

Application of ARMA information governance maturity model for assessment of records management programme at Chancellor College, University of Malawi

Jessy Mphunda

University of Malawi

jmphunda@unima.ac.mw

Nathan Mnjama

University of Botswana, Gaborone, Botswana

nmnjama@ub.ac.bw

Received: 17 March 2022

Revised: 16 April 2022

Accepted: 08 August 2022

Abstract

Institutions, whether public or private, create records in the course of conducting their business. Records constitute a vital resource for any organisation, including universities. They are important as they provide the information needed by decision-makers and promote accountability. This study assessed the records management programme at Chancellor College, Malawi, using the ARMA Information Governance Maturity Model. Data for the study were collected through face-to-face interviews with purposively selected participants, an examination of document analysis and non-participant observation. The findings of the study revealed that there is accountability in the records management programme although the responsibility for the records management function is delegated to individuals who do not necessarily have relevant qualifications in the area of records management. The findings also revealed that there is partial compliance with the existing legal and regulatory frameworks in the country. In addition, the findings indicated that retrieval of records, especially semi-current records, is problematic due to insufficient storage space and inadequate storage equipment. Based on the findings, the study concluded that using ARMA Information Governance Maturity Model, the level of maturity of the records management programme at Chancellor College is in the developmental stage. The study recommended that Chancellor College should develop and implement a records management policy and records retention and disposition schedule, train existing staff and provide resources and equipment for managing records so that records in these systems remain authentic and reliable. The study also recommends the development of a national policy on managing university records by the National Archives and Records Services in Malawi as a whole.

Keywords: Records management, universities, records management programme, ARMA, information governance maturity model, Chancellor College, Malawi

1. Introduction

An efficient records management programme provides reliable information needed for the effective functioning of institutions through facilitating the achievement of an institution's mandate and enhancing efficiency and competitiveness, helping the organisation preserve institutional memory, thereby promoting an audit culture and fostering trust, transparency and accountability while at the same time ensuring compliance with legal mandate (Touray 2021:1-2). In addition, a records management programme must provide a reasonable level of protection to records at varying degrees, depending on the type of record. Unless records are carefully

managed and protected, it is impossible to guarantee their availability, authenticity and usability over time and across sites. Proper records management helps universities manage their records efficiently to fulfil their mandates, protect themselves from lawsuits, preserve their institutional memory and promote good governance (Tagbotor, Adzido & Agbanu 2015; Chinyemba & Ngulube 2005). For these reasons, it is ideal that records management programmes comply with available legal and legislative frameworks. Association of Records Managers and Administrators (ARMA) (1999) acknowledges that a records management programme should be guided by a records management policy and be informed by the laws of the country such as the Access to Information Act and the National Archives Act. According to Musembe (2016:15), a robust records management programme should be informed by the laws of the country such as the Access to Information (ATI) Act, Data Protection Act and National Archives Act. She further asserts that a good records management programme should ensure that records are controlled, cared for and disposed of in an effective manner when their approved retention period expires.

A sound records management programme assigns responsibility for the programme. It is generally assumed that good practice should assign a senior executive within the organisation to champion a records management programme. ARMA (2013) advises that it is the responsibility of the individual assigned to oversee the records management function to ensure the programme complies with all legal requirements and related regulations and professional codes of practice. A well-established records management programme must have a policy in place. The policy is an important legal document guiding how the institution creates, uses, stores, maintains, retains and disposes of its records that are no longer required to support the current business of the organisation. ARMA (2013) recommends that the records management policy should be endorsed, distributed and made known to everyone in the organisation and that staff should be trained in and oriented to the policy and the importance of adhering to the requirements of the policy. In addition, ARMA (2013) recommends that a records management programme should be able to provide varying degrees of protection to records, depending on the type of security classification assigned to the record. Unless records are protected, it is impossible to guarantee their availability, authenticity and usability over time and across sites. Besides, records management programmes must put measures in place that ensure that records are complete and protected from unauthorised or accidental alteration.

A sound records management programme is an asset to a university as it ensures the availability of records. Touray (2021:2) posits that that it is important to manage records in universities as their operational continuity depends on the availability of useful and reliable records of past and present activities. In this regard, ARMA (2013) asserts that a records management programme must provide access to records across time and in changing technical environments by making sure users can locate and retrieve records and that the required technology for manipulation is available. On the other hand, poor records management means universities do not have ready access to authoritative sources of administrative, financial and legal information to support sound decision-making or the delivery of programmes and services. Based on the role records play in the effective management of institutions and the need to ensure universities reap benefits from effective records-keeping practices, this study sought to assess how Chancellor College in Malawi managed its records and archives.

1.1 Contextual setting for Chancellor College, Malawi

Chancellor College is the largest and oldest academic institution among the four constituent colleges of the University of Malawi (UNIMA). The college was first established under the University of Malawi Act of 1964. The college comprises the University Council, Central

University Management, the Senate, and at college level, each institution has college academic and administrative structures (UNIMA 2017). On 14 March 2019, the Malawi Parliament approved the delinking of UNIMA's colleges to become three separate public universities. As a college, Chancellor College is committed to achieving sustainable social, economic and technological developments in Malawi through the continued and ever-increasing supply of society with well-educated graduates in a wide range of disciplines and innovative research relevant to Malawi and the region beyond. In the course of carrying out its business activities, the college creates various records, including personnel, medical, academic and financial records. The college operates a decentralised records management system in which each business unit maintains its own records.

The college principal as the chief executive officer of the college has absolute oversight over all matters of the college and is responsible for all the records created and held in the college. The college registrar is the administrative manager of the college and provides guidance and support to every section of the college. The assistant registrar: academic (ARA) handles all academic matters and is the point of contact for staff and students on academic matters, and acts as liaison officer in the administration of information and technology (ICT) matters. The ARA is also responsible for the registry where student academic records are kept. The college registrar's office has responsibility for the safekeeping of all clerical, technical and support staff records. The college has an ICT section headed by the ICT director who is the chief custodian of electronic information created or received by the college. The college operates a clinic, which works under the supervision of a clinical officer and creates and maintains patient records that are managed at the clinic. The college also operates an academic library providing access to various information resources, both in print and electronic format, to support teaching, learning and research. The library has a special collection section responsible for the collection of special publications such as UN publications, World Bank Collections and Malawiana collection.

Although Chancellor College has a records management programme in place, there is no evidence that the programme has ever been audited or benchmarked against any records management standard to determine its performance and the areas that may require further improvements. As such, the level of maturity for this records management programme remains unknown. This study, therefore, sought to assess the level of maturity of the records management programme at Chancellor College using the ARMA Information Governance Maturity Model.

