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赞比亚大学记录管理研究

Research on the management of records at the University of Zambia (UNZA)

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摘 要

本文调查研究了赞比亚大学有关记录管理的现状（记录管理效率低、不诚实等），并分析原因提出改进方案。例如，被调查者中有 69.8%的人承认在他们任职期间一些记录消失的事件。他们同样承认他们很难定位并且恢复这些记录。造成赞比亚大学记录管理不善的原因有许多，其中最主要的原因在于赞比亚大学缺乏一项记录管理程序。因此，该大学就没有管理记录政策、记录保留以及销毁计划表、手册和小册子的指导以便于更好地顺利实施记录管理。在这方面，记录负责人以及来自其他大学的雇员就无从晓得他们应该怎样处理记录。许多负责人在保留记录时不明确记录应该保留的时间长度，因此只能过早地处理掉这些记录。由于缺乏指导类的文件作为依据，因此记录不能很好地分类、编排和入档。本项研究同样发现，大学电子记录储存于数据库、电子邮箱以及其他二级存储设备，例如，DVD 光盘、CD 光盘还有软盘等，这些记录很容易地丢失，也需要在专家的指导下统一规范的管理。由于缺乏记录管理程序，同样造成了记录管理功能不能最大限度地享有来自大学的支持。另外，记录管理专家也无法与来自信息技术部门共商大学电子记录管理事宜。赞比亚大学记录管理应该考虑设置适当的管理机构，以便于协调和指导大学的档案管理工作。

关键词：记录管理程序；赞比亚大学；记录，记录管理节目

Abstract

The research discovers that maladministration of records (inefficient and dishonest management of records) is rife at the University of Zambia (UNZA). For instance, 69.8% of the respondents admitted that there are incidents where records under their custody go missing. They also acknowledged that they often have difficulties locating and retrieving in time the needed records. There are a number of factors responsible for maladministration of records at UNZA. The major cause of maladministration of records at UNZA is the lack of a records management program. The university has not drafted and implemented a records management program. As a result, the university does not have a records management policy, a records retention and disposal schedule, manuals and procedures needed for the smooth management of records. In this regard, records officers and other university employees do not know what is required of them when handling university records. Many officers do not know the right retention period of records under their custody hence they dispose them prematurely. Records are not properly classified, indexed and filed because there is no manual to explain how records should be classified, indexed and filed. The research also discovered that the non-involvement of records management experts in the management of the university electronic records is partly also responsible for the frequent loss of records held in databases, electronic mails and those records stored on secondary storage facilities such as DVDs, CDs and Diskettes. The non-availability of a records management program has also resulted in records management functions not to enjoy maximum support from the university management. In addition, it has made it impossible for records management experts to work with their counterparts from the IT department in the management of electronic records of the university. Maladministration of records at UNZA is further compounded by the absence of a competent middle level management office to aid the registrar's office in the coordination and supervision of records management activities in the university.

Key words: Maladministration of records, University of Zambia, Records, Records management program

TABLE OF ACRONYMS

CD-ROM	Compact disc read only memory
DBMS	Data Base Management Systems
DMS	Document Management Systems
DVD	Digital video disc
EMS	Electronic Management Systems
UNDP	United Nations Development Program
HTML	Hypertext markup language
ITCs	Information Communication Technologies
SPSS	Statistical package for social sciences
UNZA	University of Zambia

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CHAPTER 1 INTRODUCTION AND BACKGROUND INFORMATION

1.1 Introduction

Records are one of the indispensable resources of any organization. They are used for administrative, legal and historical research activities. To ensure the integrity of records, a robust records management system should be established and implemented by an organization. A water-tight records management system is needed in organizations so that records are managed in an efficient and ethical manner. It is however disturbing to know that history is replete with cases where public records and private records have been inefficiently and dishonestly managed thus sabotaging government, organizational and individual activities the records intended to serve. This maladministration of records has been reported in both print and electronic media among governmental bodies and other organizations around the globe. Some of these maladministration cases are too severe because they involve the deleting of records intentionally as a way of suppressing the truth about illegal activities of some office bearers. Other cases of maladministration demonstrate a sheer incompetency of the people entrusted with the responsibility of administering records. Zambia has not been spared by this vice. Maladministration of records is rife in both public and private institutions in Zambia. The University of Zambia (UNZA) is one of such public institutions that experience maladministration of records. Maladministration of records is threatening to completely terminate accountability and transparency in the utilization of resources (public resources) meant to better public service delivery to the general citizenry among governmental bodies. Maladministration of records is a cancer that needs urgent medical attention or else it will erode completely the principles and philosophies upon public institutions such as UNZA were established.

1.2 Historical Background of the University of Zambia (UNZA)

During the British colonial rule in Zambia, opportunities for higher education and training for Zambians were limited. Only a handful of Zambians received higher

education and training from the British colonial government. This resulted in an acute shortage of human resource in Zambia just after independence in 1964. The acute shortage of human resource constituted a major bottleneck to the country's developmental efforts. As a result of this shortage, Zambians with lower formal qualifications had to be recruited to fill up the gaps left by expatriates, particularly in the public sector.

In view of this, the post independence government endeavored to find a panacea to the problem. The then government under the leadership of Dr Kenneth Kaunda deemed the establishment of Universities to provide training to Zambians a realistic and permanent solution to the acute shortage of human resource the country faced. In March 1963, a commission chaired by Sir John Lockwood, a former Vice Chancellor of the University of London was appointed to assess the feasibility of the establishment of a University in what was then called Northern Rhodesia. The report which was submitted by Lockwood commission to government led to the establishment of the University of Zambia in 1966.

1.3 Principal administrative Offices of UNZA

The principal administrative offices at the university are: Office of the Chancellor, University Council, Office of the Vice Chancellor, Office of the Deputy Vice Chancellor, Office of the Registrar, Office of the Bursar, Office of the Librarian, and Dean of Students office. Note that these offices have been listed according to their order of hierarchical importance. These offices constitute the principal offices responsible for the general administration of the university business.

1.4 Schools, Directorate and Institute of UNZA

The academic business of the University of Zambia is administered through School Deans and Directors of the Directorate and Institute who are answerable to the office the Vice Chancellor and the Deputy Vice Chancellor. There are nine schools at the University

of Zambia. These are : Agricultural Sciences, Engineering, Education, Humanities and Social Sciences, Law, Mines ,Medicine , Natural Sciences, and Veterinary Medicine. In addition to these schools, there is a Directorate of Research and Graduate Studies and the Institute of Distance Education (formerly called the Directorate of Distance Education).

1.5 Other Units of UNZA

The Clinic and Technological Development Unit (TDU) are some of the other major units of the university. The university clinic is very essential as it provides health services to students, the members of staff and their families. It also extends the role of providing health services to the communities surrounding the university. The Technological Development Unit is charged with the responsibility of developing technologies that could be applied to many sectors of the economy.

1.6 Records creation and management at UNZA

Like shown above, the University of Zambia comprises eight principal offices, nine schools, a directorate and institute. In addition, there are units such as the clinic and the technological development unit. All these offices, schools, directorate/institute and units are involved in the creation and accumulation of records as office bearers and their support staff carry out the day- to- day business or activities of the university.

The records management system at UNZA is based on the British Model of managing records. This records management system involves keeping active records in the registries. When they become less active, they are transferred to the low cost areas called records centers. After a stipulated period of time, these records in records centers are appraised and those found to have permanent value are committed to the archives for eternal (permanent) preservation and storage. Those records without value are destroyed. This is the system all the offices, schools, directorates and departments such as the clinic at the University of Zambia use in the management of records.

It is cardinal to mention that there is decentralization in the management of current records at the University of Zambia in the sense that principal offices, schools, directorate, institute, clinic, the technological development unit and other units have individual registry centers responsible for the management of their current (active) records. On the other hand, semi-active and inactive records are managed on centralization principles as they are kept and administered in one central place.

1.7 Categories of records at UNZA

The Chancellors office, Vice Chancellors and Deputy Vice Chancellor keep records pertaining to the general administration of the University. These records come in the form of reports and policies. They also accumulate and keep correspondences, memos and minutes. Note that Deputy Vice Chancellor office has some academic records as it is the office which oversees the academic business of the university.

The Registrar's office, through the computer center, keeps students' admission and results records in electronic format through databases. However, the bulk of the records kept by the Registrar's office pertain to the employees of the university. In addition, general records such as correspondences to the registrar's office, memos and minutes are also managed by the registrar's office.

Schools, Directorate and Institute normally accumulate and keep records pertaining to the students. These students' records include examination records, student's correspondences, records pertaining to students' courses, and general information and records about the students. In addition, they accumulate and manage memos, minutes and general correspondences.

The Dean of students being responsible for students' welfare, it mainly keeps records pertaining to students' accommodation and general records about the students. It also keeps some academic records of the students.

