both universities. This is consistent with the study conducted by Adu, (2014) who found that records are mostly kept by senior administrative staff in the university.

Research Question One: How are records created by the Administrative Staff in public and private university?

Record creation is one of the typical characteristics of tertiary institutions. The many committees and councils at the universities create records in the conduct of their business. Examples include meeting minutes and supporting documents, working papers, student records reports and membership records.

This research question sought to examine the types of records and how they were created by the administrative staff in University A and University B. To answer how records are created in the institutions, the study presented the types of records created (Table 6), guidelines and procedures used in the

creation of records (Table 7), the filing system used (Table 8), the effectiveness of the filing systems (Table 9) and the general differences between the two institutions on creation and capturing of records (Table 10) are presented

Table 6: Types of Records Created at Work Place

Types of Records	University A		University B	
	N	%	N	%
Medical	14	3.4	13	7.7
Human resource	305	75.3	94	56.0
Stores inventory	15	3.7	27	16.0
Finance	40	9.9	11	6.6
Asset	23	5.7	13	7.7
Academic	8	2.0	4	2.4
Books and students' records	5	1.2	6	3.6
Total	410	100.0	172	100.0

Source: Field survey, Dasmani (2018)

It can be seen from Table 6 that majority of the respondents in both institutions indicated that the type of records kept were on human resource, finance and assets. University A has, 75.3% of the total sample indicating that the type or records kept is on human resource and university B has 94(56.0%) of the responses indicated that the type or records kept was on human resource whilst the university has books and students records as the lowest (1.2%) category of records kept. University B had academic records as the lowest (2.4%) of records kept. This implies that, the records on the human resources in terms of personal records and other vital related information account for the large volume of record generated in the tertiary institutions. This finding is in

consonant with the big bucket theory where large volumes of similar records are kept into series or bucket to ensure easy retrieval. This is also consistent with the study conducted by Adu (2014) where it was revealed that large volume of records kept by tertiary institutions was human resources.

In relation to guidelines and procedures on the creation and capturing of records, the responses of the administrative staff are displayed in Table 7.

Table 7: Guidelines and Procedures on the Creation and Capturing of Records

Availability of Guidelines	University A		University B	
	N	%	N	%
Available	294	71.7	120	69.8
Not Available	116	28.3	52	30.2
Total	410	100.0	172	100.0

Source: Field survey, Dasmani (2018)

Records keeping as any other role performed in the universities need to follow some basic procedures and guidelines. Table 7 presents the respondents' view on whether there were policies and procedures for records creation and keeping in the various universities. It can be seen that 294 of the respondents representing 71.7% university A indicated that there were procedures and guidelines for records keeping and procedures for records keeping in the university. For university B, 120(69.8%) of the sample indicated that there were procedures for records keeping. This implies that majority of the staff at both universities were aware of the laid down guidelines and procedures used in keeping records in their institutions. This finding is in relation with the first stage of life cycle theory/model, where guidelines and procedures of creating records are established. This is consistent with the studies by Amo (2016), and

Adu, (2014) where it was revealed that majority of the respondents agreed to the fact that the university system has procedures and policies for creating and keeping records. A study by Akor and Udensi (2013) indicates that majority of the respondents indicated that they referred to the records plan when creating new records.

Responses of the administrative staff were solicited on the main filing system used for records keeping in their institutions. The results are presented in Table 8.

Table 8: Filing System Used for Records Keeping

Filing System Used	University of A		University B	
	N	%	N	%
Alpha numeric	299	72.9	59	34.3
Subject filing	100	24.4	106	61.6
Alpha and Subject	11	2.7	7	4.1
Total	410	100.0	172	100.0

Source: Field survey, Dasmani (2018)

One important means for assessing how records are managed in the various universities is to know the kind of filing system used for records keeping. Table 8 presents results on the kind of filing systems used in both universities. It can be seen that while university A mainly 299(72.9%) used alphanumeric filing, subject filing is also mostly used for capturing records in university B 106(61.6%). This result portrays that; there are variations in the filing system adopted by the universities. This result to some extent does not deviate from the study by Abdulrahman (2015) who found that alphabetic and subject filing systems were the two major filing systems employed. This shows that, the major filing system used by tertiary institutions is subject,

alphanumeric and alphabetic filing. On the filing system of office documents, the study confirmed that 365 of the respondents representing 89% of the sample indicated that records are kept on daily activities performed in university A and 45 of the respondents representing 11% of the sample said records are not kept on daily activities performed.

For university B, 142(82.6%) of the sample said records were kept on daily activities performed. This shows that the majority of respondents filed their office documents on daily basis and the importance the administrative staff attached to records of the universities. A study conducted by Mahama (2017) revealed how records are filed and stored. The study revealed that records management is decentralized and are managed manually through filing of hard copies in folders and kept in metal cabinets based on individual ability and knowledge at the various departments/sections/units and the faculties and schools.

This study solicited the perceptions of the administrative staff on the effectiveness of filing system support accurate capturing and easy retrieval of records in their various institutions.

The majority 349(85.1%) of the respondents in the university A indicated that indeed the filing system helps accurate capturing and easy retrieval of records. For university B, 158(91.9%) of the respondent said the filing system used support accurate capturing and easy retrieval of records. This implies that only few respondents from both Universities were of the view that the filing system does not support accurate capturing and easy retrieval of records. These might be the staff who did not directly deal with process of capturing and retrieval of records. It can therefore be seen that the filing systems

in both universities supports accurate capturing and easy retrieval of records. This means that, irrespective of the filing system used by the universities, it supports the administrative staff for accurate capturing and easy retrieval of records.

In order to determine the perception of the record keepers on the various filing systems in their universities, the researcher asked the respondents to rate the filing systems on a scale from very good to very poor. The results are presented in Table 9.

Table 9: Responses on Effectiveness of the Filing System

Effectiveness of the Filing System	University A		University B	
	N	%	N	%
Very good	162	40.0	69	40.7
Good	216	53.3	99	57.9
Poor	17	4.2	2	1.2
Very poor	15	2.5	2	1.2
Total	410	100.0	172	100.0

Source: Field survey, Dasmani (2018)

It can be seen from the results from the University A that 162(40.0%) rated the filing system as very good and 216(53.3%) rated the filing system as good. For university B, 69(40.7%) of the respondents rated the filing system as very good, 99(57.9%) rated the filing system as good. These mean that, there is no much difference in the perceptions of effectiveness of filing system in both universities.

The processes of creation and capturing of records play a vital role in records management and practices in an institution. The Table 10 depicts

whether there are differences and similarities among the processes of creating and capturing of records in both institutions under study.