1.2 Theoretical framework

This study was anchored on the ARMA Information Governance Maturity Model, which was developed by the Association of Records Managers and Administrators, commonly referred to as ARMA International, to identify characteristics of an effective records-keeping programme based on the Generally Accepted Recordkeeping Principles (GARP). Specifically, the model aims at:

- (i) identifying and providing evidence of good practice in records management
- (ii) providing evidence of compliance with the Freedom of Information Act and its Code of Practice
- (iii) identifying gaps and areas of weaknesses that may require improvement
- (iv) measuring the extent to which at institution views records management as an operational and strategic priority (Jisc 2013)

According to Monteiro and Maciel (2020:111), a maturity model describes the growth of an entity over time and has levels containing requirements that must be met by an entity to be at that level, and these levels are in sequential order. There are several maturity models that could have been used for this study such as the eDiscovery Community's Unified Information Governance Reference model and the JISC Infonet's Records Management Maturity model. ARMA developed its model in 2007 based on GARP. The ARMA Information Governance Maturity Model is a tool designed to systematically guide the evaluation of an organisation's maturity in the areas of records-keeping and information-related activities. The model is recommended as the best framework for carrying out initial assessments of records-keeping programmes and practices as it tests processes, roles, standards and metrics that ensure effective and efficient use of records in support of an organisation's goals and business objectives. Popovici (2021:114) recommends the use of GARP as a systematic and more measurable way.

2. Statement of the problem

Records are an important asset in any organisation as they provide evidence of business transactions and activities, and the basis on which sound decisions are made. Phiri and Tough (2018:3-7) posit that managing this vital resource is crucial for institutions of higher learning. A study conducted by Kambwiri (2012:38) at Chancellor College revealed cases of missing files or missing parts of files, hacked official email addresses, theft of computers containing confidential information and the absence of a policy to guide the use of information. The study by Kambwiri (2012:38) raised other concerns suggesting that the records management programme at Chancellor College faced challenges in accountability, protection and compliance with legislative requirements. The issues raised by Kambwiri (2012) could be symptoms of a records management programme that is not performing well according to the set norms. A study conducted by Benta, Kurgat and Ndiku (2019:59-60) indicate that problems with accessing and retrieving records are one of the indications of a records management system that is not functioning well.

As a public institution, Chancellor College is expected to comply with the provisions of various laws, including the Access to Information Bill, which was assented as the ATI Act, 13 of 2017. A review of literature on managing university records in several African universities indicated that most of them faced challenges in managing their records and had never conducted records management audits to determine the actual state of their records management programmes. Hence, this study sought to assess records management programme at Chancellor College using the ARMA Information Governance Maturity Model.

3. Objectives of the study

The broad objective of the study was to assess the maturity level of the records management programme at Chancellor College, Malawi, using the ARMA Information Governance Maturity Model. Specifically, the study sought to:

- 1) determine the legislative, regulatory and policy frameworks for managing records at Chancellor College, Malawi
- 2) determine the current records management practices at Chancellor College, Malawi
- 3) identify the challenges impacting upon the effective management of records at Chancellor College, Malawi
- 4) examine the level of maturity of the records management programme at Chancellor College, Malawi.

4. Methodology

This study used the interpretive paradigm, which seeks to understand the experiences and perceptions rather than relying on numbers of statistics (Thanh & Thanh 2015:24). The study was an exploratory case study that examined a phenomenon that has not been investigated before in Malawi. The target population was 430 respondents distributed across five faculties, 25 academic departments, five administrative departments and five academic and research centres. Purposive sampling was used to select 130 respondents responsible for handling records within their respective units or who had supervisory responsibilities for managing records within their respective departments. Data for the study were collected with semi-structured face-to-face interviews that were recorded. Personal observations were used to collect data on the records storage conditions. Document review was also used in examining existing legal documents affecting the management of records. The reviewed documents included the college records management policy, records procedures manuals, records retention and disposition schedule, the college's strategic plan.

5. Literature review

This section provides a review of pertinent literature on managing university records, literature relating to managing university records generally, legislative requirements for managing university records, the challenges of managing records and, finally, literature on records management audits.

5.1 Records management practices in universities

In universities, records are created in the course of teaching, learning, research and development. Proper management of records helps universities fulfil their mandates, protects them from lawsuits, preserves their institutional memory and promotes good governance (Luyombya & Ndagire 2020:1; Mosweu & Rakemane 2020:103). The evolvment and adoption of a proper records management programme in universities are beneficial in several ways. Mnjama and Bothole (2010) posit that effective management of university records is a strategic necessity. It helps achieve good governance by ensuring sound decisions can be made based on full, accurate and up-to-date information and by ensuring the rationale for those decisions can be traced, scrutinised and justified as necessary. Mnjama and Bothole (2010) emphasised that records and archives are a valuable asset that provides an institutional memory and lays an audit trail of evidence of policies and activities. They ensure a reliable and authentic knowledge base, enabling the past to be reconstructed and understood. By documenting the significant decisions, transactions, achievements and events of the university's political, academic, social and economic life, they serve as the essential link on its chain of human history.

Seniwoliba, Mahama and Abilla (2017) acknowledged the essential role records management plays in a university setting as that of providing continuity through accessibility and availability of records of past activities and programmes, thereby preserving institutional memory. Through the effective management of records, universities are able to provide evidence of their performances and help in the provision of services. Phiri (2015) asserts that a records management programme provides reliable records needed in decision-making. Records management enables easy retrieval of information and cost reduction in terms of duplication and increase in the efficiency of the institution and an inflation of its operating costs. A good records management programme also helps to protect universities from litigations. In case of lawsuits, records provide evidence needed to defend the institution (Major & Omenu 2016;

Phiri 2015). All these arguments point –out that a sound records management programme ought to show maturity in the areas of accountability, transparency, integrity, protection, compliance, availability, retention and disposition.

In a university setting, records constitute one of the major assets whose value goes beyond the boundaries of the university. It is undisputable that some records of the university contribute to discussion, debate and inquiry, hence its impact is beyond the immediate environment (Akporthonor 2011; Akpor & Udensi 2013). Similar views were expressed by Chinyemba and Ngulube (2005) that proper records management can effeciciently contribute to managing information created and held in universities, contribute to the attainment of their mandate, protect them from costly litigation and foster good governance and transparency.

5.2 Legislative requirements for records-keeping in universities

Universities do not operate in a vaccum and the need for them to comply with legislative requirements cannot be overstated. Good records keeping is not only a critical factor in the successful management of both public and private sector organisations, but is also a legal requirement. Zirco Data (2018:1) argues that, “By understanding the essential elements of regulatory compliance, you can give yourself peace of mind knowing you’ve protected your business from loss or legal vulnerabilities.” Zirco Data (2018:1) further states that it is of vital importance that each organisation should take note of the fact that, “There is no one-size-fits-all when it comes to legislative retention requirements. Different regulations are applied to different types of information and vary between industries. It’s critical that you familiarize yourself with the regulations and specifics that apply directly to your documents”. All organisations, whether public or private, must retain records documenting their activities in order meet legislative, financial, operational and historical requirements within the environments they are operating. Hence, it is critical that each public or private organisation aligns its activities to the legal requirements relating to records and information management. Compliance with legal requirements fosters accountability and good governance in the private sector where business activities are not open to public scrutiny (Agere 2000). A study by Kamatula in Tanzania (2010) revealed that the university’s records management system was affected by various laws, including the University Act and the Tanzania Audit Act.