Accounts records are accumulated and managed by the office of the Bursar. Accounts' records include students' financial records, employees' salaries records and other financial related records.

The librarian's office keeps records about the university library. These include records of the library users, library materials, correspondences, memos and minutes.

Medical records of students, the members of staff and other people are kept by the clinic registry. The clinic registry also keeps records pertaining to its functions such as purchase records, minutes, memos, and so on.

Records regarding the technological innovations made at the university are managed at the Technological and Development Unit (TDU). It also keeps its administrative records such as memos and minutes.

CHAPTER 2 STATEMENT OF THE PROBLEM, JUSTIFICATION, OBJECTIVES RESEARCH QUESTIONS AND CONCEPTUAL FRAMEWORK OF THE STUDY

2.1 Statement of the Problem

The University of Zambia like any other institution creates and receives records as officers perform their duties and responsibilities in pursuance of the University's goals and objectives. Records play a vital role in the administration of the University. They provide reliable evidence of transactions undertaken. Records also contribute to administrative efficiency as they are consulted in decision making and planning. In addition, records form the corporate memory of the University. Both paper and electronic records therefore need to be managed in an efficient and ethical manner. It is however disappointing to observe that records at the University of Zambia are not efficiently and ethically managed. There is maladministration of records at the University of Zambia.

Members of staff within the University, students and other stake holders such as government have been complaining about maladministration of records management. For instance, in 2006, the then minister of education Dr Brian Chitubo was quoted by both the print and electronic media in Zambia as saying that the problem of financial mismanagement at the University of Zambia was stemming from poor records management. The minister noted that it was impossible to audit the University of Zambia books of account due to poor records keeping. In 2008, the Auditor- General's report in Zambia also attributed financial indiscipline perpetrated by officers at the university partly to the poor records management. In the same year (2008), the then Minister of Finance and National Planning Mr. Pater Ng'andu Magande refused to allocate extra money to the University arguing that there was too much financial indiscipline at the institution as officer in the accounts and other departments were in the habit of destroying records held electronically making it impossible for accountability and transparency to prevail at the institution. There have been also incidents where the staff of the university could fail to retrieve the needed students' records such as withdraw letters. Worse of all,

some of the records have been reported missing. In addition, some electronic records cannot be accessed because the technology in which they have been kept is outdated.

2.2 Justification of the research

As already noted in the introduction, records play a very critical role in ensuring accountability and transparency in the management of public affairs. Records also aid in decision making and planning. Therefore, any organization worth its salt should ensure proper management of records. Maladministration of records at the University of Zambia has been a perennial problem. This maladministration of records has been at the center of so many financial irregularities and mismanagement. The Zambian government officials and Auditor-General's office attribute financial indiscipline to the inefficient and unethical records keeping practices at the university. In addition, the student populace and other people and organizations that transact with the University of Zambia often complain about the inefficiency of the members of staff in the University to retrieve their records when needed. At times these records are never accessed and retrieved. There are often reports of missing records.

From the fore going, it can be concluded that there is a general poor organization and management of records thus making it impossible for the records management system at the University of Zambia to play its pivotal role in protecting the rights and interests of students and other stake holders which transact with the university. This also undermines the strategic role of records in ensuring transparency and accountability on how university resources are utilized.

It is against the above background that a comprehensive research needs to be carried out in order to accurately understand the gravity of the problem and discover factors that have been causing maladministration of records at the university and put forward recommendations to the University management for implementation in order to rectify the identified problem.

2.3 Applied value of the research

The research has immediate utility to the university in the sense that it has unveiled factors that have been causing inefficient and unethical records management at the University of Zambia. It has gone further by providing practical recommendations to the university's management for possible adoption and implementation with a view to improving the management of records at the institution.

2.4 Academic value of the research

On the academic front, the research has contributed to the current debate on the need for records officers to cooperate with IT staff in organizations in the management of electronic records kept in server databases and personal computers in order to ensure conformity to good records management practices.

2.5 Conceptual Framework

The concept that guides this study is the "systems theory" borrowed from the systems theory. The system theory has been defined in many different ways by different scholars. According to McNamara (2010), a system is an organized collection of parts (or subsystems) that are highly integrated to accomplish an overall goal.

In simpler terms, systems theory argues that any system (such as an organization) is made up of interrelated parts. For the system to perform effectively, all the interrelated parts should play their role effectively and must work interdependently. It further postulates that if one part is not performing well, the whole system will be negatively affected.

The interpretation of this theory is that it advocates corporation among all the components of the whole system in order to realize its goal. In this case, the University of Zambia records management system is made up of many components such as records centers, registries, and computers center. For the university records management system to function properly there must be coordination of activities among all the parties

involved in the management of records. If the parties to records management do not integrate and work together, the records management system will fail to achieve its goal of managing records in an efficient and honest manner.

2.6 Objectives

(a) General Objective

The main objective of the research is to uncover factors that are responsible for inefficient and unethical records keeping at the University of Zambia.

(b) Specific Objectives

- To find out how wide spread is the problem of maladministration of records at UNZA
- To find out where active records, semi-active records and archives are kept at UNZA
- To find out how records are categorized, indexed and filed at UNZA
- To find out how records officers track the movement of records at UNZA
- To find out if UNZA has a records management policy
- To find out if there is a records retention and disposal schedule at UNZA
- To find out if there is a records management manual at UNZA
- To find out the academic qualifications and training of records officers at UNZA
- To find out if records officers at UNZA are involved in the management of electronic records
- To find out if records officers at UNZA are well motivated
- To find out if records officers at UNZA receive support from the management
- To find out if there is any office designated to oversee the overall management of records at UNZA

2.7 Research Questions

- How widespread is the problem of maladministration of records at UNZA?
- Where active records, semi-active records and archives kept at UNZA?
- How are records categorized, indexed and filed at the UNZA?
- How is the movement of records tracked/ controlled at UNZA?
- Is there a records management policy at the UNZA?
- Does UNZA have a records retention and disposal schedule?
- Is there a records management manual at UNZA?
- What academic qualifications and training do records officers at UNZA have?
- Are records officers at UNZA involved in the management of electronic records?
- Are records officers at UNZA well motivated?
- Do records officers at UNZA receive support from management?
- Is there any office designated to oversee the overall management of records at UNZA?

CHAPTER 3 LITERATURE REVIEW

CONCEPTS DEFINITION, USES OF RECORDS AND CAUSES OF MALADMINISTRATION OF RECORDS

3.1 Maladministration of records

The term maladministration has been defined differently in different context.

Maladministration means to “administer or manage inefficiently or dishonestly”^[1].

In concomitance with the above definition, Maladministration of records entails the inefficient or dishonest management of records. Maladministration of records conditions are characterized by frequent cases of illegal deleting or destroying of records, missing of records, failure to retrieve the needed records etc.

Maladministration of records has been reported in both print and electronic media among governmental bodies and private organizations around the global. Some of these maladministration cases involve the destruction of records to suppress the truth about the illegal activities of some officials. For instance, The New York Sun on 27th December, 2006 reported that files relating to investigations into the leaks of classified information at the Federal Bureau of Investigation (FBI) had gone missing at its headquarters. In November, 2007, The Her Majesty's Revenue & Customs (HMRC) lost two CDs crammed with sensitive data. The CDs contained 25 million records of agents, alternative recipients, children and customers on the child benefit database.

A Supermarket chain called Lidl in Ireland on 22rd of March, 2005, destroyed records containing the age of job applicants when it discovered it was under investigation by the Equality Tribunal for age discrimination. It refused to interview a 51-year-old man for the job of district manager at Lidl because it believed he was too old for the job (The Irish Examiner: 2005).

In Zambia, the Auditor- General, Mrs. Anna Chifungula, on 22nd of June, 2009, reported that important records relating to the alleged misappropriation of ZMK (Zambian

Kwacha) 28 billion in the Ministry of Health had gone missing, making it very difficult to finish forensic investigations into the case^[2].

Other cases of maladministration demonstrate a sheer incompetency of the people entrusted with the responsibility of administering the records. For example, on March 7th, 2007, Louisiana's bulwark insurer of last resort lost its financial records that spanned a period of two years because of mishandling of its computer software program (The Times Picayune and New Orleans: 2007). On 25th December, 2006, The MSNBC reported that President Bush's ambitious AIDS-fighting program in poor countries had pushed so hard for fast results that basic record keeping and accountability often went by the wayside, making it hard to judge the true success of the program.

The above examples show how widespread maladministration of records is in organizations around the globe. Maladministration of records has far reaching implications on the activities of organizations and often a time, it results in financial losses. In addition, maladministration of records results in the violation of the rights of citizens and organizations.