Table 10: Results for Creation and Capturing of Records in both Universities

Statement	χ^2	p-value	Remarks
Records created in the course of work	52.625	0.011*	Diff.
Guidelines and procedures on the creation and capturing of records issued	0.017	0.675	No diff.
Filing system used for record keeping in the department	7.334	0.026*	Diff.
Ability of filing system to support accurate capturing and easy retrieval of records	3.429	0.064	No diff.
Effectiveness of filing system of the university	6.457	0.091	No diff.

Source: Field survey, Dasmani (2018) (n=607)

Table 10 presents the results of the chi-square comparing the methods of creating and capturing records in the two universities. From the results, it can be observed that there were differences in creating records in the course of work in both universities ($\chi^2=52.625$; $p=0.011$), as well as differences in the filing system used for record keeping in the department ($\chi^2=7.334$; $p=0.026$).

The results notwithstanding, it was found out that there were no differences in the guidelines and procedures on the creation and capturing of records issued in both universities ($\chi^2=0.017$; $p=0.675$), no differences in the ability of filing system of the university to support accurate capturing and easy retrieval of records in both universities ($\chi^2=3.429$; $p=0.064$) and no differences in the effectiveness of filing system in both universities ($\chi^2=6.457$; $p=0.091$).

The findings also show that there are significant differences in how records are created in the course of work, filing system used for record keeping in various departments and the ability of filing system to support accurate

capturing and easy retrieval of records in both universities. However, there are similarities in guidelines and procedures for creation and capturing of record and effectiveness of filing system in both universities.

In response to the research question on how records were created by the administrative staff in public and private universities the findings indicated that the type of records kept were records on human resources, finance and assets. In relation to the guidelines, administrators in both universities were aware of, and use laid down guidelines and procedures for records keeping.

The findings also show that, filing system of the two universities varied. However, irrespective of the filing system used, administrators perceived them as supporting accurate capturing and easy retrieval of records. There were no differences in the effectiveness of the filing system in both universities.

Research Question Two: How do Public and Private Universities maintain records in their institution?

The maintenance of records involves all activities that ensure that they are in good condition, and kept in an orderly state. This is a central function of record management. Research question two sought to find out how records are maintained in university A and university B. In finding out how records are maintained data was collected on Administrator's understanding of manual records management (Table 11), understanding of electronic records (Table 12), duties of administrative staff (Table 13), format for record keeping (Table 14), storage media used for keeping records (Table 15), methods used to retrieve records (Table 16), time taken to retrieve a record (Table 17), rating the state of record keeping (Table 18), the manner in which records are preserved electronically (Table 19). The results are shown in Table 11-21.

Respondents were requested to make a choice from a list of provided statements with regards to the meaning of manual record management. The results are depicted in Table 11

Table 11: Understanding of Manual Records Management

Statements	University A		University B	
	N	%	N	%
Information created, captured maintained, used, disposed	345	84.8	159	92.4
Information created and published in books and journals	62	15.2	13	7.6
Total	410	100.0	172	100.0

Source: Field survey, Dasmani (2018)

To know whether records keepers in the two universities understand the concept of manual records management, Table 11 present results of the respondents' view on what records management is. It can be seen from the results in the university A that 345(84.8%) of the sample viewed records management as Information created, captured maintained, used, disposed and 62(15.2%) of the sample view records management as Information created and published in books and journals. For university B, 159(92.4%) of the sample view Information as created, captured maintained, used, disposed while 13(7.6%) of the sample viewed records management as Information created and published in books and journals. It can be seen that the respondents to a very large extent understood the concept of manual records management. This relates to the conceptual framework where records kept in tertiary institutions are either manual or electronic.

The study sought the views of respondents on whether records management was part of their responsibility. It was found out that for university A 373 of the respondents representing 91% of the respondents stated that records management was part of their responsibilities. Only 9.0% of the respondents indicated that records management was not part of their responsibilities. For university B, 158(91.9%) of the respondents stated that records management was part of their responsibilities. This stands to reason that majority of the administrative staff were of the opinion that records management is part of their responsibilities and that only few respondents did not see records management as part of their responsibilities. This finding is in conformity with the study conducted by Adu (2014) who also found that most of the administrative staff at the University of Education Winneba and Kumasi Campuses saw records management as part of their responsibilities.

Table 12 sought to find out the respondents understanding of electronic records management.

Table 12: Understanding of Electronic Records

Electronic Records	University A		University B	
	N	%	N	%
Information created and maintained in paper	40	9.8	23	13.4
Information created and maintained on computer systems	368	90.2	148	86.6
Total	410	100.0	172	100.0

Source: Field survey, Dasmani (2018)

From the Table 12, it was revealed that majority of the respondents from both universities reported that their understanding of electronic records was information created and maintained on computer systems. The results indicated that, 90.2% of the respondents at university A had knowledge about electronic

records as information created and maintained on computer, whilst 86.6% of the respondents at university B also said they understand electronic records as information created and maintained on computer systems.

The rest of the respondents were of the view that they understand electronic records as information created and maintained on paper, this represents 9.8% and 13.4% of the respondents at the university A and university B respectively. This implies that only few respondents from both Universities did not understand what electronic records meant. This might be attributed to the fact that, some of these administrative staff did not involve themselves directly in the process of creating and maintaining electronic records or they are computer illiterates which makes it impossible for them to assess any information electronically to aid them in their administrative duties in both Universities.

The respondents were asked whether their universities adopt electronic records. It revealed that 362(90.05%) of the respondents indicated that university A had electronic records. For university B, 133(79.2%) of the respondents said the university had electronic records and 39(20.8%) of the sample indicated that the university had no electronic records. This is consistent with the study by Agbanu (2015), who found out that public universities had most of their records kept electronically as compared to the private universities. This also relates to the conceptual framework where records kept by administrators in tertiary institutions are manually or electronically done. Table 13 presents results on the various roles of administrative staff in record management in their offices.

Table 13: Roles of Administrative staff in Records Management

Roles played in records management	University A		University B	
	N	%	N	%
Daily update of the electronic system	81	19.8	36	20.9
In charge of the security of the electronic record system	35	8.5	22	12.8
Ensure that the physical location of records is secured	101	24.6	25	14.5
Create, file and retrieve folders/files	193	47.1	89	51.8
Total	410	100.0	172	100.0

Source: Field survey, Dasmani (2018)

It was revealed that 81(19.8%) of the respondents engaged in daily update of the electronic system, 101(24.6%) of the sample ensured that the physical location of records was secured and 193(47.1%) of the sample were involved in creating, filing and retrieving folders/files at university A. For university B It can be seen that 36 of the respondents representing 20.9% of the sample engaged in daily update of the electronic system, 25(14.5%) of the sample ensured that the physical location of records was secured and 89(51.8%) of the sample were involved in creating, filing and retrieving folders/files. It is clear from the results presented that all the respondents were involved in records management in one way or the other.