5.3 Challenges in managing university records

The reviewed literature shows that several universities are faced with challenges in managing their records. Iwhiwhu (2005), Coetzer (2012), Phiri (2015), Musembe (2016), Major and Omen (2016), and Mohammed, Tetteh and Azuma (2018) found that universities’ records management programmes have hardly been guided by policies and procedures. Khumalo and Chigariro (2017) and Mohammed et al. (2018) indicate that the availability of professional and qualified records management staff is one of the major challenges affecting effective and efficient management of records in universities. For the reason, these researchers call for a rethink of the ways universities train their records management staff. In a study on managing records at the University of Dar es Salaam in Tanzania, Kamatula (2010) identified lack of adequate storage space as one of the major factors contributing towards records management problems in the university. Problems of managing records in a university was also reported by Coetzer (2012) who came to the conclusion that “the infrastructure of records management appears in danger of collapsing in various departments and particularly in the university’s administrative offices” (Coetzer 2012:103). Moreover, Coetzer (2012:103) also states that, “the university did not have a clearly defined formal records management policy or program to

manage, maintain and preserve the bulk of physical and electronic records created on a daily basis”.

A recent study by Pitsonyane (2021) on records management at Botho University in Botswana also showed that although the institution was an ISO 9001-2008 certified institution, it still faced challenges in managing its records. These and other cases are a clear indication that managing records in most academic institutions in Africa is problematic and needs attention. Studies conducted elsewhere on managing university records, provide evidence that records management is a neglected area of general administration (Abdulrahman 2015; Akpor & Udensi 2013; Asogwa 2013; Akporhonor 2011). Records kept without following any defined arrangement or control may lose their value as evidence resulting in over-dependence on individual memory. Universities may be unable to account for their actions due to loss of evidence through records (Katu 2015). Although many studies have been undertaken in this area, very little has been done to identify the maturity levels of records management programmes in universities, especially in Africa and developing countries as a whole. Rafoneke (2018) used the model in a similar study at the University of Lesotho.

5.4 Maturity levels for the records management programme

Information governance has been defined differently by several schools of thought. Gartner (2021) defines information governance as “specifications of decision rights and an accountability framework to ensure appropriate behaviour in the evaluation, creation, storage, use, archiving and deletion of information.” The term was introduced by Donaldson and Walker in 2004 as a framework to support the work at the National Health Society in the USA. Information governance, according to Tallon, Ramirez and Short (2014), aims to maximise the value of information to institutions by making sure that information is reliable, secure and accessible for decision-making and to protect information so that its value to the organisation is not lost through technology or human activities, loss of timely access, inappropriate use or misadventure (Gartner 2009).

According to Smallwood (2014) and Lomas, Makhlof Shabou and Grazhetskaya (2019), information governance is a subcategory of corporate governance covering records management, content management, IT and data governance, information security, data privacy, litigation, readiness, regulatory compliance, long-term digital preservation and business intelligence. A review of literature relating to information governance shows that several information governance models have been developed in the past to help in assessing and measuring information management and governance maturity. One of the information governance models is the Unified Governance/Information Governance Reference Model that was developed by the eDiscovery Community. The model was further developed by the Compliance Governance and Oversight Council in 2012 and reviewed in 2017. JISC Infonet also developed a model for assessing the level of maturity known as Records Management Maturity Model to help further and higher institutions in England and Wales to assess how they are meeting the requirements set by the Lord Chancellor’s Code of Practice on management of records. ARMA developed its model in 2007 based on GARP.

6. Study findings

Below are research findings based on the data collected through interviews, observation and document analysis. The findings of the study are presented in line with the objectives of the study. The main objective of the study was to assess a records management programme at Chancellor College using ARMA’s Information Governance Maturity Model.

6.1 Legislative, regulatory and policy frameworks

The first objective of the study sought to determine existing legislative, regulatory and policy frameworks for managing records at Chancellor College, Malawi, and whether the records management programme complies with the existing regulatory and policy frameworks in the country. ARMA International's Governance Maturity Model states that an organisational records-keeping programme should be constructed to comply with applicable laws and regulations in the country as well as its own organisational policies. The findings of the study indicated that the records management programme at Chancellor College is subject to the following laws: the National Archives Act; Occupational Safety, Health and Welfare Act; UNIMA Act; Access to Information Act as well as institutional policies and procedures. The sections below provide a discussion of how each of the laws indicated above affects records-keeping practices at Chancellor College.

6.1.1 Malawi National Archives Act, 1975

Section 7(2) of the Malawi National Archives Act defines public records as “any documents of any prescribed body, which are in the custody of such prescribed body.” Based on this definition, the records created and held by Chancellor College, which is a public institution established and funded by the government, are public records and subject to the provisions of the Malawi National Archives Act. This Act stipulates that records of public institutions must be deposited with the National Archives or any other place approved by the Minister in charge of the National Archives.

The findings of the study also indicated that respondents were aware of the National Archives Act and acknowledged that as a public institution, the College is required by the Malawi National Archives Act to keep records. However, all respondents indicated staff from Malawi national archives officers had never visited the college to select archives and provide guidance on the management of university records. This finding is similar to those of a study by Phiri (2015) that also found that the Malawi National Archives Act has a bearing on how public institutions manage their records. Ngoepe (2016:339) found that the records and archival system in South Africa is driven by the National Archives and Records Service Act.

6.1.2 UNIMA Act, 1974

Section 4(3) of the UNIMA Act empowers the Registrar of the College to “keep and maintain a register of members of the university which shall be available for scrutiny by the general public at all times.” Section 4(3) of the UNIMA Act stipulates:

- “The Registrar shall be the custodian of all the records of the University.
- The Registrar shall keep a register of all members of the University and their respective qualifications.”

A review of policy documents held by the college established that the responsibility of managing records at Chancellor College is vested in the Office of the Registrar. Respondent A from the finance office and Respondent B from the Faculty of Social Sciences were emphatic that the statutes of this Act are clear about this responsibility. This finding is similar to those of the study conducted in at the National University of Lesotho by Rafoneke and Mnjama (2019), which established that the management of university records at the university is vested in the Registrar.

6.1.3 Malawi Occupational Safety, Health and Welfare Act, 1997

This Act aims to ensure a secure and healthy environment for all employees in the workplace. It spells out the duties of an employer, how the workplace should be kept in terms of cleanliness, ventilation, temperature, lighting, fire prevention, dust and fume removal, records to be kept and preserved, as well as offences, penalties and legal proceedings associated with non-compliance with the Act. Hence, this study sought to establish if the records at Chancellor College are held in a healthy environment. The findings of the study found that records and records management staff were exposed to unclean and dusty environments, especially in the records storage areas, which is contrary to the provisions in this Act. The storage rooms were found to be full; therefore, cartons of records were placed on the floor. Dust, leaking roofs and cobwebs were also a hazard to human health.

6.1.4 Malawi Access to Information Act, 2016

The Access to Information Act was assented to by the President of Malawi in February 2017 to provide for access to public information and was operationalised on 30 September 2020. It makes provision for all public institutions, including statutory bodies and those benefiting from public funds, to provide access to information in their custody. It also makes provision for the processes and procedures related to obtaining that information.