3.2 A record

It is indisputable to say that information is a life line of all organizations. Information is an indispensable resource which makes organizations to use other resources such as money and human resource in an efficient and effective manner, thus, making it possible to attain its intended goals and objectives. It is salient to note that much of the information organizations use is embedded in records. A record, being a bearer of information, makes it assume supremacy among other assets of organizations.

The term record has been defined by many organizations and scholars in different ways. A record is "recorded information regardless of medium or characteristics"^[3]. A record is further defined as something tangible which comprises documentation^[4]. Records are any means of documenting communication in an enduring format, which is, written,

verbal, photographic or computer-captured, which preserves the communication and can be recalled. Records are information that flows from outside the company to inside or from inside out^[5]. Other scholars consider records as books, papers, maps, photographs or other documentary materials, regardless of physical form or characteristics, made or received by any public or private institution in pursuance of its legal obligations or in connection with the transaction of its proper business and preserved or appropriate for preservation by that or its legal successor as evidence of its functions, policies, decisions, procedures, operations or other activities or because of the informational value of the data contained therein^[6].

The National Archives and Records Service of South Africa Act (Act No.43 of 1996), defines a record as recorded information regardless of form or media. The Act cites correspondence files, maps, plans, registers, etc as an example of form while paper, microfilm or electronic format have been cited as examples of media^[7].

From the above definitions, it can be contended that a record is recorded information, regardless of media and format which is received or created by an organization in the course of pursuing its business, and retained by that organization as evidence of its activities or because of the other information value it contains. Records cannot be books because they are a product of business or activities of an organization. They are created or received as people (individuals) work in their offices to achieve the goals and objectives of an organization. This implies therefore that records have a context in which they are created. They are not created from without.

As already alluded to, records come into different formats and media. These formats and media include : Photographs (analog photos, negatives, slides); Sound and Video Recordings (audio tapes and cassettes, video tapes and cassettes, CDs, DVDs); Digital Photographs; Document / Digital Imaging; Electronic Records (text documents, graphics, electronic publications) ; E-Mail; Maps, Posters and Other Large Formats; Micrographics (microfilm, microfiche); Web Pages/ Web-based Records & Publication^[8].

3.3 Characteristics of a record

It is important to note that a record is more than just information. It has certain features that make it a principal source of evidence for organizational transactions.

Records have special features that make them unique from other information resources.

“Records are physical or virtual, have a content, structure/form, are created in a context and are process bound information” [9]. Records have four unique features of records: 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.

The Public Records Act of South Carolina of 1976 spells out five characteristics of records. The Act points out that all records have *content* which is data organized into useful format for specific use. Example of content could be a report with text, photographs and illustrations. Records are also said to have *context*. Context provides the descriptive information that connects records to other records and business functions. Examples of context include the name of the creator, department name, dates, subjects, etc (metadata). Records have a *structure* which refers to the appearance and arrangement of the content, essentially its format. For example data may be formatted using XHTML for display on the web or placed into a PDF document for reading electronically or printing. Once printed, paper becomes the new format. The South Carolina Act on Records further postulates that records have *value* which refers to their usefulness, significance, or worth to an organization. Records have administrative, legal, fiscal, or historical value. The fifth characteristic of records is that they all bear *information*. This information can be data, content or records, and an information system can store each type independently or collectively.

The above articulated characteristics cannot make records to be the principal source of evidence of an organization's activities and transactions. In addition, the above characteristics such as records having contents and structure put records and other information resources in the same basket in the sense that other informational resources such as books are not devoid of the above articulated features. For records to be the principal source of evidence and admissible in the courts of Law, they should possess special characteristics.

A record is more than just information; it is supposed to be *trustworthy, reliable* and *authentic*, able to serve as evidence and to support accountability^[10]. Other scholars and organizations argue that records are different from other documents in that they bear characteristics that can be demonstrated or proven, if necessary in a court of law. In this regard, a record has to be authentic. It must be what it purports to be. A record must be reliable meaning that it must be a full and accurate representation of the transactions, activities or facts to which it attests. A record also needs to have integrity. It must be complete and unaltered. Finally, a record should be usable. It must be accurately located, retrieved, presented and interpreted.

3.4 Uses of records

As earlier pointed out, records are the life blood of any organizations. Records are used in many business activities of any organizations. Records are used as evidence in courts of law. When there is any litigation, records pertaining to disputes that have sparked the litigation will be requested and submitted to the courts of law as evidence in the case. Besides testimonial evidence, records constitute one of the principal sources of evidence in courts of law. Evidence by records in courts of law comes in three forms. These are documentary evidence, real evidence, demonstrative evidence and testimonial evidence.

“Real evidence is a thing whose existence or characteristics are considered relevant and material to an issue in a trial. It is usually a thing that was directly involved in some event

in the case, such as a murder weapon, the personal effects of a victim, or an artifact like a cigarette or lighter belonging to a suspect. Real evidence must be relevant, material, and competent before a judge will permit its use in a trial”^[11].

Documentary evidence is contained in or on documents and can be a form of real evidence. For example, a contract offered to prove the terms it contains is both documentary and real evidence. When a party offers a document into evidence, the party must authenticate it the same way as any other real evidence, either by a witness who can identify the document or by witnesses who can establish a chain of custody for the document.

Evidence is considered "demonstrative" if it demonstrates or illustrates the testimony of a witness. It is admissible when it fairly and accurately reflects the witness's testimony and is otherwise unobjectionable. Maps, diagrams of a crime scene, charts and graphs that illustrate profits and losses are examples of demonstrative evidence. Testimonial evidence consists of what a competent witness at the proceeding in question says in court.

From the above definitions of three types of evidence in courts, records are the source of two forms of evidence offered in courts. Because of their unique features of being reliable (static), authentic, etc, records are presented in courts as evidence. They help greatly to prove or disprove some fact. They are needed not to make the fact certain, but at least they must increase or decrease the likelihood of some fact. Records help to answer questions such as whom? when? where? how? So in case of any litigation, organizations will rely heavily on records to provide the much needed evidence in court. This makes records to be a very critical resource as they can redeem an organization or individuals in courts of law.

Records also play a vital role in decision making. Decision making can be regarded as an outcome of mental processes (cognitive process) leading to the selection of a course of action among several alternatives. Every decision making process produces a final choice. The output can be an action or an opinion of choice^[12]. For anyone to choose the best

course action among many alternatives, he/she needs to have information on several courses of actions so that he/she can determine the consequences of taking each action. Records provide this much needed information in decision making process in organizations. It is important to note that decisions are made at various levels of an organization. All employees, senior or junior are in one way involved in decision making as the work in their respective offices. For them to make informed decisions, they need information which can be provided through records. For example, the birth registration clerk will need proof of date of birth and parentage in order to issue a birth certificate. A doctor in a hospital will need certain information in order to decide on the illness and prescribe requisite medication. The immigration officer will need information in order to issue a passport or grant a visa. In addition, decision making activities such as the allocation of budgetary resources, the prioritization of programs, the granting of social benefits, the opening of new mines, the closure of unproductive ventures, etc requires intensive utilization of information which can be provided by records.

Related to the above usage of records is the use of records in planning. Planning is a process for solving a community's problems, protecting important features and guiding how the community will grow in future ^[13]. Planning looks at existing conditions and problems then develop a vision, with goals and strategies. In both public and private institutions, Planning takes the form of strategic planning. For organizations to know the existing conditions as they start planning, they need to consult records. Records will show the existing conditions of the organization, county, city, state or country. No planning could be properly done without consulting records.

Failure to utilize records in decision making and planning could be disastrous. History is replete with cases where disasters have happened because the planners and decision makers did not consult records. For example, in Malaysia, the Kuala Lumpur - Seremban Highway was constructed in the 1970's without taking into account the geological unsuitability of the terrain. Major repairs have become frequent and problematic and yet

organizations financial records and procedures so that an opinion (in the form of a report)

presented^[15]. Financial auditing involves the examination and evaluation of

whether or not those financial statements are relevant, accurate, complete, and fairly

entity (including governments), resulting in the publication of an independent opinion on

statements (formal records of the financial activities) of a company or any other legal

Records are important in financial auditing. Financial audit, is the review of the financial

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they have spent are in line with the stated objectives of the project. It is also important to

purpose of the project. People on the project could check if what they are doing and what

have been spent on the project and what has been achieved in order to achieve the

of the project. Records will help in monitoring in that they will show resources which

such as money are being utilized on activities that are aimed at achieving the objectives

achieve, it is cardinal that from time to time projects are monitored to see if the resources

such as human resources. Since projects have specified objectives which they want to

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other operations of organizations in that they end when their objectives have been

endeavor undertaken to create a unique product, service, or result^[14]. Projects differ from

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Records are useful in policy formulation. Before any policy is formulated either at governmental or organizational level, records of previous policies should be consulted in order to have a clear view of how things have been done. Previous policy records form a solid foundation for new policies.