It was indicated that, 365 of the respondents representing 89% of the sample indicated that records were kept on daily activities performed in the University A and 45 of the respondents representing 11% of the sample said records were not kept on daily activities performed. For University B, it was

discovered that 142(82.6%) of the respondents stated that records were kept on daily activities performed and 30(17.4%) of the respondents indicated that records were not kept on daily activities performed.

Table 14 presents results of the format of records keeping in both universities. The formats of record keeping in the tertiary institutions are manual, electronic or both.

Table 14: Format for Record Keeping

Records maintenance	University A		University B	
	N	%	N	%
Manual format	50	12.3	25	14.5
Electronic format	28	6.9	17	9.9
Manual and electronic formats	329	80.8	130	75.6
Total	410	100.0	172	100.0

Source: Field survey, Dasmani (2018)

It can be seen from Table 14 that 329(80.8%) said records were kept both in manual and electronic format in the university A. For university B, 130(75.6%) indicated that records were kept in both manual and electronic format. It can be seen that records in the two universities were kept both manually and electronically. This is consistent with findings from the work of Adu (2014), that records in the universities were maintained both manually and electronically. This meant that the universities records were secured to large extent. Thus, when one form of the records is lost, the institution can rely on the other form for its operations. This implies that, both Universities put premium on records keeping both manually and electronically. This ensures that records are always available in both formats for decision-making. This is in consistent

with the conceptual framework which depicts that records kept in tertiary institutions are manual and electronic.

Regarding the storage media used for keeping records, Table 15 presents the results.

Table 15: Storage Media Used for Keeping Records

Storage Media	University A		University B	
	N	%	N	%
Folders	250	61.1	83	48.5
Compact disks	32	7.8	16	9.4
Micro film	8	2.0	10	5.9
Hard drive	75	17.9	41	24.0
Registers	17	4.2	4	2.3
Folders and hard drive	22	5.4	8	4.7
Compact disks and hard drive	6	1.5	9	5.2
Total	410	100.0	172	100.0

Source: Field survey, Dasmani (2018).

It can be seen that in both universities, majority of the respondents supported the view that the storage medium of record keeping used most frequently by the universities was folder. For university A, out of the 410 respondents 61.1% of them reported that the medium of record keeping was the use of folder while 48.5% of the 172 respondents at the university B also reported that folder was being the storage medium of keeping records. The second frequently used medium of record keeping was hard drive, representing 17.5% and 24% in both university A and university B respectively.

The responses of the respondents were solicited on whether or not their department’s record storage was secured against unauthorized access. The results show that many of the departments from university A had secured their records storage against unauthorized access, this represents 84.4% of the 410 respondents. The response of the respondents from university B also show that, approximately 80% out of the 137 respondents were of the view that department’s record storage was secured against unauthorized access.

The respondents were asked whether or not their department’s records storage location was conducive for its records and retention periods. The results show that 325(79.3%) of the respondents in the university A stated that their department’s records storage location is conducive for its records and retention periods whiles 137(79.7%) of the respondents at university B had the same view.

Table 16 present results on methods used for retrieving records/files in both universities.

Table 16: Methods Used for Retrieving Records/Files

Methods	University A		University B	
	N	%	N	%
Drawer labels	152	37.0	64	37.2
File indexes	210	51.2	69	40.1
Automated retrieval system	25	6.10	26	15.1
Drawer labels and File indexes	22	5.12	13	7.6
Total	410	100.0	172	100.0

Source: Field survey, Dasmani (2018)

The Table 16 shows that 152(37.0%) of the respondents from university A indicated that the university used drawer labels as a method of retrieving records while 64(37.2%) of the respondents from university reported the use of drawer label as a method used in retrieving record/files, 210(51.2%) and 69(40.1%) of the respondents were of the view that file indexes was the method use in university A and university B respectively.

Table 17 indicates the number of minutes spent to retrieve a record from the universities.

Table 17: Time Taken to Retrieve a Record upon Request

Time retrieving Records	University A		University B	
	N	%	N	%
1-10 minutes	316	77.1	125	72.7
11-20 minutes	32	7.8	25	14.5
21-30 minutes	46	11.2	14	8.1
Above 30 minutes	16	3.9	8	4.7
Total	410	100.0	172	100.0

Source: Field survey, Dasmani (2018)

The results indicated that in the public university A 316(77.1%) of the respondents highlighted that it took 1-10 minutes to retrieve a record when requested while in university B 125(72.7%) of the respondents highlighted that it took 1-10 minutes to retrieve a record when requested. This implies that, majority of the administrative staff had a fairly good retrieval time. According Johnson and Kallaus, (2004), institutions that follow proper guidelines and procedures for keeping records take less minutes to retrieve their records. So, institutions that keep proper records are able to plan properly and take good decisions. This is also in conformity with the big bucket theory where records

are kept in series or buckets for easy retrieval thus less minutes are used to retrieve a record.

The state of records keeping and managements are issues of concern at the universities. Table 18 reveals the results on the state of record management in the universities.

Table 18: Responses on Rating the State of Records Management in the University

State of records management	University A		University B	
	N	%	N	%
Very good	113	27.56	58	33.7
Good	269	65.61	112	65.1
Poor	16	3.90	2	1.16
Very poor	12	2.93	0	0
Total	410	100.0	172	100.0

Source: Field survey, Dasmani (2018)

The results show that 113(27.56%) of the respondents from the university A indicated that, the state of records management was very good and 58(33.72%) of the respondents from university B also indicated same response, 269(65.61%) and 112(65.12%) of the respondents in the university A and university B respectively indicate that the state of record keeping in the university was good. The results portray that the state of record keeping in both universities were good. This suggests that such records were maintained in both universities records management system, and handled with care and efficiency so as not to damage them or compromise their integrity.

Table 19 presents results on the various ways electronic records were maintained in the universities.