The Act stipulates the need for trained staff and infrastructure for managing information. It also restricts access to certain types of information such as personal information and ongoing academic or recruitment processes information and prescribes the types of documents/records public institutions must keep. Based on the provisions of the Malawi Access to Information Act, the study sought to determine whether Chancellor College complied with this Act. The findings revealed that access to records was a challenge, due to inadequate infrastructure and lack of trained personnel. This finding is similar to those of Luyombya and Ndagire (2020) who conducted similar studies on records management procedures and service delivery in private universities: a case study of the Islamic University in Uganda.

6.1.5 Malawi Electronic Transaction and Cyber Security Act, 2016

The Malawi Electronic Transaction and Cyber Security Act, 2016, is a legal instrument that regulates activities around information and communication technology and facilitates competition, development of ICT and participation of Malawi in the information age and economy. As a developer and consumer of ICT products and services, Chancellor College is expected to comply with the provisions of this Act.

According to Part I, section 3, the objectives of the Act include but are not limited to:

- (a) Ensuring that the development, deployment and exploitation of information and communication technology within the economy and society and related legal provisions shall balance as well as protect the community and individual interests including privacy and data protection issues.
- (b) Addressing ethical issues in the use of information and communication technology to protect the rights of children and the underprivileged
- (c) Putting in place mechanisms that safeguard ICT users from fraud, breach of privacy, misuse of information and immoral behaviour brought using ICT

6.1.6 Public Finance Management Act, 2003

The Public Finance Management Act, 2003, was published on 20 June 2003. Section 78(1-4) of the this Act compels statutory bodies to keep proper accounts and records of their transactions and financial positions and ensure that all payments are made correctly and authorised properly; keep accounts and records referred to above in ways that facilitate the preparation of financial statements required by section 79 and enable proper and convenient audits; keep accounts and records required in subsection(1) following generally accepted accounting practice; and retain all the accounts and reports in subsection (1) for not less than seven years after completion of the transaction to which they relate. Under this Act, it is an offence to refuse to produce records when required to so by the auditors. Failure to produce records required by auditors attracts a MK500, 000 fine for statutory bodies, and the chief executive of the said statutory body will be guilty of an offence if the statutory body acts against the Act. Respondent A who works in the finance section of the college referred to this Act as being the one that requires the finance section to keep records of its transactions.

6.1.7 Records management policy

One of the fundamental questions that the study sought to determine relates to the availability of a records management policy at Chancellor College in Malawi. The findings of the study indicated that the college lacked a comprehensive records management policy. Respondent D who works at the administration indicated that although the college does not have an operational records management policy, the document is available in draft form. Respondent B who works in the Faculty of Social Science responded that, “I do not know if there is a policy regarding the management of records”. On the other hand, Respondent E, who works in the Office of the ARA stated that she had never seen any records management policy. Attempts by the researchers to locate the draft records management policy did not yield any results. Ngoepe (2016:347) observes that without a policy in place, it would be difficult for an institution to meet legislative requirements such as the Access to Information Act.

6.2 Records management practices at Chancellor College

The second objective of the study sought to determine the current records management practices. In order to address this broad issue, several aspects relating to the management of Chancellor College are discussed in the following sections.

6.2.1 Records management system

The study sought to determine the current records management practices at Chancellor College. Therefore, respondents were asked to state the type of records management system used by the College. All the interviewed respondents agreed that the college operates a decentralised records management system for both electronic and paper records. Respondent D explained that personal files are maintained at the administration, finance office, University Central Office and at departmental offices. The same respondent further explained that, “You would find personal files here; you would also find personal files in the Finance. The same personal files are available electronically. What you find here, you will find it at the University Central Office. The head of department would also have the same personal file.”

The findings further showed that all the offices have mini-registries holding records. Student records are kept and managed by the assistant registrar responsible for academic affairs and they have a records room specifically set aside for the storage of students’ records. This finding

is similar to those by Mohammed et al. (2018:12) who revealed that records-keeping practices at Sunyani Technical University in Ghana were based on a decentralised system.

6.2.3 Types of records kept at the college

Another aspect the study sought to establish relates to the types of records created and kept by Chancellor College. Interviews with the respondents revealed that the college keeps academic records, human resources records such as personal files and transactional records as well as correspondences from within and outside the college. The study established that the major types of records created and retained by the college include:

6.2.3.1 Academic records

The study findings revealed that Chancellor College, being an academic institution, creates and keeps academic records that are available in both paper and electronic format. Most of these records relate to student enrolment, examinations, student finances, hostel accommodation, student welfare and more. These records are kept in the Academic Registry, which is under the direct supervision of the ARA. The section has four records officers who are responsible for records of the five faculties of the college. Records are arranged by faculty, programme, year of study and name of the student. The study further established that academic records are managed electronically using the Student Administration and Registration Information System (SARIS). Hard copies are kept in the basement of the building, which also serves as the records room. This type of arrangement in housing academic records is similar to what McLeod (2012:187) recommended as a hybrid environment to provide a better way of managing records so as to benefit from both paper and electronic media.

6.2.3.2 Human resources records

As regards the creation and maintenance of employee records, the study established that personnel records held by the university deal with employment issues such as recruitment, promotions, training, staff welfare and benefits, leave, transfers, dismissals, disciplinary matters, and staff complaints. These records are kept in the principal's office under the direct supervision of the assistant registrar responsible for human resources. The study further revealed that although most of the human resource records are in paper format, efforts to digitise all personnel files records were ongoing. The findings further indicated that the college was in the process of implementing a trial Human Resource Management Information System (HRMIS) for managing personnel records. In terms of arrangement, the study established that human resource records are organised alpha-numerically by surname and kept in steel file cabinets. The digitised records are also arranged alphabetically.

6.2.3.3 Financial records

The study found that the college maintains financial records that are managed in the finance section under the direct supervision of the college finance office. These records are available in paper and in electronic format. The records are filed by the secretary and accounts officers. With regard to the arrangement of records in the finance section, the study established that some of these records are arranged alphabetically, some in alpha-numeric order and some chronologically. In terms of filing equipment used to store financial records, the findings revealed that most of the financial records are kept in steel file cabinets.

6.2.4 Records control mechanisms

A key aspect the study sought to determine relates to the manner in which the records are managed from their time of creation to their ultimate disposition, as archives or are disposed of through shredding, recycling or other means. The section also sought to establish the extent to which the college was using information technology applications in the management of its records.

6.2.4.1 Records creation

The study sought to find out how the college creates its records. All respondents said that Chancellor College uses computers to create and distribute records within and outside the university. Some of these records are held in electronic format while some are printed as hard copies. Personal observation revealed the presence of computers in each registry visited. Some records of the college are received in paper format and others in soft copies. This finding was similar to that of Rafoneke and Mnjama (2019) in a study conducted at the National University of Lesotho which showed that the records that were created there were both in paper and electronic format.

6.2.4.2 Records tracking (monitoring the movement of records)

Audit trails are a means of ensuring that records are not lost, illegally accessed or manipulated. Therefore, this study also sought to find out if the electronic information management system at Chancellor College makes use of audit trails. It was revealed that the electronic information management system of managing students' records (SARIS) has an audit trail. In this way, every entry into the system, including the transactions, is recorded. The following excerpt from Respondent C from the academic records office proffers an important insight on this: "SARIS has an audit trail that keeps records of transactions. For example, an entry into assessment records triggers an automated email, alerting the specific course lecturer of the access."