Records play a critical role in project monitoring and evaluation. A project is a temporary endeavor undertaken to create a unique product, service, or result^[14]. Projects differ from other operations of organizations in that they end when their objectives have been reached or the project terminated. Projects have their own budgets and other resources such as human resources. Since projects have specified objectives which they want to achieve, it is cardinal that from time to time projects are monitored to see if the resources such as money are being utilized on activities that are aimed at achieving the objectives of the project. Records will help in monitoring in that they will show resources which have been spent on the project and what has been achieved in order to achieve the purpose of the project. People on the project could check if what they are doing and what they have spent are in line with the stated objectives of the project. It is also important to note that at the end of the project records are used to evaluate the successes or failure of the project. Records if properly managed will highlight the causes of failure or success of the project as they are capable of answering questions such as what happened? How did we do it? Who did what?

Records are important in financial auditing. Financial audit, is the review of the financial statements(formal records of the financial activities)of a company or any other legal entity (including governments), resulting in the publication of an independent opinion on whether or not those financial statements are relevant, accurate, complete, and fairly presented^[15]. Financial auditing involves the examination and evaluation of organizations financial records and procedures so that an opinion (in the form of a report)

can be made on whether or not the accounting activities of the organization have been done in an honest manner.

The purpose of financial auditing is to add credibility to the implied assertion by an organization's management that its financial statements fairly represent the organization's position and performance to the firm's stakeholders (interested parties). The principal stakeholders of an organization could be the members of the public, shareholders, other parties such as tax authorities, banks, regulators, suppliers, customers and employees may also have an interest in ensuring that the financial statements are accurate. The audit is designed to reduce the possibility of a material misstatement. A misstatement is defined as false or missing information, whether caused by fraud or error.

Financial auditing is undertaken to improve accountability and transparency in the management of the financial resources of an organization. In developing countries, Zambia inclusive, financial auditing is critical in governmental bodies as it enables meager resources to be spent prudently so that it can improve the lives of the people. No meaningful financial auditing could be done without records. Financial records and other relevant records are consulted by the auditors before they write a report on whether or not the accounting practices have been satisfactory. Poor records management renders the exercise of financial auditing difficult.

Some records like those showing trends are very important in gauging the performance of sectors, systems etc. For instance, trend records, showing the performance of sector such as education, commerce, mining etc, could be used to explain how the sector has been performing. It is upon these records that the relevant authorities could act to institute measures to improve or maintain the performance of such a sector.

Records facilitate change. Change happens in many organizations and takes different forms. This could be the change of new office bearers. When there is change of office bearers, new appointees to the office will rely heavily on records to know what the previous office bearers did and where they ended. With the help of records, they will

know where to start from. **Note** that although formal handing over is done in organizations, not everything will be shown or disclosed to the incoming office bearer by hi/her immediate predecessor. So records will fill the vacuum left in the handover note. Therefore, records facilitate change of office in many organizations.

Records are essential reference tools. When there are disputes or someone is not sure about certain issues, records could be consulted to clarify issues. The case in point is what happened in Zambia in 2009 where the Former Local Government and Housing Minister, Sylvia Masebo, demanded access to records pertaining to the purchase of 100 hearses and boats from the Permanent Secretary in the Ministry of Local Government and Housing before making comments about the allegations that the said vehicles and boats were not properly procured. It was alleged that the former minister inflated the price for the vehicles and boats. Ms. Masebo said she could only clarify that the hearses were purchased at US9 000 per unit and not US29 000 per unit as was alleged once relevant documents pertaining to the transaction were made available ^[16].

Another case where records have been consulted to clarify issues is in the case where the Movement for Multiparty Democracy (MMD) in Zambia announced in 2009 that the party's presidential aspirant, Professor Clive Chirwa was not a member of the party and therefore, he could not contest the party presidential elections. Professor Chirwa said he was a fully paid -up member and urged those that had doubts about his membership to check the party records ^[17].

Records are also useful in the preparation of income tax returns. A tax return is a document that can be filed with a government body declaring liability for taxation. It is a document that states how much tax in form of money an organization or individual needs to pay the government over a stipulated period of time. Tax is a financial charge or other levy imposed upon a taxpayer (an individual or legal entity) by a state or the functional equivalent of a state ^[18]. Taxes consist of direct tax or indirect tax, and may be paid in money or as its labor equivalent (often but not always unpaid). In organizations, these tax

returns focus on taxes to pay to the state for owning a property or running a business. In some countries, for running a business, companies pay tax on the profits they make. The law in many countries requires all organizations and individual to prepare tax returns and present them to relevant tax authorities. To properly prepare tax returns, tax accountants or other income tax preparers rely on financial and other relevant records. Records ensure that the people preparing tax returns do not understate or over state the amount the organization need to pay the state in the form tax. The underestimation of tax returns will attract negative sanctions on that organization or individual from the government. Over-estimation will also make an organization to lose money by over paying tax. Records therefore serve the interests of both the tax payer and the government.

Records are also used in historical research. It is a well known fact that historians and other people interested in past events run to records (archives) to get the much needed information. Without records, it can be difficult to learn about the past. Records connect the present generation of the people with the past.

From the above mentioned uses of records, one could say that records serve three functions. These are *administrative*, *legal* and *historical research* functions. Administrative functions include activities such as planning, decision making, preparing tax returns, and reference. Legal uses of records include providing evidence in the courts of law or where there is a dispute. Research functions include historical research activities carried out by historians and other people interested in learning about the past.

3.5 The concept of Records Management

The concept of records management has been defined as a “systematic program for the organization, maintenance, use, retrieval and disposition of information. Other scholars consider records management as the efficient and cost effective care and control of records of whatever format from the date of creation through to their programmed disposal either by incorporation into archives or by destruction”^[22]. The above definitions

of records management relegate records management to a Cinderella function. This is because they narrow records management to activities such as organization, maintenance, use, retrieval and disposition of records. Records management is broader than that. Records management is more than retention, storage and disposition of records. It entails all records-keeping requirements that allow an organization to establish and maintain control over information and administrative operations ^[23]. It is a management function which is as big as human resource management. It is indisputable to say that management which is an art and a science rests upon six fundamental activities. These are *planning, organizing, staffing, directing, coordinating, reporting* and *budgeting*. In concomitance with the above, records management can be viewed as both an art and science which involves planning, organizing, staffing, directing, coordinating, reporting and budgeting for activities that relate to the administration of the organization's recorded information resources. Planning in records management takes the form of deciding how records have to be created, stored, preserved, etc. Organizing involves classifying, indexing, and filing the records. Staffing takes the form of employing people to look after records and devising ways to train, develop and retain them. Directing causes for an office or a person responsible for records management to provide guidance to those charged with responsibilities of looking after records (records officers such as registry clerks). This same office or a person should also coordinate all records management activities in an organization by developing and implementing policies and procedures relating to records management. And budgeting calls for drawing up expenditure plans needed to carry out records management functions. The ultimate purpose of records management is to ensure effective and prudent administration of records so that people in an organization can have access to records whenever they need them.

3.5.1 Records life cycle model versus Records continuum model

The above two approaches have dominated records management studies. The records life cycle model views records like human beings with a life cycle. Proponents of the life cycle model contend that records are born, grow old and eventually die. Similar to the Christian belief of judgment day, when records die (inactive) they are appraised and those judged to have permanent value are kept eternally. A record life cycle can be divided into five major phases. These are *creation*, *distribution*, *use*, *maintenance* and *disposal* (either by archiving or destruction) ^[19]. Creation stage involves the generation of a record such as correspondence. Distribution has to do with making the records available to officers who want it in the execution of their duties. This distribution could be internal or external through means such as personal delivery, e-mail, fax, etc. Use involves utilizing a record when performing duties by an officer. Maintenance entails performing activities such as indexing, filing and retrieval on a record. Disposal constitutes activities such as records appraisal which evokes activities such as archiving those records with permanent value and destroying those with no value. The life cycle concept provides a useful starting point for records management program. The records life cycle model provides records managers with a basis for developing a program which, while acknowledging the importance of each separate phase, manages those phases in a coordinated way ^[20]. It also enables records managers to ensure that policy and procedures developed for each phase are also supportive of other phases. For example, the way a record is titled and formatted in the creation phase can have effect on how fast it can be retrieved in the maintenance phase. When a record is created, decisions are made on how long it should be retained; this definitely affects other phases such as maintenance and disposal.

The records continuum theory on the other hand implores records managers to integrate backward and forward in their functions. It extends the sphere of competency and functions of records managers by including the pre-records creation and records preservation activities. “The records continuum theory is a consistent and coherent

regime of management processes of records from the time of creation of records and before creation, in design of record keeping systems through to the preservation and use of records as archives”^[21]. It extends the records life cycle by bringing on board activities overlooked by the records life cycle model. The records continuum model de-emphasizes the time-bound stages of the life cycle model and combines the record-keeping and archiving processes into integrated time-space dimensions.