Table 19: Responses on Maintaining and Preserving Electronic Records

Responses	University A		University B	
	N	%	N	%
Computers	278	67.8	94	55.6
External drives	63	15.4	21	12.4
Compact disks	8	1.95	4	2.37
Micro film	9	2.20	0	0.0
Hard drive	23	5.61	16	9.47
Computers and hard drive	15	3.66	12	7.10
Computers, external drives and hard drive	6	1.46	12	7.10
Computers and external drives	8	1.95	10	5.92
Total	410	100.0	172	100.0

Source: Field survey, Dasmani (2018)

The results indicate that, electronic records were frequently maintained and preserved by the use of computers. This is evident from the 278(67.8%) of the sample indicating that electronic records were maintained by computer storage in university A. University B on the other hand had 94(55.62%) of the sample indicating the use of computers as a means of maintaining electronic records. This is followed by external drive usage as indicated by 63 (15.4%) respondents at the university A and 21(12.4) respondents from the university B.

Table 20 displays the chi-square results comparing the records management practices in the two universities.

Table 20: Chi-Square Results for Manual Records Management in both Universities

Statement	χ^2	p-value	Remarks
Meaning of manual record	1.119	0.290	No diff.
Understanding of manual records management	6.32	0.012*	Diff.
Records management as part of responsibilities	1.119	0.730	No diff.
Duties in records management	8.918	0.063	No diff.
Records on daily activities performed	4.513	0.034*	Diff.
Records maintained in the department	2.297	0.317	No diff.
Methods use for retrieving records/files in the department	29.38	0.000*	Diff.
Time taken to retrieve a record upon request	7.193	0.066	No diff.
State of records management in the universities	9.544	0.023*	Diff.

Source: Field survey, Dasmani (2018) * Significant $p < 0.05$, $n = 607$

It can be observed from the results that; the meaning of manual records in both universities ($\chi^2 = 1.119$; $p = 0.290$); records management as part of responsibilities ($\chi^2 = 1.119$; $p = 0.730$); roles the respondents play in records management ($\chi^2 = 8.918$; $p = 0.063$); records maintained in the respective departments of both universities ($\chi^2 = 2.297$; $p = 0.317$) and the number of minutes taken to retrieve a record at the time of request ($\chi^2 = 7.193$; $p = 0.066$) did not portray any significant differences between the universities. This means that, these record management practices being adopted by both Universities showed no variations.

However, there were statistically significant differences among the respondents' understanding of records management ($\chi^2 = 6.32$; $p = 0.012$), keeping records on daily activities performed ($\chi^2 = 4.513$; $p = 0.034$), methods used for retrieving records/files in the various department ($\chi^2 = 29.38$; $p = 0.000$) and the state of records management was rated in the universities ($\chi^2 = 9.544$; $p = 0.023$).

Table 21: Chi-Square Results for Electronic Records Management in both Universities

Statement	χ^2	p-value	Remarks
Understanding of electronic records	1.652	0.199	No diff.
Electronic records at the University	12.281	0.000*	Diff
Maintenance and preservation of electronic records	31.259	0.000*	Diff.

Source: Field survey, Dasmani (2018) * Significant $p < 0.05$, $n = 607$

Table 21 presents the chi-square results of the electronic records management in both universities. It can be disclosed from the results that no differences existed in the understanding of the respondents on electronic records ($\chi^2 = 1.652$; $p = 0.199$). However, it was found out from the results that, differences existed between the universities as regard the keeping of electronic records ($\chi^2 = 12.281$; $p = 0.000$) and how the electronic records are maintained and preserved ($\chi^2 = 31.259$; $p = 0.000$) in both universities.

In responses to research question two, it was found the administrators in both institutions understood the concept of manual and electronic records management, and used format for keeping both electronic and manual records. Furthermore, the institutions largely used file indexes to retrieve their records and it mostly took administrators in both institutions less than 10 minutes to retrieve files. The state of the records keeping was rated as good in both universities. It can be seen that both institutions used computer in maintaining and preserving electronic records. Bigirimana, Jagero and Chizema (2015) assessing the effectiveness of the management of electronic records at Africa University, considers electronic records as effective creation, storage,

distribution, use, securing, backup, and disaster recovery systems and procedures.

Based on chi-square results, we conclude that, there are some variations/differences in the manual record management practices in both universities. The differences in the manual records management practices would indirectly affect the performance of the universities and may have diverse effects on the delivery of services in both institutions. Since records are used for decision-making. On the electronic records keeping, it was also found that there are differences in how the two universities keep their electronic records and maintenance and preservation of electronic records. However, there are no significant differences in the staff understanding of the concept of electronic records keeping in both universities.

Research Question Three: What are the differences in records disposal practices in university A and university B?

Disposal is an important part of records management. Properly done, it ensures that the organization retains records for as long as they are needed and then, when they are no longer needed, destroys them in an appropriate manner or disposes of them in some other way, by transfer to an archives service.

Research question three assessed the records disposal practices in university A and university B. The aspect of records disposal practices discussed are Administrators, handling of inactive records (Table 22), sanctions meted out to staff who deliberately destroy records (Table 23) and documentation of records disposal.

In trying to determine whether the universities have adequate storage location for its records to answer research question three, the results indicated

that, 305(74.4%) of them agreed that, university A had adequate storage locations for its records while 109(63.4%) of the respondents interviewed at university B shared the same view.

Regarding their responses on whether department separated active records from inactive records, it was revealed that, 80.1% and 80.4% of the respondents in the university A and university B respectively were of the view that their department separate active records from inactive records and the remaining 19.9% and 19.6% respectively in the university A and university B reported that, the departments did not separate active records from inactive records.

Respondents' views were solicited on how departments deal with inactive records at the university A and university B. the response are presented in Table 22.

Table 22: Responses on Department Dealing with the Inactive Records

Inactive records	University A		University B	
	N	%	N	%
Archived	328	81.2	143	83.14
Destroyed	43	10.6	20	11.63
Transfer	39	8.2	9	5.23
Total	410	100.0	172	100.0

Source: Field survey, Dasmani (2018)

It is observed from the Table 22 that in both universities, majority of the respondents reported that departments dealt with the inactive records using archive. This represents 81.2% and 83.14% of respondents at university A and university B respectively. Using transfer as a way of dealing with inactive records received less attention in both universities, with 8.2% of the respondents

from the university A reporting that the departments used transfer as a way of dealing with inactive records and 5.23% of the respondents from university B reported that transfer was used in dealing with inactive records.

The responses of the respondents were solicited on whether the university established records retention and disposal schedules for all its records. The results show that at the university A, 60.4% of the respondents said the university had established records retention and disposal schedules for all its records. In the case of university B, 58.7% of the respondents agreed to the fact that the university had established records retention and disposals schedules for all its records. In all, majority of the respondents in both universities agreed that they had established records retention and disposal schedules for all their records.