In terms of paper records, the study revealed that file tracers are used, which record the name of the file, the name of the person who requested the file, the office where the file is going and the date on which the file was brought back. Respondent C explained that records that are not returned are tracked after three days from the day the file was taken out. The tracking form captures information about the date the file was taken out, the name of the student, registration number, course/programme, where the file was taken to and the date the file is returned.

6.2.4.3 Records protection

According to ARMA's Information Governance Maturity Model, a records-keeping programme will be constructed to ensure a reasonable level of protection to records and information that are private, confidential, privileged, secret or essential to business continuity. Based on this understanding, the study sought to determine the measures that Chancellor College has put in place to protect its records and information. Personal observations revealed that all confidential records are kept in lockable steel cabinets. Personal observations further showed that most of these drawers' keys were missing; hence, they were left unlocked, thus compromising the security of personal information contained in the records. Records awaiting filing were kept in ordinary boxes while other records were bundled up, awaiting filing, which takes place monthly, according to Respondents N, O, P and Q who work in the registry as secretaries and clerks. This finding is similar to those of Mohammed et al. (2018:12) who also found that records are not accorded enough security at Sunyani Technical University in Ghana.

6.2.4.4 Records storage and maintenance

The study sought to find out how records are stored and maintained throughout their life cycle and revealed that active records are normally kept in steel cabinets and wooden shelves in the offices, whereas unfiled records are placed in non-archival boxes. Some folders were seen on top of filing cabinets and others in boxes.

The study revealed that the management of semi-active and inactive records is problematic. The researchers observed that storage space for semi-current and non-current records was inadequate as records storage areas were all full to capacity. Respondents D described the storage areas as a “nightmare” while Respondent A described it as a “dumping site”. Some registries and inactive storage areas showed evidence of dust, leakages, pest infestation such as cockroaches, ants, lizards and spiders. This study finding resonates well with the study findings of a study by Mohammed et al. (2018:12) who found that records at Sunyani Technical College in Ghana were stored in poor environments.

6.2.4.5 Records access and retrieval

According to ARMA’s Information Governance Maturity Model, “An organisation shall maintain records in a manner that ensures timely, efficient, and accurate retrieval of needed information. Based on this understanding, the study sought to determine the availability for tools used to locate and retrieve records in the college and the findings revealed that some of the registries had either a file index or a file tracker or both, as tools they used to locate and retrieve current records. The study findings also indicated that retrieval of semi-current and non-current records at Chancellor College was problematic due to the absence of records transfer lists and the disorganised way the records were held in the records storage areas. This was mostly the case with those records held in the inactive records storage room. Respondent D explained that retrieval of current records “is much easier. The longest it would take is two hours while inactive records retrieval is a challenge because ‘the archive’. I think it was not designed to hold as much paper records. We have now so much that if you are looking for a record that is 20 years old or so, it takes such a long time to retrieve.” Mohammed et al. (2018:12) found same at Sunyani Technical University. The consequences of unmanaged records are best summed up by JH Simes, the then assistant records keeper with the Scottish Records Office, when he said, “In the main, there are congestions, frustrations and expense. Congestion when record rooms become cluttered up, frustration when things cannot be found quickly, and expense when staff time is squandered needlessly searching for information which should be readily at hand” (Simes1983:9).

6.2.4.6 Records retention and disposition

According to ARMA’s Information Governance Maturity Model, “An organisation shall maintain its records and information for an appropriate time, taking into account legal, regulatory, fiscal, operational, and historical requirements”. The model further stipulates that, “An organisation shall provide secure and appropriate disposition for records that are no longer required to be maintained by applicable laws and the organisation’s policies”. Records disposition relies on the availability of policies and procedures. Klett (2018) and Netshakhuma (2019) define appraisal as the process of determining the value of records, which helps to decide which records to retain and which to dispose of. Records accumulate over time and if they are not properly disposed of, they take up limited storage space. This lack of space results in misplacement of records and makes retrieval of records very difficult. Much time is wasted by records staff trying to locate records. This is why Mohammed et al. (2018) concluded in

their study that without a robust records appraisal, records management programmes become a nightmare.

For this reason, the study sought to determine the records retention and disposition processes of Chancellor College. The findings of the study revealed that the college did not undertake regular records appraisal, as there were heaps of closed files waiting to be appraised to determine those with historical value and those that could be preserved in archives. A visit to the inactive storage rooms revealed rooms that are full of non-appraised records.

The findings of the study further revealed that the college lacked an approved records retention and disposition schedule. As a result, records that are no longer required to support the current business of the college or those that do not meet the criteria to be preserved as legacy records are never destroyed and are now contributing to the shortage of records storage space. Instances of ephemeral records having been destroyed without following documented procedures were also reported. However, it was noted that all students' records dating back to 1974 when the university was opened are kept at the inactive storage space located at the maintenance section. Ngoepe (2016:343) opines that a retention and disposition schedule ensures disposal of ephemeral records to allow the transfer of records of continuing value from active maintenance to the archives.

6.2.4.7 Managing semi-active and inactive records

Semi-active records require space where they can be stored, maintained and preserved, hence the study sought to establish whether Chancellor College has sufficient space to store, maintain and preserve semi-active records. Personal observation revealed piled up files, as storage spaces were full. A visit to the semi-active and inactive records room revealed a space that was so full that some records were placed close to the doorstep. The storage area was described as a "nightmare" by Respondent D. Respondent A described the records storage area as a "dumping site" as records were not kept in any order. Personal observations confirmed that the storage places resembled dumping sites as the records were heaped up without proper arrangement, making records retrieval very difficult. There was also no person assigned person to manage the storage area. Personal observations by the researchers indicated that some registries and the inactive storage areas were not cleaned regularly and showed evidence of dust, leakages and pest infestation such as cockroaches, ants, lizards and spiders.

6.2.4.8 Disaster management plan

Records are essential resources for organisations. For this reason, they need to be protected from elements such as floods, fire, loss and system failure by putting in place adequate measures to safeguard them. In this regard, the study sought to establish the measures that are in place to ensure that records are not affected by disasters. The response from Respondent D from the Office of the Registrar demonstrated that placing records in multiple sources is one measure put in place. In the words of Respondent D: "Whatever is available, we try to make sure the files, much that they are decentralised, there are some critical files, are centralised. In fact, if you are to follow our system, there is a lot of duplication. It is all part of back up." Respondent D added by pointing to another measure, namely digitising. On this, he said: "We have also embarked on an exercise where we are digitising records so you are actually going to find same data also with the ICT. It is a way of making sure we don't lose records."