3.5.2 The Importance of understanding the records life cycle and records continuum models

Understanding that these two models in practice are intertwined. Any records manager need to comprehend the above two records management models as they provide a window which those practicing records management and those intending to be records managers can use to understand what is involved in records management. The full understanding of these models could enable records managers to develop coordinated record management programs, policies and procedures that could result in an efficient management of records in organizations. In this 21st century where organizations are keeping electronic records along side paper records, it is important for records managers and who will be records managers to understand these models especially the continuum model as it covers comprehensively issues involved in the management of both paper and electronic records. The models can help managers to understand activities that are involved in the management of records from records creation stages to disposal (archiving or destruction). Records managers can decide how the records are created and the format in which they should be kept. Records managers could also anticipate how the records will be preserved to ensure continuous access to them.

3.6 Causes of maladministration of records

As articulated in the introduction, many organizations fail to satisfactorily manage records. Their records management systems are in a mess and are a source of inefficiency.

As articulated in the introduction, many organizations fail to satisfactorily manage records. Their records management systems are in a mess and are a source of inefficiency. There is maladministration of records. Best and efficient records management practices stem mainly from developing and implementing a records management program. It is a solid foundation for efficient records management. Many problems of maladministration of records which organizations face today are largely attributable to the lack of records management programs. For any organization to be able to manage records in an ethical and efficient manner, it needs to craft and implement a records management program.

3.6.1 Records management program

The term records management program refers to a planned, coordinated set of policies, procedures, and activities needed to manage an organization's recorded information ^[24]. It is a detailed program that encompasses the management framework, the people and the systems required within an organization to ensure effective records management. In simpler terms, a records management program is a blue print which articulates how records should be managed in an organization as it spells procedures and policies on how records should be created, organized, stored, accessed and disposed off. It also states the human and financial resources needed for an organization to effectively manage its records.

Recognizing the significance of a records management program in the management of records in organizations, many governments (federal and states) in many countries have enacted Records Acts with clauses that compel organizations to establish records management programs as the way to ensure compliance with the Records Laws of these countries or states and as well as to set a foundation for better records management practices. For example, in the State of New South Wales in Australia, the State Records Act of 1998 compels institutions (especially public institutions such as universities) to establish and maintain a records management program in conformity with standards and

develop and implement records management programs to promote good records keeping in the state.

Research has shown that lack of a running records management program is the source of maladministration of records in organizations. Many organizations do not have a records management program. A research sponsored by the State of New South Wales in Australia which was conducted in 2003 among seven universities revealed that three of the university had developed a records management program which has resulted in better records management practices. Lack of a records management program is a receipt for maladministration of records.

The Association of Records Managers and Administrators (ARMA) in the USA has been conducting researches on records management practices among its members. These researches have shown a stronger correlation between a records management program and good records keeping practices. For example, in its 2007 survey on its members' records management practices, ARMA discovered that members with a good running records management programs manage records in an efficient and ethical manner. The absence of a records management program has the potential of causing poor records keeping practices thus giving rise to maladministration of records. This could probably help to explain why there is maladministration of records at the University of Zambia.

3.6.2 Benefits of developing and implementing a records management program

Although many administrative functions of organizations (including records management) are deemed to be expense centers, a fully implemented records management program can result in both quantifiable and unquantifiable benefits to an organization.

The Alabama State Records Commission (2003) has attempted to spell out the benefits of implementing a records management program. These include the following:

- **Providing better service to constituents**

Providing better service to constituents is achieved through timely responding to clients and other stakeholder's requests as there is easy retrieval of the needed information. For

Providing better service to constituents is achieved through timely responding to clients and other stakeholder's requests as there is easy retrieval of the needed information. For instance a university whose clients (students) may want to know how they have been performing academically will retrieve the information without delay because students' records are managed properly.

- **Promoting office productivity**

In organizations where records are not properly organized, workers spent a great deal of time searching for records and other documents needed as they work in their offices. Through development and implementation of a records management program, records are well managed, thus, making it easy to retrieve the needed records.

- **Saving money on storage**

Records are routinely appraised and those deemed to be inactive/ valueless are purged from expensive storage areas. They are taken to cheap storage areas or destroyed, thus, freeing up the expensive storage areas for valuable records

- **Avoiding adverse legal consequences**

The development and implementation of a records management program ensures that an organization accurately creates and retains in its custody records of its transactions. The accurate creation and retention of records enables an organization to avail the records when needed in courts of law. Proper records keeping serves an organization during litigation.

3.6.3 Records Management Program Building Blocks

In an organization where management does not seem to attach great importance to records management, records officers should first seek to convince management on the need to develop and implement a records management program. This is effectively done by writing and presenting to management a records management program proposal.

- (i) **Records Management Program proposal**

danger of not having a records management program in place. The proposal should be backed by empirical evidence which should come from conducting a records management survey in an organization. A proposal should be brief and show a case why such a program is needed in an organization. A well written proposal should include the following:

- **Statement of a problem**

The statement of the problem should include a brief summary of the current records management situation in the organization. It should list all current areas in which the records are stored and the current estimated cost of records storage. There is need also to describe how electronic records are currently stored and backed up.

- **Risks.**

It should categorically state the imminent risks that an organization faces if it does not establish a records management program. Risks include loss of vital records, financial losses through litigation, loss of an organization or community history, and loss of good public image stemming from failure to respond to clients and sake holders' requests because of poor records management.

- **Cost Analysis for establishing a records management Program**

The basic cost for an organization has to do with money for hiring or designating an organization's records manager who should be responsible for managing all the organization's records. The other costs which should be included in the proposal are the financial resources required for the procurement of storage equipment and computer systems to ensure efficient and effective records management. *Note* that costs for employees salaries, continuous training of staff and computer systems should be estimated on an annual basis.

- Conclusion

The conclusion emphasizes the need to establish and implement a records management programs. Benefits should be highlighted against imminent danger of not having a program.

3.6.4 Records inventory and appraisal

In organizations where management is ready for a records management program, there is no need to develop a records management program proposal. Records management program developer needs only to conduct a records inventory. A records inventory is a complete and detailed summary of all records, and their housings held by an organization or part of an organization ^[25]. In simpler terms, records inventory refers to a complete listing of records by series with their housing. A record series is a group of identical or related records that are normally used and filed together. According to the Florida Department of State Administrative Code Rule 1B-24, records series are records arranged under a single filing arrangement or kept together as a unit because they consist of the same form, relate to the same subject, results from the same activity or have certain common characteristics. The Florida Department of State's definition of records series presupposes that two records about the same activity cannot be said to be series if they are in different formats. For example, two sets of personnel records (one in paper format and the other in electronic format) can be said to be two different set of records series because of their formats. Examples of records series in organizations include personnel records, correspondences, accounting records and purchasing records in either paper or electronic format. It is imperative to note that when conducting records inventory, all categories of records should be listed whether they are held in central filing systems or in individual offices, in paper form, microfilm or even in machine-readable format.

supplies currently in use, age and frequency of access to individual records series and gather information about the current retrieval systems. The inventory exercise also enables someone to know the amount of space taken up by records and reveal current disposal practices and the legal requirements for the creation and retention of records. In addition, the records inventory exercise enables one to know the purpose and functions of records series. It also provides information on where records series are currently housed which is used to develop a system for the physical and intellectual control of organization's records. This inventory is normally done in the form of a survey. If one did a survey when developing a records management proposal, there is no need to do another survey when conducting the records inventory. The needed information for the inventory can be obtained from the survey conducted when developing a records management proposal.

After successfully performing records inventory, a records management program- which is a blue print for the management of organizations' records can be developed.

3.6.5 Elements of a records management program

It is imperative to note that the concept of '*one size fits all*' does not apply to the development of a records management program. This implies that records management programs are developed differently; thus, they differ from organization to organization. However, many records management programs have similar elements. These elements are:

3.6.5.1 *A Records Retention and Disposal Schedule*

A records retention and disposal schedule is an authoritative document that lists all records by series and states when they should be disposed off. A Records Retention Schedule is "a document that an organization uses to ensure that records are kept only as long as they are legally and operationally required, and that obsolete records are disposed of in a systematic and controlled manner"^[26]. A Records Retention Schedule supports an organization's effort to manage intellectual property, control the costs of information

of in a systematic and controlled manner”^[26]. A Records Retention Schedule supports an organization’s effort to manage intellectual property, control the costs of information storage, locate and retrieve documents for legal discovery, and dispose of the records at the end of their business life. A records retention and disposal schedule identifies the minimum amount of time that records must be kept to satisfy administrative, legal, fiscal and historical needs ^[27]. A records retention and disposal schedule also states when records should be destroyed and when certain records should be transferred from one storage area to another (such as from a records center to the archives for permanent preservation).