With guidelines and procedures for the physical destruction of expired records to avoid inadvertent destruction and leakage of sensitive information, the results indicated that, 65.1% of the respondents from the university A reported that there were guidelines and procedures governing physical destruction of expired record, while 67.4% of the respondents from university B agreed that there were laid down procedures to physical destruction of expired records. The above results are in conformity with IRMT (1999) that disposal involves sending records from the office of origin to the records centre or the archival repository or destroying them under secure conditions if they are obsolete while destruction is the disposal of records of no further value by incineration, maceration, pulping, shredding or other secure methods. This relates to the last stage of the Life Cycle Model (disposal) where records that are inactive or are no longer needed are transferred to archives or destroyed.

Table 23 presents the results on sanctions meted out to staff that accidentally or deliberately destroy records.

Table 23: Sanctions Meted Out to Staff that Deliberately Destroy Records

Sanctions	University A		University B	
	N	%	N	%
Query	329	80.8	133	77.33
Internal fines	70	17.2	32	18.6
Internal demotion	11	1.97	7	4.1
Total	410	100.0	172	100.0

Source: Field survey, Dasmani (2018)

It is observed from the university A and university B that, the most common sanctions meted out to staff who accidentally destroy records was in the form of query, which represents 81% and 77.33% in the university A and university B, respectively. In addition, the results discovered that 17.2% of the sanctions were in the form of internal fines in the university A and 18.6% in the university B and internal demotion represent approximately 2% in the university A and 4% in university B. This means that queries were the major punishment meted out to staff who destroyed records. This result is consistent with the study conducted by Amo (2016), who indicated that, administrative staffs who deliberately destroy records are queried.

Respondents were asked whether or not the disposals of records were documented. It was discovered from the results that in the university A, 283(69.0%) of the respondents were of the view that, disposals of records were documented in the university. From the side of private university B, 110(64%) of the respondents agreed that disposals of records were documented. From both institutions, majority of the respondents supported the idea that disposals of records were documented.

The Table 24 presents the result on the differences in record disposal practices among the public university A and private university B.

Table 24: Chi-Square Results for Record Disposal Practices in both Universities

Statement	χ^2	P	Remarks
Security of storage location against unauthorized access	9.074	0.028*	Diff
Separation of active records from inactive records	0.011	0.918	No diff.
How deal with its inactive records	1.589	0.452	No diff
Records retention and disposal schedules for all its records	0.141	0.707	No diff
Guidelines and procedures for the physical destruction of expired records	0.292	0.589	No diff
Kind of sanction for deliberately destroy records in the university	16.010	0.001*	Diff.
Disposal of records documented	1.421	0.233*	No diff.

Source: Field survey, Dasmani (2018)

* Significant $p < 0.05$, $n = 607$

From the results, it can be observed that there were statistically significant differences in the process of securing the departmental storage locations against unauthorized access ($\chi^2 = 9.074$; $p = 0.028$), and the sanction meted out to staff that deliberately destroy records in both universities ($\chi^2 = 16.010$; $p = 0.001$). This stand to reason that, some of the record disposal practices vary across the two universities under study.

The results discovered that there were no differences as far as separating active records from inactive records in both universities is concerned ($\chi^2 = 0.011$; $p = 0.918$), methods of dealing with inactive records in the units ($\chi^2 = 1.589$; $p = 0.452$), the established records retention and disposal schedules for all records, ($\chi^2 = 0.141$; $p = 0.707$), the guidelines and procedures for the physical

destruction of expired records ($\chi^2=0.292$; $p=0.589$) and the documentation of the disposal of records ($\chi^2=1.421$; $p=0.233$) in both University.

From the descriptive statistics, we found that inactive records are largely archived by both universities and queries were the major punishment meted out to administrators who deliberately destroyed records. Furthermore, it was revealed that, both institutions documented disposed records.

Based on the findings, we conclude that, there were some differences in the disposal practices in the universities, in terms of adequate storage facilities, security against unauthorized access and the sanctions meted out to the staff who deliberately destroyed records. This conforms to assertion made by Adu (2014), that insufficient space for storage of records and security of records was challenged in the institutions. It is also consistent with Devi, Choy Chong and Ismail (2009) who found differences in the records disposal among the tertiary institutions in Malaysia.

Research Question Four: What are the differences in the challenges associated with records management in public university A and private university B?

Tertiary institutions face lots of challenges with regards to the records management practices, which impede their activities. Some of these challenges are improper records management; inadequate proper security for records; inadequate professionally trained records managers; there are inadequate resources to facilitate proper records management practices in the institution; insufficient space for records management; misplacement of vital records in the institution; loss of vital records in the institution etc.

These challenges might prevent the institution from enjoying the benefits of proper record managements practices such as effective financial resource management; effective resources allocation to all units of the institution; proper assessment of students’ performance and needs; better improvement in instructional facilities for teaching and learning,

Research question four explores the challenges associated with records management in university A and university B. The data was collected on challenges regarding records keeping in university A (Table 25) and university B (Table 26). The results are presented in Table 25-26.

Table 25: Challenges Regarding Records Keeping in University A

(SA-Strongly Agree A-Agree D-Disagree and SD-Strongly Disagree)

Challenges	University A			
	SA	A	D	SD
	N(%)	N(%)	N(%)	N(%)
Shortage of filing space	88(21.6%)	167(41.0%)	122(29.3%)	33(8.1%)
Misfiling and missing files	71(17.8%)	147(36.9%)	158(39.7%)	22(5.5%)
Damage of records	25(6.2%)	93(23.2%)	233(58.1%)	50(12.5%)
Poor condition of storage location	44(11.1%)	127(32.2%)	182(46.1%)	42(10.6%)
Shortage of record staff	31(8.0%)	97(24.9%)	223(57.3%)	38(9.8%)
Poor staff knowledge	39(9.9%)	130(32.9%)	181(45.8%)	45(11.4%)
Inadequate management support	53(13.5%)	136(34.7%)	182(46.4%)	21(5.4%)
Hardware and software unavailability	48(12.9%)	142(38.1%)	166(44.5%)	17(4.6%)
Security issues	57(14.7%)	159(41.1%)	154(39.8%)	17(4.4%)

Source: Field survey, Dasmani (2018).