6.3 Managing university archives

University Archive Centre is an essential arm of the university as it preserves the institutional memory and plays a vital role in managing the institution's information resources, regardless of media. It identifies, acquires and maintains records of continuing value that affects the development and existence of the institution, making sure that those records are preserved. Based on this understanding, the study sought to investigate if Chancellor College had a university archive that preserves the institutional legacy records. Respondent D from the Office of the Registrar revealed that part of the mandate of Chancellor College Library was to make sure they have records, like in the Malawian Collection, where they keep research and publications. However, the respondent confessed that this was not the case yet as regards other forms of information. Respondent D stated, "But for the human resource records and other things, we do not necessarily have such records in the library. And to the best of my knowledge, we have not really thought of having a university archive." However, he hinted about the possibility of such an archive in future, saying, "That one we have not thought about it, but it could be something that could be important for the future in the near future, as we are delinking where something can be done. As of now, I wouldn't say it is one of the strategic issues right now."

In the case of electronic records, the study revealed that the ICT section was responsible for providing backup services so that these records remained accessible overtime. Respondents A, D and M agreed that the management of such records in terms of provision of backup lies with the ICT section. According to the available ICT policy of the university, the ICT Centre is mandated to provide backup to information. Section 2.3.18 of the college's ICT policy states that, "The ICTC shall ensure that there is a disaster recovery plan and site for all servers and systems."

6.4 ICT application in the management of university records

Technological migration entails moving from one operating technology environment to a new one. It includes total change to new hardware and software or the upgrading of both. The technological environment is volatile as new innovations are constantly being introduced into the market. As such, to remain competitive and operational, it is necessary that institutions keep abreast of the changing technology. The study, therefore, sought to determine how Chancellor College makes sure that it does not compromise the integrity, accessibility and preservation of records created and held in electronic format due to technological changes. Respondent M who worked in the ICT section explained that the ICT department did provide backup services for all data held in all the ICT systems available on campus, which is guided by a policy. Respondent A who worked in the finance section verified the statement, stating that from time to time, the ICT section did provide backup services for the information held in their system. The sections below showed how ICTs were being used by the college to manage specific types of records held by the university.

6.4.1 ICT applications and the management of students records

The study found that Chancellor College had an Integrated Management Information System (IMIS), an in-house developed system developed by ICT professionals, in consultation with mathematicians, with specific focus on users. Although the system housed SARIS, which housed students' records, respondent M who worked in the ICT section acknowledged that there was no involvement of a records manager or any official from the National Archives to provide guidance as far as the management of electronic information is concerned. Respondent M agreed with Respondent E that access to SARIS was through user authentication in the form

of passwords. Respondent M further explained that the management of information in these systems is informed by the ICT policy available at the institution.

A closer look at the ICT policy revealed that there are indeed measures in place to control access to records created and maintained electronically. Section 2.3.22 of the policy states: “The Systems Administrator in charge of a particular system shall be the only authorised person to assign system, network or server passwords for relevant access to the system.”

6.4.2 ICT applications and the management of staff records

In a memo dated 5 October 2020, Chancellor College’s management informed its staff of the Introduction of the HRMIS, which manages data related to human resource and enables members of staff to view and edit some of the recorded data held in the system and to apply for leave and make financial claims. However, the system was still in the trial stage, as indicated by the memo. This is part of an in-house developed application under the Integrated Management Information System, as explained by respondent M. Since this system was being implemented during the period the researcher was conducting data collection and data analysis, the researcher could not collect much information on it.

6.4.3 ICT applications and the management of financial records

Chancellor College used SAGE 300 ERP in the management of its financial records, as explained by Respondent A who worked in the finance section. The respondent explained that the finance system was interlinked with SARIS as well as with the bank software to enable payments made by students to reflect both in the financial management system and on SARIS. The respondent went on to explain that the finance section makes use of SAGE 300 ERP Financial Management Software and payroll system to manage financial records. The study also revealed that access to the payroll system is restricted to three authorised users who log in to the system using authentication details. Backup of the data stored in the system is provided by the ICT section. However, Respondent A expressed concern in that the electronic system was so slow at times due to the volume of data. Respondent A suggested the provision of more servers.

6.4.4 ICT applications and the digitisation of university records

Another aspect this study sought to determine related to electronic records. With regard to this, respondents were asked whether the college had put measures in place to ensure that paper records could be made available electronically. Respondent M who worked in the ICT section and Respondent D who worked in the administration section explained that the college had embarked on a digitisation project where all college paper records would be made available in electronic form. According to Respondent D, at the time of the study in 2021, the college had digitised 70% of the students’ records dating back to 1969 when the college was first established. The study also revealed that personal files were being digitised to make access easy and to act as a backup. When asked what happens to the paper records after digitisation, Respondent D clarified that paper records would continue to be held until further notice. However, Respondent D complained that the process had been hampered by the delinking process in which the college was now an independent institution.

6.5 Challenges associated with managing records at Chancellor College

The third objective of the study sought to identify the challenges affecting the management of records at Chancellor College. It cannot be overstated that an effective records management

system must be supported by adequate resources, including provision of adequate space, equipment and a team of well-trained staff. For this reason, the study sought to identify the issues that might be contributing to the success or ineffectiveness of the records management programme at Chancellor College. The major challenges that were identified during the study included:

6.5.1 Lack of adequate storage space

The study found that inadequate storage space was one of the major challenges affecting the management of records at Chancellor College. As Respondent D rightly stated, “the ‘archive’ was not designed to hold as many paper records as we have now”. This finding is in line with the findings of Seniwoliba et al. (2017), Katekwe and Mutsagondo (2018) and Mohammed et al. (2018:12) in their studies at Sunyani Technical University. On the same, Ngoepe (2016:345) recommends that the storage facilities for records must be big enough to accommodate the daily growth of records. Kamatula (2010) singled out inadequate storage facilities at the University of Dar es Salaam where some records are stored in corridors due to shortage of storage space.

6.5.2 Lack of financial resources

The study found that financial resources are one of the issues affecting records management programme in the college. Respondent M from the ICT section reported, “Since we are a government sub-vented institution, so funds can be delayed”. Respondent E who worked in the Office of ARA attributed the lack of refresher courses in records management to the non-availability of funds. The findings were similar to the study findings by Mohammed et al. (2018:12). This lack of financial resources also affected the provision of adequate storage space, supply of filing equipment and the purchase of computers for the registries.

6.5.3 Misfiling

The study revealed that records management at Chancellor College is hampered by misfiling. Respondent E explained that this problem existed because the workload in the academic records unit is too heavy, such that one records officer is responsible for handling records for two faculties. Respondent B from the Faculty of Social Science also expressed concern that, “secretaries take too long to file records.” This finding corresponds with what Luyombya and Ndagire (2020:13) and Mohammed et al. (2018:12) found in their studies.

6.5.4 Access and retrieval

The study found that delays in records retrieval is an area of concern. Respondent D explained that it is more challenging to retrieve inactive records than it is to retrieve active records. This finding is consistent with similar studies conducted elsewhere in African universities. Mohammed et al. (2018) found a similar challenge in their studies. Similarly, at the University of Zululand, access to student records was also problematic (Coetzer 2012).