3.6.5.1 (A) Steps in developing a records retention and disposal Schedule

The Records Retention Schedule represents all the records created by an organization across divisions and functions, regardless of media type (hardcopy or electronic). Retention periods are based on legal, regulatory, and operational requirements. The development of a legally credible Records Retention Schedule is broken down into four activities:

(i) Identifying major records groups

The first thing when establishing a Records Retention and Disposal Schedule is to identify and list the groups of records in an organization. These groups are identified when performing a records inventory. Groups of records common in organizations include accounting and human resources management records

(ii) Creating a universal classification scheme

After identifying the records groups, create a Records Classification Scheme. A records classification scheme is a grouping of records by business function, record class, and record type as a way of dealing more practically with high volumes of records ^[28]. Many companies can establish ten (or fewer) broad record functions, such as Operations, Accounting, Financial, Tax, and Legal. These top-level record functions are broken down into record classes, which are, in turn, broken down into record types. The following is an example:

Record Types: Accounts Payable Aging Reports, Accounts Payable Distribution Reports, Cash Disbursement Reports etc.

(iii) *Performing legal research*

Conduct legal research to determine what the retention period for each record class must be. Look at what government law says about the retention period of each and every class of records. You can also look at what the international laws say at the retention period of those records. In addition, there is need to look at what commissions and other agencies of government that issue regulations say so that retention of records is long enough to meet the regulatory requirements. These agencies include Trade Commissions, Communication Commissions and Drugs and Safety Commissions. Engage your legal counsel, consultants or external records management experts when performing legal research.

(iv) *Overlay operational retention requirements*

This involves determining the retention period for records to meet operational/administrative needs of officers in an organization. Talk to officers who create various records in all the departments so that they could disclose how long the records should be retained to meet their operational needs.

After this, establish the retention period of all the records classes as shown below:

RECORDS CLASS NAME	RETENTION PERIOD	DISPOSAL RECOMMENDATION
1. Accounts Payable (includes billing, payments, overdue accounts, invoices, receipts, payment vouchers, duplicates, etc.)	5 Years	Dispose
2. Accounts Receivable (includes Receipt records, write offs, invoices, etc.)	5 Years	Dispose
3. Annual Financial Statements	Permanent	Permanent

Note that the retention period begins at cut-off period (when the folders are closed).

For example, for annual financial records, the cut-off period is the end of each financial year.

Note that the retention period begins at cut-off period (when the folders are closed). For example, for annual financial records, the cut-off period is the end of each financial year.

After determining the retention period, the schedule should be published so that all the officers in the organization can know about its existence and follow it as they handle records.

There are basically two types of Records Retention and Disposal Schedules; the ***General and Agency-Specific*** Schedules. The general as the name suggests is used by many organizations as it covers common records that are found in organizations. General Records Retentions Schedules are normally developed by governments and are followed by governmental bodies when managing public records. Equally associations and industry leaders can develop a general schedule which could be used by member organizations. On the other hand, Agency-Specific Retention and Disposal Schedules are tailored to meet the records management needs of a particular organization. It is developed and implemented by one organization. Note that both public and private organizations can develop an agency-specific schedule.

3.6.5.1(B) Benefits of Records Retention and Disposal Schedule

A Records Retention and Disposal Schedule offers many benefits. To start with, it helps an organization to destroy records that are no longer needed by the organization that could be otherwise a commercial burden to that organization. A records retention and disposal schedule ensure that records needed by the organization for operations, or legal purposes are retained for the appropriate period of time^[29]. The schedule also helps an organization to meet statutory requirements or obligations in the management of records. A records retention and disposal schedule helps to identify and preserve records with historical and evidential value. The schedule legitimizes the destruction of records thus helping records officers during litigation periods to explain why certain records were

helping in the creation of storage space for active records. This function makes a Records Retention and Disposal Schedule to be a facilitator of quicker records retrieval as active records are not mixed or filed together with inactive records. The records retention and disposal schedule frees up computer storage media for re-use.

From the above mentioned benefits, it can be agreed that a records retention and disposal schedule is very important in the management of records. It is critical in ensuring smooth management of records. One could therefore argue that maladministration of records at UNZA is partly attributable to the lack of a records retention schedule. The absence of records retention and disposal schedule at the university makes it difficult for records officers to know when to transfer records from one storage area to another. They probably mix inactive and active records, thus, making it difficult to retrieve the needed records. The absence of records retention and disposal schedule at the university could also be responsible for the deleting and missing of important records at the institution as records office bearers and records officers do not retain records according to the desired retention period. They dispose the records prematurely or destroy them with intention to destroy evidence of their bad actions in their offices as there is no records retention and disposal schedule to hold them accountable for their actions.

In some States and Governments, all public organizations are obliged to use a general or agency-specific records retention and disposal schedule in the management of public records. For instance, all public schools in the State of Michigan in the USA are obliged to use the State developed schedule in the management of public schools records. The schedule states clearly when records should be transferred from one storage area to another. It also states which records should be destroyed and when they should be destroyed. In this way, State Authorities manage to minimize maladministration of records in public institutions.

destroyed. In this way, State Authorities manage to minimize maladministration of records in public institutions.

3.6.5.2 Active Records Management

Maladministration of records in many organizations affects mainly active records. Many organizations fail to properly manage active records. Active records are records required for ongoing operational purposes and are referred to more than once per month per linear [30]. These are records that are frequently used by officers in organizations and they are mainly kept in offices of individual officers or the registries. These records need proper management. Any records management program should clearly state how active records are going to be organized. Active records need to be classified, indexed and filed. Active records either in offices or registries need to be organized so that they can be easily retrieved when needed.

3.6.5.2 (A) *Classification of records*

Records classification is a process by which records are identified and categorized for filing on the basis of their subject matter and subject category, and are assigned a file number for efficient retrieval [31]. It is the systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods, and procedural rules represented in a classification system. Other organizations and scholars define records classification as the grouping of records with common characteristics or documents with similar functions [32]. The point of having a classification system is to keep all like records together, which, in turn, expedites records retrieval and maintains file integrity. *Note* that people managing records in offices and registries should classify records according to records classification system of the organization. Classification systems sort records by major classes and then further break the classes into sub-classes. The sub-classes are finally broken into individual files. The

Main Class: Human Resources

Sub-Class: Payroll

File: Payroll Timesheets

In simpler terms, records classification is the process by which the records of an organization are categorized or grouped into retrieval units. The process applies equally to both paper and electronic records. Active records, both paper and electronic, should be classified before they are indexed and filed.

3.6.5.2 (B) Records classification methods

There are basically three fundamental methods by which records are categorized. These are subject, function, and structural classification.

(i) Subject classification

This entails classifying records by the subject they reflect. Records can be organized under subjects such as *meetings, withdraw slips, recruitment, sales* etc. Note that subject classification is not encouraged in records classification because it destroys the integrity of records by separating records from their classes and series; thus they cannot tell a complete story.

(ii) Function Classification

Classifying records by function involves categorizing records by the purpose and function they serve. Function-based records classification is a logical arrangement of all records documenting or evidencing the activities of an institution based on an analysis of the institutions business functions, sub-functions, and activities ^[33]. Functions and activities of an organization could be accounting, marketing and planning. Classification of records by function situates records within their operational or administrative context and, in an order that reflects the sequence in which activities and/or events take place. In addition, functions and activities provide a more stable framework for classification than organizational structures that are often subject to change through amalgamation,

addition, functions and activities provide a more stable framework for classification than organizational structures that are often subject to change through amalgamation, devolution and decentralization^[34]. The structure of an organization may change many times, but the functions an organization carries out usually remain much the same over time.

(iii) Organizational Classification

As articulated above, records can also be classified on the basis of the organizational structure. Departments and units of an organization form the basis for classifying records. As pointed out, this is not a stable way of classifying records as departments and units of an organization can be changed any time.

3.6.5.2 (C) Indexing of records

After categorizing the records, there is need to index them. Indexing is the assigning of search retrieval keys (terms) to records series, files or documents in order to enable users find particular items when needed^[35]. Indexing involves assigning index terms (codes) to records. These codes should be pasted on both the records files and the filing equipment to ensure easy retrieval of records. Normally these index terms (codes) are alpha-numerical. These codes or index terms are assigned to the record as shown below:

HR *Human Resources (main class)*

HR-01 *Payroll Office (sub-class)*

HR-01-02 *Timesheets (file)*

The indexing system should follow the hierarchical principle when assigning codes to records. The general index term (code) for instance HR could be assigned to the records main class (the human resources), then HR-01 and HR-01-02 to sub-groups as shown above. These index terms should be explained in an index so that other people could understand what they stand for.

3.6.5.2 (D) The interdependence of classification and indexing functions

involves selecting the appropriate retrieval keys or terms for that document. What is true is that category names of records are used as index terms (retrieval keys). For instance HR which is representing records for the human resource function is taken as an index term for all the human resource records of an organization. This makes classification and indexing tasks to be interdependence.