Table 25 displays the results on challenges regarding records keeping at the university A. It can be observed from the results that on the responses of the administrative staff that for shortage of filing space, 88(21.6%) strongly agreed. This means that, the majority of the respondents from the university A were of the opinion that, shortage of filing space was a challenge in the university. Paying attention to the responses of the administrative staff, it was specified that there was misfiling and missing files 71(17.8%) strongly agreed and 158(39.7%) disagreed. This implies that, the reaction of the respondents on misfiling and missing files were mixed as some of the administrative staff felt it was a challenge, while some also thought otherwise. This means that, this challenge varies from units/departments/faculties. In addition, the results show that there was no damage of records. This was evident from the results as, 233(58.1%) disagreed and 50(12.5%) strongly disagreed. This means that, majority of the respondents were of the opinion that, record did not easily get damage in the university.

In relation to their responses on the statement that there were shortages of record staff, the results brought to bare that 223(57.3%) disagreed. This implies that, majority of the respondents disagreed that there were no shortages of record staff. In addition, it was discovered that there were availability of hardware and software as 166(44.5%) disagreed. The results from the respondents were mixed. This is attributed to the fact that; some department's records are threatened by virus or hacked into. This poses serious challenge for some departments. The above results on challenges regarding records keeping at the university agree to the study of Otuama (2010) which mentioned the following as the problems associated with records management in most

universities; 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.

The responses of the administrative staff on the challenges of records keeping in private university B are presented in Table 26.

Table 26: Challenges Regarding Records Keeping in University B

(SA-Strongly Agree, A-Agree D-Disagree SD-Strongly Disagree)

Challenges	University B			
	SA	A	D	SD
	N(%)	N(%)	N(%)	N(%)
Shortage of filing space	44(25.6%)	82(47.7%)	43(25.0%)	3(1.7%)
Misfiling and missing files	19(11.1%)	63(36.6%)	85(49.4%)	5(2.9%)
Damage of records	8(4.7%)	21(12.4%)	124(73.4%)	16(9.5%)
Poor condition of storage location	14(8.1%)	59(34.3%)	86(50.0%)	13(7.6%)
Shortage of record staff	14(8.1%)	59(34.3%)	86(50.0%)	13(7.6%)
Poor staff knowledge	6(3.5%)	32(18.6%)	101(58.7%)	33(19.2%)
Inadequate management support	19(11.1%)	95(55.2%)	52(30.2%)	6(3.5%)
Hardware and software unavailability	24(14.1%)	74(43.5%)	62(36.5%)	10(5.9%)
Security issues	9(5.3%)	69(40.4%)	74(43.3%)	19(11.0%)

Source: Field survey, Dasmani (2018)

Table 26 presents the views of respondents regarding records keeping at the university B. It can be observed from the results that on the responses of the administrative staff concerning shortage of filing space, 82(47.7%) agreed and 43(25.0%) disagreed. These portray that the administrative staff of university B

were faced with the challenge of shortage of filing space. Paying attention to the responses of the administrative staff, it was specified that there was misfiling and missing files as 85(49.4%) disagreed. In addition, the results show that there was no damage of records. This was evident from the results as 124 (73.4%) of the administrative staff disagreed.

In addition, the results brought to light that the administrative staff had inadequate management support as 95(55.2%) agreed and 52(30.2%) disagreed. Furthermore, it was discovered that there were availability of hardware and software as 74(43.5%) agreed, 62(36.5%) disagreed. A further probe of the security issues reveals that, the issue varies across departments. This relates to the conceptual framework, which shows that the records management practices are influenced by various challenges.

The Table 27 portrays non-parametric chi-square results that depicts whether there were difference in the challenges confronted by the universities.

Table 27: Chi-Square Results for the Problems or Challenges Associated with Records Management in Both Universities

Statement	χ^2	p-value	Remarks
Shortage of filing space	10.724	0.013*	Diff.
Misfiling and missing files	7.916	0.048*	Diff.
Damage of records	21.350	0.000*	Diff.
Poor condition of storage location	21.179	0.000*	Diff.
Shortage of record staff	5.570	0.134	No diff.
Poor staff knowledge	24.038	0.000*	Diff.
Inadequate management support	21.316	0.000*	Diff.
Hardware and software unavailability	3.219	0.359	No diff.
Security issues	17.648	0.0001*	Diff.

Source: Field survey, Dasmani (2018) * Significant @ $p < 0.05$, $n = 607$

From the results, it could be observed that there were statistically significant differences in the shortage of filing space in both universities ($\chi^2 = 10.724$; $p = 0.013$), misfiling and missing files ($\chi^2 = 7.916$; $p = 0.048$), damage of records in both universities ($\chi^2 = 21.350$; $p = 0.000$), poor condition of storage location ($\chi^2 = 21.179$; $p = 0.000$), inadequate management support in both universities ($\chi^2 = 21.316$; $p = 0.000$), poor staff knowledge ($\chi^2 = 24.038$; $p = 0.000$) and difference in security issues ($\chi^2 = 17.648$; $p = 0.0001$). The chi-squares test of independence of among the challenges faced by the institutions implies that there were significant differences among challenges in the records keeping and management practices in the various categories of tertiary institutions.

On the other hand, it was revealed that there were no differences in the shortage of record staff in both universities ($\chi^2=5.570$; $p=0.134$) and hardware and software unavailability ($\chi^2=3.219$; $p=0.359$) in the public university A and private university B. Challenges in shortage of record staff and hardware and software unavailability were thus general among the tertiary institutions.

Table 28 shows the suggestions offered by the administrative staff in improving the state of records management in the universities.

Table 28: Suggestion to Improve the State of Records Management in the Universities

Suggestions	University A	university B
	Percent	Percent
Adoption of an integrated electronic records management system	53.4%	53.6%
More training for records staff	51.9%	50.0%
Conducive storage location	53.3%	30.8%
Adequate records staff	40.0%	9.9%
Enlarge storage location	46.7%	46.0%
Address security issues	13.3%	18.2%

Source: Field survey, Dasmani (2018)

From Table 28, 53.4% and 53.6% of the respondents in both university A and university B respectively, suggested that the adoption of an integrated electronic records management system would help improve records management in the universities. This implies that, majority of the respondents from both institutions supported the adoption of an integrated electronic records management system. Also 51.9% of the respondents in the university A were of the view that more training should be given to records staff whiles in the case

of university B, 50% of the respondents supported this view as a way to improve records management. In terms of suggestions regarding conducive storage location, majority of the suggestions were made at the university A, representing 53.3% as against 30.8% from university B. This will offer a solution to the problems discovered by this study and a study conducted by Adu (2014) that revealed that there were insufficient resources in terms of professionally trained records managers; training starved administrative staff and office space. On the challenges facing both institutions, it was found that shortage of filing space was the major problem for both intuitions, however, misfiling and missing files were more pronounced in university A as compared to university B.