6.6 Level of compliance with ARMA Information Governance Maturity Level

The fourth objective of the study sought to determine the level of maturity of the records management programme. One of the major reasons for adopting the ARMA Information Governance Maturity Model for this study was that the model enables researchers to determine whether an organisation’s records management programme is operating within the principles of accountability and responsibility, protection and compliance, availability and retention, and the principle of disposition. Concerning accountability and responsibility, ARMA Information

Governance Maturity Model requires that, “A senior executive (or a person of comparable authority) oversees the recordkeeping programme and delegates responsibility to appropriate individuals.” Studies conducted elsewhere on managing university records provide evidence that records management is a neglected area of general administration (Abulrahman 2015; Akpor & Udensi 2013; Asogwa 2013; Akporhonor 2011). Records kept without following any defined arrangement or control may lose their value as evidence, resulting in over-dependence on individual memory. Universities may also be unable to account for their actions due to loss of evidence through records (Katu 2015). Although many studies have been undertaken in this area, very little has been done to identify the maturity levels of records management programmes in universities, especially in Africa and developing countries apart from Rafoneke (2018) who used the model in a similar study at the University of Lesotho.

Moreover, the organisation ought to have adopted policies and procedures to guide personnel, and ensure the programme can be audited. With regard to the principle of protection and compliance, the findings revealed that Chancellor College, to a certain extent, complied with this principle, even though it was not fully compliant with the legislative requirements within which it operates. The findings of the study revealed that the UNIMA Act, 1974, in Statute VIII, assigns the responsibility of managing records to the registrar, which is an indication that it took records management seriously by assigning responsibility to a high-ranking official in the university. Although there are legal frameworks available, there is partial compliance. The absence of a records management policy and retention and disposition schedules makes compliance even more difficult. As far as compliance with the principles of availability and retention are concerned, the findings indicate that the organisation is retaining records that it requires for its day-to-day activities although the issue of accessibility is often slowed down by an unprocessed backlog of semi-current and non-current records. As far as the principle of disposition is concerned, the findings showed that this was an area that the college has not addressed at all, as evidenced by the large quantities of unprocessed records held in its records storage areas.

As shown by the findings presented above, the records management programme at Chancellor College is still in the developmental stage or level 2 of ARMA’s Information Governance Maturity Model. Studies conducted by Luyombya and Bukirwa (2014) and Rafoneke (2018) found that universities are facing challenges in complying with the available legal and regulatory frameworks and that the absence of a national records management policy has huge implications on records management (Ngoepe & Keakopa 2011).

7 Conclusions

Based on the above findings, the study concludes that the records management programme at Chancellor College required further improvement to fully comply with the legislative frameworks of the country. Storage space for records, particularly semi-current and no-current records, remains a challenge. The lack of approved records retention and disposition schedules resulted in the continued retention of records of ephemeral value, which, in normal situations, ought to have been disposed of. Inadequate number of staff managing records and lack of training for staff charged with the responsibility of managing records were major contributing factors that need to be addressed if the college is to improve its compliance with ARMA’s Information Governance Maturity Model. Above all, the study showed that the National Archives of Malawi abdicated its supervisory role by its failure to provide policy guidelines and regular monitoring of records-keeping practices in the college.

8 Recommendations

Based on the findings presented above, this study recommends that Malawi National Archives, which has statutory responsibility for advising public institutions on the proper management of public records, should intensify its public inspection programme and provide guidance on managing public sector records, including those created and held by public universities in the country. It is also recommended that Malawi National Archives should play a leading role in formulating a national records management policy on managing records from institutions of higher learning. The study further recommends that Chancellor College should formulate a campus-wide archives and records management policy that will guide its records management programme. Without a clearly formulated archives and records management policy, any attempt to manage the archives is likely to encounter problems. It further recommended that Chancellor College should provide adequate and ideal storage space for records, both current and noncurrent. The role played by trained and competent records management personnel cannot be overstated. Hence, the study recommends that all records management staff should undergo basic training in managing records. As a starting point, it is recommended that Chancellor College should invite staff from the National Archives to run a records management sensitisation programme with staff drawn from the key units of the university. In order to address the challenges of unprocessed semi-current and non-current records, the study recommends the appointment of a qualified archivist or records manager who will drive the records management programme, including the appraisal of records and the establishment of a the University Archives Unit. The appointed records manager/archivist should also be responsible for the development of a records retention and disposition schedule for both paper and electronic records. Finally, it is recommended that the Registrar should be more vigilant by ensuring that the college has a policy for managing records as well as the formulation and approval of a retention and disposition schedule. The registrar should also endeavour to provide sufficient storage space for the same and ensure that the college is employing staff with relevant qualifications in managing records. Finally, it is recommended that the university should appoint a college-wide records management committee with representation from all the key departments of the college. The committee should have advisory powers on all aspects relating to the management of the college's records and archives management programme.

References

- Abdulrahman, A.B. 2015. Management of university records for effective administration of universities in North Central Nigeria. *International Journal of Library and Information Science* 7(3):47-54.
- Agere, S. 2000. *Promoting gppd governance: principles, practice and perspectives*. London: Commonwealth Secretariat.
- Akporhonor, B. A 2011, Management of records in university libraries in the South-south zone of Nigeria. *Library Philosophy and Practice*, 671. Available at <http://digitalcommons.uni.edu/libphilprac/671>(accessed 2 August 2022).
- Akpor, P.U. & Udensi, J. 2013. An assessment of records management system in two universities in Nigeria. *Mediterranean Journal of Social Sciences* 13(12). Available at: https://www.researchgate.net/publication/271105319_An_Assessment_of_Record_Management_System_in_Establishment_Division_of_Two_Universities_in_Nigeria. (accessed 2 August 2022).

- Amanchukwu, R.N. & Ololube, N.P. 2015. Excellent school records behaviour for effective management of educational systems. *Journal of Human Resource Management Research* 5(1):12-17. doi:10.5923/jhrmr.201501.2
- Asogwa, B. E. 2013. The readiness in universities in managing electronic records: a study of three federal universities in Nigeria. *Records Management Journal*, 22(3), 198-211.
- ARMA International. 2013. *ARMA International's information governance maturity model*. Kansas: ARMA International. Available at: <https://www.lva.virginia.gov/agencies/records/psrc/documents/Principles.pdf> (accessed: 21 August 2019).
- Benta, N.A., Kurgat, K. & Ndiku, M.2019. Challenges in managing records for effective service delivery in agricultural firm: A case of Kenya Agricultural and Livestock Research Organisation (KARLO) Headquarters, Nairobi. *Advances in Social Sciences Research Journal* 6(10):5-62.
- Chinyemba, A. & Ngulube, P. 2005. Managing records at higher education institutions: A case study of the University of KwaZulu-Natal, Pietermaritzburg Campus. *South African Journal of Information Management* 7(1). doi:<https://doi.org/10.4102/sajim.v7i1.250>
- Coetzer X. P. 2012. The status of records management at the University of Zululand. Master's in Information Science, University of Zululand. Richards Bay. Available at: <http://uzspace.unizulu.ac.za/bitstream/handle/10530/1219/THE%20STATUS%20OF%20RECORDS%20MANAGEMENT%20AT%20THE%20UNIVERSITY%20OF%20ZULULAND.pdf?sequence=1&isAllowed=y> (accessed 3 August 2022).
- Gartner Group. 2021. Glossary. Available at: <https://www.gartner.com/it-glossary/information-governance> (accessed 4 August 2021).
- Hounsom, C. 2001. The records management challenges of amalgamation. *Municipal Monitor*, 1-7.
- International Standard Organisation. 2016. *ISO 15489 2016 Information and Documentation – Records Management*. 2nd ed. Geneva: International Standard Organisation.
- Iwhiwhu E.B. 2005. Management of records in Nigerian universities: Problems and prospects. *The Journal of Electronic Library* 23(3):345-355.
- Jisc. 2013. *Records management maturity model*. Available at: <https://www.jisc.ac.uk/guides/records-management/maturity-model>(accessed 4 August 2021).
- , G. 2010. Managing university records: A case study of the University of Dar es Salaam. MARM dissertation, University of Botswana.
- Kambwiri, K. 2012. An appraisal of information security at Chancellor College, University of Malawi. Master's thesis. Lulea University, Sweden.
- Katekwe, P. & Mutsagondo, S. 2018. Challenges and prospects of records maintenance in public departments: The case of the Midlands Province, Zimbabwe. *Information Development* 34(4):397-407.
- Klett, E. 2018. Theory, regulation and practice in Swedish digital records appraisal. *Records Management Journal* 29(1/2):86-102. Doi:10.1108/RMJ-09-2018-0027