3.6.5.2(E) Filing of records

After classifying the records, there is need to determine how they will be filed.

There are many methods used in the filing of records. These include alphabetical, chronological, numerical, alpha-numerical and geographical filing.

(i) Alphabetical

Alphabetical filing involves arranging files in straight alphabetical order. For example, subject correspondence would be arranged from A-Z, based on the name of the subject. This method is also called the "dictionary" method because it is the method used in dictionaries ^[36].

(ii) Chronological

Chronological involves filing records according to the time (date) they were created. Records can be filed by the year or month in which they were created.

(iii) Numerical

Numerical filing places records in ascending order from the lowest number to the highest. This method also often tells the searcher which files are the oldest (the lowest numbered files) and which are the newest (the higher numbered files).

(iv) Alpha-numerical

An alpha-numeric arrangement uses a combination of numeric digits and alphabet characters to create a flexible filing system. Records main classes and their sub-classes can be filed alphabetically or numerically respectively.

(v) Geographical

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(v) Geographical

Geographical filing entails filing records according to the geographical places they come from or represent. When the records of an organization are requested by place or location rather than by individual or business name, geographical filing is advantageous ^[37].

Maladministration of records at the University of Zambia could partly stem from the poor management of active records. It is highly probable that records which are in both the registry centers and workers offices are not properly classified, indexed and filed. This makes it difficult to retrieve these records when needed.

3.6.5.3 Semi-active and Inactive Records Management

A well developed records management program should articulate how semi-active and inactive records will be managed. As already articulated, semi-active records are those records that are infrequently referred to and are not in active use while inactive records are those that are no longer needed for day-to-day business of an organization.

Semi-active records (both electronic and paper records) are not used often enough to justify their being stored in prime office space and equipment. They should not continue occupying an organization's expensive computer hard disks or office/registry space.

Semi-active records should therefore be transferred from these high cost storage areas to lower cost areas. Those in paper format should be taken to records centers. Those in electronic formats should be transferred to inexpensive storage media such as magnetic tapes, magnetic Discs etc. *Note* that when transferring semi-active records to lower cost storage areas, a Records Retention and Disposal Schedule should be followed. In this regard, those semi-active records that have reached their retention period should be destroyed. Only records whose retention period has not expired should be transferred to

3.6.5.3 (A) Records transferring procedures

When transferring records, ensure that they are transferred as a group. Records should not be separated. All the records groups that have become semi-active should be packed and transferred together to the record center. There is need also to write down all the records that are being transferred. A records *transmittal list* is used in this exercise. The size (volume) of records groups, the period they cover and other details should be recorded in the transmittal list. When all the records arrive at the records center; they should be checked against the transmittal list to ensure accuracy and accountability of the transfer.

3.6.5.3 (B) Arrangement of semi-active records in the Records Center

Records in the records center should be classified and filed in the same way they were classified and filed in the registry or office. This is done in order to maintain the integrity of records. It also ensures easy tracking and retrieving the transferred records when needed.

3.6.5.3 (C) Disposal of inactive records

Once these semi-active records become completely inactive, they should be disposed of in line with the Records Retention and Disposal Schedule. This requires a comprehensive review of all the records in relation to what the Retention Schedule say about their retention period. Those record groups, whose retention period state “*permanent*”, should be taken to the archive for permanent storage. For those whose retention period has expired and the Schedule states that they should be destroyed, they have to be destroyed accordingly. “The safest and environmental friendly method of destroying unwanted records is shredding” ^[39]. This destruction of records can be done by the organization itself or contract another organization. Unwanted records (especially paper records) can also be sold to a paper making company which can recycle them. Records in electronic format should be deleted so that the storage media can be used. Care should be taken when destroying records to ensure that the confidentiality of records is maintained.

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All the records which are due for destruction should be recorded on a records *destruction form* to ensure transparency. The details to record on the destruction form include records series, the years the records cover and the person or organization that will carry the destruction.

3.6.5.3 (D) *Arrangement and organization of archives*

For those records with value (archives) should be taken to the archives and be arranged in the same way they were arranged in the records center. This is possible if the archival facility is in-house. Even if an external archival storage facility is used, records should be kept according to the organization they are coming from. Records emanating from one organization should be kept together. Records in the archival facility should be well classified, indexed and filed to ensure easy retrieval.

3.6.5.3 (E) *Tracking the movements of records*

To ensure that the management of both inactive and active records is effective, there is need to develop a *record and file tracking system* for monitoring the movements of records. A tracking system enables records officers to know where a file is at a time, whether it is with a particular user, on the shelves or in secondary storage^[44]. A tracking system controls the movement of records. Tracking systems are cardinal in the management of paper records. Both *manual* and *automated* tracking systems are used.

Manual tracking systems include *file movement book registers*, *file movement cards* and *file movement trackers* (file out cards) are used to track the movement of records in organizations. Automated (electronic) file tracking systems such as databases powered by

systems such as location cards, index cards, docket books, and file transfer slips will suffice^[45]. Serious consideration should be given to the use of computer databases when there are more than 400 file movements per week. An electronic system reduces the amount of paper generated, and therefore the volume of paper to be stored. It is also more efficient as it speeds up information retrieval and reduces misfiling.

The problem of maladministration of records at the University of Zambia could also be partly attributed to a lack of a proper records tracking system. In the absence of a proper record tracking system, it is difficult for records officers to track the movement of records. This results in the loss of some records in their custody.

3.6.5.4 Vital records protection

A record management program should also cater for the management and protection of vital records from elements such as *fire, floods, excessive humidity, pest infections, theft and deliberate destruction of records*. Vital records are records that are essential to the continued functioning or reconstitution of an organization during and after an emergency and also those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities^[40]. These are essential records which can cost an organization a leg and an arm if lost. They are needed in the re-establishment of an organization in an event of a disaster. 10% of an organization's records constitute vital records. Records managers should develop a plan on how to protect vital records^[41].

(i) Identifying Vital records

The first step in developing this plan is to identify vital records. For identifying vital records, one needs to understand the objectives and functions of an organization. This understanding is the foundation for knowing records which are vital and which are not. There is need also to look at the results of a records inventory exercise. The inventory can provide information on the organization's records. Senior managers in the organization

The first step in developing this plan is to identify vital records. For identifying vital records, one needs to understand the objectives and functions of an organization. This understanding is the foundation for knowing records which are vital and which are not. There is need also to look at the results of a records inventory exercise. The inventory can provide information on the organization's records. Senior managers in the organization should be interviewed in order to obtain their understanding of which are the vital records associated with the major functions of the organization. All records should be investigated regardless of media. When for instance electronic records are identified as vital records, computer system specifications and operating instructions should also be included so that the records can be accessed ^[42]. Note that the retention of these vital records should be in line with what a Records and Retention Schedule stipulates.

(ii) Identifying Potential Risks

After identifying vital records, there is need to identify the potential risks they face. To successfully identify the risks records face, there is need to consider the *political, local, geographical* and *environmental* factors. Political factors to consider include the political stability of the place or country one is operating in. Political instability could result in wars and other civil strife that could lead to the loss of records. Geographical and environmental factors to analyze include the possibility of the place one is operating in experiencing earthquakes, snow, floods etc.

Also look at the nature of work done by the organization. Look at the activities/functions of an organization. Some of the activities/functions of an organization could pose a threat to its records. For example, the intelligence offices in Pakistan were bombed by the Taliban in October, 2009 because it was providing information about the Taliban activities to the Pakistan soldiers.

There are three broad categories of risks. These are *natural, technical* and *human* threats. Natural threats include internal flooding, external flooding, internal fire, external fire, seismic activities (earthquakes), high winds, snow and ice storms, volcanic eruption,

Human threats are robbery, bomb threats, embezzlement, extortion, burglary, vandalism, terrorism, civil disorder, chemical spill, sabotage, explosion, war, biological contamination, radiation contamination, hazardous waste, vehicle crash, airport proximity, work stoppage (Internal/External), and computer crime ^[43].

(iii) Risks Ranking

Rank the identified risks in terms of their likelihood occurrence. Measurement terms such as **very high, high, low, very low** are assigned to all the risks. The risks with **very high** have a very high likelihood of occurring and protective measures should be instituted to protect records from the envisaged disasters.

3.6.5.4. (A) Vital records protection methods

There are basically four methods used in protecting vital records. These are: dispersal, duplication, on-site storage and off-site storage.

(i) Dispersal

This is both unplanned and planned distribution of organization's vital records to other branches and offices. It is unplanned in the sense that vital records can be sent to other offices just for administrative purposes but they end up being a back up for the original copies. It is planned if the distribution of vital records is for protection purposes. Using dispersal, copies are usually sent to designated offices in other locations until the vital records retention requirements are met.