Conclusion

The study concluded that there were significant differences in how records are created in the course of work, filing system used for record keeping in various departments and the ability of filing system to support accurate capturing and easy retrieval of records in both universities. However, there were similarities in guidelines and procedures for creation and capturing of record and effectiveness of filing system in both universities.

Furthermore, the study established that there were no differences in the meaning of manual records, records management as part of their responsibility and records maintained in the various departments. However, there were some differences in understanding of records management and methods used for retrieving records. Differences were also found in the disposal practices in the universities, in terms of adequate storage facilities, security against unauthorized access and the sanctions meted out to the staff who deliberately records. Lastly, the study concluded that there were statistically significant

differences among the identified challenges associated with records management practices across the universities.

CHAPTER FIVE

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

Introduction

This chapter deals with the summary of major findings of the study. It also includes major conclusions drawn from the study and appropriate recommendations derived from the analysis from the study which are made to policy makers. Suggestions are also made for further studies.

Summary of the Study

The focus of the study was to do comparative study of records keeping and management practices of administrators in public and private universities. It sought to examine the process of records creation by Administrative Staff, find out how records are maintained, assess the records disposal practices and explore the challenges associated with records management in one public (university A) and one private (university B).

The research design was the descriptive multi-site case quantitative research design to explore record keeping and management practices of administrators in universities and then compares the practices between a public and private universities. The population for this study comprised all the administrative staff of University A and University B which was made up of 760 and 217 from the two universities respectively. The researcher employed multi-stage sampling technique to sample a total of 607 respondents from the two institutions, 428 from University A and 179 from University B.

Questionnaire was the main instrument employed for the study. Close-ended and open-ended questions were adopted. It also emphasized on a number of issues, which includes how records are created and maintained in tertiary

institutions. Section E highlighted the records disposal practices and the last Section F looked at the problems and challenges associated with records management practices at the universities. With exception of questions under section F, which were multiple responses, most of the questions in the rest of the section were close-ended.

The descriptive statistics including frequencies and percentages and chi-square were used to analyze the data relating to research questions. Analysis of the responses was done in the order of the research questions. Responses from the various categories of respondents were discussed systematically in line with the research questions. Tables were created for the items to help in discussions of findings.

Summary of Findings

The findings of the research were organized according to research questions of the study.

Creation of Records

In response to the research question on how records were created by the administrative staff in University A and University B the findings indicated that the type of records kept were mainly records on human resources. Administrators were aware of the guidelines for records creation and used laid down guidelines and procedures for records creation and keeping.

It was realized that there existed significant differences in terms of the filing systems that are used in university B and university A. This was evident from the result of the chi-square test that compared records creation processes in the universities. Alpha numeric filing system was used in University A while Subject-filing system was used in capturing records in University B. With

regards to procedures and guidelines for the creation and capturing of records, it was realized that there was no significant difference in the response from the two universities.

Maintenance of Records

In responses to research question two, it was found that administrators in both institutions understood the concept of manual and electronic records management, and used both electronic and manual format for keeping records. Furthermore, the institutions largely used file label to retrieve their records and mostly it took less than 10 minutes for administrators in both institutions to retrieve files. The state of the records keeping was rated as good in both universities. It can be seen that both institutions used computer in maintaining and preserving electronic records.

After records are created and captured, one other important aspect of records management process is the maintenance of records. It was seen from the findings that there was no significant difference with regards to how records were maintained in the two universities. The two universities used both manual and electronic methods for maintaining records.

Records Disposal Practices

From the descriptive statistics, it was found that inactive records were largely archived by both universities and queries were the main punishment meted out to administrators who deliberately destroyed records. Furthermore, it was revealed that, both institutions documented disposed records.

Records disposal methods also form an important part of records management process. It was seen from the chi-square results that there was no

significant difference in terms of how records were disposed off between the two universities. Records were mostly archived in the two universities when they became inactive.

Challenges of Records Management Practices

On the challenges facing both institutions, it was found that shortage of filing space was the major problem for both institutions, however, misfiling and missing files were more pronounced in university A as compared to university B.

The results indicated that there was significant difference in terms of the challenges that the universities faced in managing records. In university A, poor staff knowledge was a challenge in keeping records since inadequate knowledge will not enhance effective records management practices. University B on the other hand indicated that their records management staff were well equipped with the knowledge required to manage records effectively. In terms of security of records, records management staff in University A agreed that security of records is a major challenge facing records management in the university. University B on the other hand disagreed that security of records is a major challenge to keeping records.

Conclusions

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

The study concluded that, there exist differences in the filing systems used for records creation and capturing between the two universities considered. While the public university in the study uses the alphanumeric system of filing, the private university uses the subject filing approach for creating and capturing records. This finding on alphanumeric system of filing is in conformity with the Big Bucket theory that underpins this study. Which means large amount of records are put into series or bucket such that records that have similar characteristics are placed together for easy retrieval and used. Alpha numeric filing system makes filing and retrieval of documents easy, thereby reducing the risk of mismanaged files. However, university A and university B had differences in the filing systems used for records creation and capturing. These differences may be as results of the differences in their years of establishment and the administrative procedures existing in those institutions. This implies that, the filing systems enhance easy retrieval of records by administrative staff in the two institution.

On the maintenance of records, it can be concluded that, the administrators understood the concepts of manual and electronic records management in both institutions. And also largely used file indexes/label to retrieve their records. The state of the records keeping was rated as good in both universities. Computers were the major sources of maintaining and preserving electronic records. Furthermore, it was also concluded that there was no difference with regards to how records were maintained in the two universities. This shows that both institutions maintained and preserved records manually and electronically. On the disposal practices, it can also be concluded that there was no difference in terms of how records are disposed off between the two

universities. This also implies that public and private universities archived records when they become inactive.

Challenges faced in records management would not enhance effective records management. The study concluded that, poor staff knowledge was one major problem facing records keeping staff in University A. Unauthorized access to the universities information could mar the process of records management. Inadequate security of records was also identified as a challenge in the universities since unauthorized persons can easily have access to this information. The implication here is that if the management of the universities fail to take necessary steps in putting measures to solve the challenges of records keeping among administrative staff, it may lead to the gradual collapsing of institutions offering higher educational programmes. Therefore, management should address these issues by moving from paper to paperless records keeping which will minimize the challenges in the institution. The study further concluded that, there were differences among the identified challenges associated with records management practices across the universities

Policy Recommendation

It is recommended that, Universities should increase the number of workshops and training programmes organized for their administrative staff, since poor staff knowledge was identified as a challenge to records keeping in the universities.