- Khumalo, N. B. & Chigariro, D. 2017. Making a case for the development of a university and archives management programme at the National University of Science and Technology in Zimbabwe. *Journal of South African Society of Archivists*, 50, 67-78.
- Lomas E., Makhlof Shabou, B. & Grazheskaya, A. 2019. Information governance and ethics – information opportunities and challenges in a shifting world: Setting the scene. *Records Management Journal* 29(1/2):2-4. doi:[10.1108/RMJ-03-2019-048](https://doi.org/10.1108/RMJ-03-2019-048)
- Luyombya, D. & Bukirwa, J. 2014. Records management practices in oil marketing companies in Uganda. *Information Development* 30(10):70-79.
- Luyombya, D. & Ndagire, S. 2020. Records management procedures and service delivery in private universities: a case study of the Islamic University in Uganda. *Journal of the South African Society of Archivists* 53:1-19.
- Major, N.B. & Omenu, F. 2016. Records management in higher educational institutions in Bayelsa State: Implications for school administration. *World Scientific News* 26:11-20. Available at <http://www.worldscientificnews.com/wp-content/uploads/2015/10/WSN-26-2016-11-20.pdf> (accessed 19 February 2019).
- Mnjama, N. & Bothole, M. 2020. Records management at the University of Botswana. In Jain, P. & Nfila, R.B, Proceedings of the 19th Standing Conference of Eastern, Central Southern Africa Library and Information Associations (SCESCAL 2010), Gaborone: Botswana Library Association, 383-400.
- Mohammed, S., Tetteh, R. & Azuma, A.A. 2018. Challenges associated with records management in Sunyani Technical University. *Munich Personal RePEc Archive* 89261. Available at: <https://mpra.ub.uni-muenchen.de/89261/> (accessed 2 March 2019).
- Monteiro, E.L. & Maciel, R.S.P. 2020. Maturity models architecture: a large systematic mapping. *Brazilian Journal of Information Systems* 13(2):110 -140.
- Mosweu, O. & Rakemane, D. 2020. The role of records management in ensuring good governance in Africa: impediments and solutions. *Journal of South African Society of Archivists* 53:103-123.
- Musembe, C.N. 2016. Records management in institutions of higher learning: towards the business support function. *International Journal of Library and Information Science Studies* 2(1):13-28.
- Netshakhuma, N.S. 2019. Assessment of the management of student affairs records. *Records Management Journal*, 30(1):23-42.
- Ngoepe, M. 2004. *Accountability, transparency and good governance: the National Archives and Records Service of South Africa's role in helping government to better service delivery to the South Africans*. Available at: www.liasa.org.za/conferences/conference2004/papers/LIASA_Conference_2004_Ngoepe.pdf (accessed 24 June 2022).
- Ngoepe, M. 2016. Records management models in the public sector in South Africa: Is there a flicker of light at the end of the dark tunnel? *Information Development* 32(3):338-353.
- Ngoepe, M. & Keakopa, S. 2011. An assessment of the state of national archival and records systems in the ESARBICA region – a South Africa-Botswana comparison. *Records Management Journal* 21(2):145-160.

- Phiri, M.J. 2015. Managing university records and documents in the world of governance, audit and risks: Case studies from South Africa and Malawi. PhD thesis, Glasgow University, Glasgow.
- Otu, B.O. 2016. Management of students' records at Koforidua Polytechnic: implications for good governance. *Journal of Information and Knowledge Management* 4(11):69-74.
- Pitsoyane K.S. 2020. An evaluation of records management in an ISO Certified Environment: A case study of Botho University. MARM dissertation, University of Botswana.
- Popovici, B.F. 2021. *Generally accepted recordkeeping principles. A presentation.* Available at: http://www.pokarh-mb.si/uploaded/datoteke/Radenci/Radenci2012/12_Popovici_2012.pdf (accessed 19 September 2021).
- Rafoneke, T. 2018. Records management at the National University of Lesotho. MARM Dissertation, University of Botswana.
- Rafoneke, T. & Mnjama, N. 2019. Records management at the National University of Lesotho. *ESARBICA Journal* 38:1-23.
- Seniwoliba, A.J., Mahama, A.V. & Abilla, B.J. 2017. Challenges of records management in higher education in Ghana: The case of University for Development Studies. *International Journal of Educational Policy Research and Review* 4(3):29-41.
- Simes, J.H. 1983. Records management: Is it really necessary, *Records Management 7: Proceedings of a one day Conference held at the University of Dundee*, 6 May 1983. London: Society of Archivists Records Management Group, 1983.
- Tagbotor, D.P., Adzido, R.Y. & Agbanu, P.G. 2015. Analysis of records management and organisational performance. *International Journal of Academic Research in Accounting, Finance and Management Sciences* 5(2):1-16. doi:10.6007/IJARAFMS/v5-i2/1557
- Smallwood, F. 2014. *Information governance: concepts, strategies, and best practices*: New Jersey: Willey.
- Tallon, P., Ramirez, R.V. & Short, J.E. 2014. The information artifact in IT governance: Towards a theory of information governance. *Journal of Management Information Systems* 30(3):141-177. doi:10.2753/MIS0742-1222300306
- Thanh, N.C. & Thanh, T.T.L. 2015. The interconnection between interpretivist paradigm and qualitative methods in education. *American Journal of Educational Science* 1(2):24-27. Available at: <http://www.waiscience.org/journal/ajes> (accessed 25 April 2022).
- Touray, R. 2021. A review of records management in organisations. *Open Access Library Journal* 8:1-23.
- World Bank and International Records Management Trust. 2000. *Managing records as the basis for effective service delivery and public accountability in development: An introduction to key principles for staff of the World Bank and its partners.* London: International Records Management Trust.
- Zirco Data. 2018. In the know: Understanding regulatory compliance in records management. Available at: <https://www.zircodata.com.au/in-the-know-understanding-regulatory-compliance-in-records-management/> (accessed 2 August 2022).