Staff should be sensitized and made to understand the importance of creating and managing records and also, see it as part of their responsibilities.

Management of the university A should put up measures that will ensure the security of its records against unauthorized access. When the university's

records are not properly secured, this will lead to leakage of important and relevant information that is not to be made known to the public.

The management of universities should make an effort to enlarge their storage facilities of records. This recommendation is essential because the researcher observed that the filing space of records was fully packed leaving some records being kept in inappropriate places. The keeping of records on floors is likely to cause damage to such files and this problem affects management in their decisions making.

Suggestion for Further Research

Areas of further research that were identified include a similar study to be carried out on other sectors of higher education. There is the need to extend the research to other offices that handle university records not limiting it to the administrative staff in order to establish the practices and procedures of records management in these offices.

Also, this study focused on records management from the point of view of records managers; there is also a need to evaluate the service from a user's point of view. Finally, there is a need to carry out research to establish effective ways of preserving electronic records of archival value in the universities.

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**APPENDIX A
QUESTIONNAIRE**

**Comparative Study of Records Management Practices in Tertiary
Institutions in Ghana: A Multiple Case Study**

Good morning/afternoon/evening. I am Mrs. Ernestina Dasmani from University of Cape Coast. I am here to collect data for my MPhil thesis on Comparative Study of Records Management Practices in Public and Private Tertiary Institutions in Ghana. The Case of Cape Coast and Methodist Universities. You have been randomly selected to participate in the survey. I promise that the responses you give will be treated with strict confidentiality. Your responses will be added to those of other respondents for a general analysis so there will be no way of figuring out your specific responses after the analysis is done.

Section A: Demographic Characteristics

1. Gender: Male [] Female []
2. What is your highest educational qualification? Secondary []
Tertiary [] Others (Specify)
3. How many years have you worked with the University? Less than five
years [] 5-10 [] 10-15 [] 15-20 [] above 20 []
4. What category of staff do you belong? Senior member [] Senior staff
[] Junior staff [] Other please specify

Section B: Creation and Capturing of records in the University

5. Which records do you create in the course of your work? 1. Medical []
2. Human Resource [] 3. Stores Inventory [] 4. Finance [] 5.
Asset [] Others specify.....
6. Has the University issued guidelines and procedures on the creation
and capturing of records? 1. Yes [] 2. No []
7. What is the main filing system used for records keeping in your
department / unit? 1. Alpha Numeric [] 2. Subject filing [] 3.
Others specify.....
8. Does the filing system of the University support accurate capturing and

easy retrieval of records? 1. Yes [] 2. No []

9. How will you rate the filing system of the University in terms of the following? 1. Very Good [] 2. Good [] 3. Poor [] 4. Very Poor []

Section C: Manual Records Management in the University

10. What do you think is the meaning of a Manual Record? (Please tick only one)

a. Information created and maintained on Computer Systems for business transaction	
b. Information created and maintained in Papers for business transaction	

11. What is your understanding of Records Management? (Please tick only one)

a Information created, captured, received, maintained, used, disposed or preserved	
b Information created and published in books, journals and magazines	

12. Do you consider Records Management as part of your responsibilities?

Yes [] No []

13. If yes, what role do you play in Records Management? 1. Daily update of the Electronic Record System [] 2. In charge of the security of the Electronic Record System [] 3. Ensure that the physical location of records is secured [] 4. Create, file and retrieve folders/files []

14. Do you keep records on daily activities performed 1 Yes [] 2. No []

15. How are records maintained in your Department? 1. Manual Format [] 2. Electronic Format [] 3. Both Manual and Electronic Formats []

16. Which of the following methods do you use for retrieving records/files in your department? 1. Drawer labels [] 2. File Indexes [] 3. Automated Retrieval System [] Others specify.....

17. In your estimation, how many minutes does it take to retrieve a record at the time of request? 1. 1-10mins [] 2. 11-20mins [] 3. 21-30mins [] 4. Above 30mins []

18. How do you rate the state of Records Management in the University? 1. Very Good [] 2. Good [] 3. Poor [] 4. Very Poor []

Section D: Electronic Records Management

19. What is your understanding of Electronic Records? 1. Information created and maintained in Papers for business transactions [] 2. Information created and maintained on Computer Systems for business transactions []
20. Does your university have electronic records? 1. Yes [] 2. No []
21. How do you maintain and preserve the electronic records? 1. Computers [] 2. External Drives [] 3. Compact Disks [] 4. Micro Film [] 5. Hard Drive [] 6. Others specify.....

Section E: Record disposal practices in the University

22. Does the University have adequate storage location for its records? 1. Yes [] 2. No []
23. Which storage media do you use for keeping records? 1. Folders [] 2. Compact Disks [] 3. Micro Film [] 4. Hard Drive [] 5. Registers [] 6. Others specify.....
24. Is your Department's records storage location secured against unauthorized access? 1. Yes [] 2. No []
25. Is your Department's records storage location conducive for its records and retention periods? 1. Yes [] 2. No []
26. Have your Department's separated active records from inactive records? 1. Yes [] 2. No []
27. How does your Unit deal with its inactive records? 1. Archived [] 2. Destroyed [] 3. Transfer []
28. Have the University established records retention and disposal schedules for all its records? 1. Yes [] 2. No []
29. Has the University put in place guidelines and procedures for the physical destruction of expired records to avoid inadvertent destruction and leakage of sensitive information?
1. Yes [] 2. No []

30. What sanction is meted out to staffs that accidentally or deliberately destroy records in the University? 1. Query [] 2. Internal Fines [] 3. Internal Demotion [] 4. Others (if any).....
.....
31. Are the disposals of records documented? Yes [] No []

Section F: Problems or challenges associated with Records Management (tick as many as possible)

32. Indicate the extent to which you agree or disagree with the existence of the following challenges at your department regarding records keeping.

Challenges	Strongly Agree	Agree	Disagree	Strongly Disagree
Shortage of Filing Space				
Misfiling and Missing files				
Damage of records				
Poor Condition of storage Location				
Shortage of Record Staffs				
Poor Staff Knowledge				
Inadequate Management Support				
Hardware and Software unavailability				
Security Issues				

33. Please indicate any other challenges you face with records management
.....
.....
.....
.....
.....

34. What do you suggest to help improve the state of records management in the University? 1. Adoption of an integrated Electronic Records Management System [] 2. More Training for Records Staff [] 3. Conducive Storage Location [] 4. Adequate Records Staff [] 5. Enlarge Storage Location [] 6. Address Security Issues []

APPENDIX B
INTRODUCTORY LETTER