(ii) Duplication

Records that are vital to the organization have to be reproduced. Extra copies of the records have to be made. When making extra copies of records, keep in mind the size and volume of records, frequency of updates, storage facility requirements and environmental conditions for records. Duplication can be in any information media: paper, microfilms, electronic or magnetic.

volume of records, frequency of updates, storage facility requirements and environmental conditions for records. Duplication can be in any information media: paper, microfilms, electronic or magnetic.

(iii) On-Site Storage

This involves storing vital records in fire-resistant containers, file cabinets, safes, vaults and file rooms designed for the purpose of vital records storage within the organization's premises. Such storage receptacles should be well marked, and the agency's fire protection plan should include special precautions to prevent fire from spreading to areas where such equipment is located. Note that the containers should be good enough to withstand environmental factors such as temperature and humidity.

(iv) Off-Site Storage

This entails keeping original or copies of vital records in facility outside your organization. In this regard, the records can be sent for storage to a sister organization or partner organizations. Alternatively, records can be sent to privately owned records off-site storage facility. Advantages of an off-site storage facility include good environmental controls for temperature, humidity, air filtration and circulation and other detection and monitoring devices as necessary. In addition, the staff are trained in records management and the facilities have the latest storage requirements. The security in an off-site facility usually has state-of-the-art security detection.

In concomitance with the above articulation on vital records protection plan, the problem of maladministration of records at UNZA could be partly due to the lack of a plan to protect vital records of the university. As a result, vital records of the university go missing, hence hampering the effective administration of the university.

the disposal stage of a record. As already articulated, a records continuum model has emerged in the sphere of records management. The proponents of this model contend that the efficiency with which electronic records are stored and retrieved is dependent on the controls that were implemented during the time of creation.

It is indisputable to say that correspondence, reports, policy and procedural information and forms constitute the major four types of records in organizations. It is imperative therefore to prescribe how these records should be created. Programs and creation control measures of these types of records should be clearly articulated to ensure efficiency management of records in an organization.

3.6.5.5 (A) Benefits of controlling the creation of correspondence, reports, policy and procedural information and forms in an organization

The benefits that accrue to an organization from controlling the creation of correspondence, reports, policy and procedural information and forms include the following:

- There is control over the volume of information being produced in an organization, making it easy for managers to make decision faster in that the documents they have to sift through and assimilate are minimal.
- There is standardization of presentation of information in the organization.
- Minimization of duplications is achieved, thus lessening pressure on the storage space needed for records.
- Information is timely and directed to the people who need it in the organization.
- There is control of records size and media types thus controlling unnecessary expenses.
- There are uniform procedures in the processing of information in an organization

[46]

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- Information is timely and directed to the people who need it in the organization.
- There is control of records size and media types thus controlling unnecessary expenses.
- There are uniform procedures in the processing of information in an organization [46].

3.6.5.5 (B) Developing programs to manage the creation and generation of different types of records

Many approaches and methods are deployed when developing programs to manage the creation and generation of different types of records. However, certain cardinal steps are followed. These steps include the following:

(i) Defining the goals of the program

This involves stating clearly what the program intends to accomplish. The records manager should clearly articulate why such a program is needed in controlling the creation and generation of records. The goals of the program should be couched in terms of cost and efficiency benefits. Ensure that management and staff see how the program will benefit the organization and themselves in their work performance.

(ii) Dissemination of a policy statement from management authorizing the program

The policy should spell out the goals of the program and assign responsibilities. Support from management is important if any program is to succeed.

(iii) Survey of present procedures

Present procedures must be examined and evaluated, and problem areas and opportunities for improvements are identified.

(iv) Development of an action plan

correspondence in order to enhance productivity in an organization. The objectives of any correspondence management program are to limit correspondence to essential requirements to improve the quality of correspondence, and to provide for its creation in an economical and efficient manner.

3.6.5.5 (C 1) Goals of a correspondence management program

The goals of a correspondence management program include the following:

- Reduce the cost of producing and disseminating correspondence.
- To improve the quality of correspondence in terms of presentation, readability, and timeliness
- To reduce the time taken in producing correspondence thereby improving productivity.
- To facilitate the storage and retrieval of correspondence. Well prepared correspondence with appropriate referencing, and formatting is easier to store and retrieve^[48].

3.6.5.5 (C 2) Facets of correspondence management program

The major components of a correspondence management program include the following:

- (i) A prescription of a style for writing all correspondence in the organization. For instance templates for writing letters, memoranda, bills and reports should be designed and followed by all staff in an organization.
- (ii) Providing training to workers on how to create (write) correspondence in the organization. The human resource department should be asked to organize such training.
- (iii) Developing strategies to ensure that minimum time is taken in producing and responding to correspondence. This could be done by implementing an automated corresponding management system. There is also the need to install

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- (ii) Providing training to workers on how to create (write) correspondence in the organization. The human resource department should be asked to organize such training.
- (iii) Developing strategies to ensure that minimum time is taken in producing and responding to correspondence. This could be done by implementing an automated corresponding management system. There is also the need to install word processing software that will make it possible for the staff to produce quality correspondence. Staff should also be encouraged to communicate information (correspondence) using cost effective methods such as e-mails and telephone voice to avoid reliance on hard copy so as to be efficient and cut down on the cost of records management in the organization. There is need also to discourage the habit of printing so many copies of correspondence.
- (iv) Support from staff to ensure that correspondence management procedures are implemented. This could be achieved by always having experts available to help staff with problems of using the software, ensure continuous training of the staff and update the correspondence management procedures.

3.6.5.5 (D) Reports management program

Reports constitute the basis upon which organizations make decisions. A report is synonymous to intelligence (actionable information). Reports help determine where, why and how problems occur, thereby allowing agencies to better determine ways to distribute resources, manage routes and operate systems. Reports management is about managing the

- A reports costing system should be developed to adequately assess the cost of reporting so that management can determine the value of report series in an organization.

3.6.5.5 (E) *Form management program*

Forms constitute one of the major records in organizations. Forms are used in the collection, processing and dissemination of information in organizations. A form is a tool used in the operation of an agency's business. It is a document, on paper or electronic media, which is carefully designed to gather and transmit prescribed information ^[50]. Generally, a form is used in initiating an action, recording a transaction and reporting something.

A program should be developed and implemented to ensure that the design and generation of forms in an organization are managed in order to avert unnecessary paper records. The facets of a form program include:

- An inventory of all forms currently being used in an organization. The purpose of the form and the method of entering data on the form (such as use a pencil or fill online) should be stated. The format of the form should also be stated.
- Develop a numbering system for each and every form. The number could be a combination of letters and numbers ^[51]. Letters representing a department requesting a form plus the month and year the form was designed could be used. Example of a number ADM/01/2000
- A numerical file of the forms should be developed and maintained which should be used for reference by forms management staff. All forms should be filed in this folder.
- Establishing a process of reviewing and approving forms. This will ensure that a proposed form is scrutinized to ensure that it collects adequately the information needed. This calls for checking if the instructions on the form are clear or not,

3.6.5.5 (F) Policy and procedure management program

Policies and procedures (manuals) are created by organizations to explain how employees should perform their tasks. Policies and procedures equally constitute one of the records organizations accumulate. A program to manage these records should be drawn up. The program should include establishing a complete list of the existing policies and procedures to avoid duplication of efforts. It should also include the establishment of a policy and procedure review process. In addition, the program should ensure standardization in terms of the formats of the policies and procedures that are generated by the organization.

The problem of maladministration of records at UNZA could be seen to be exacerbated by poor management of the creation and generation of correspondence, forms, reports and policies. The creation of correspondence, forms, reports and policies is probably not controlled. This has resulted in the accumulation of a lot of unnecessary records thus making it difficult to manage.

3.6.5.6 Electronic records management

Electronic records management is also a major component of any records management program. “Electronic records are informational or data files that are created and stored in digitized form through the use of computers and applications software” ^[52]. These electronic records are stored on various magnetic and optical storage devices and are products of computers and computer software. The Uniform Electronic Transaction Act (UETA) defines electronic records as “a record created, generated, sent, communicated, received, or stored by electronic means”. It is cardinal to note that electronic records are part of a big family called “*digital objects*”. They are digital objects because they are created and stored in numerical form (represented by numbers 0s and 1s) and only a machine can read them and render their meaning to human beings through user interface such as a computer monitor and camera screen.

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Electronic records pose more challenges than paper records to records officers hence the need for any records management program to address the management of these records. In most organizations, electronic records are kept in centralized and decentralized Data Base Management Systems (DBMS), Electronic Management Systems (EMS) and Document Management Systems (DMS). Some electronic records are stored on personal computers’ hard drives, Optical Discs (CD ROMs/DVDs), Magnetic Tapes, Flash Drives etc. To ensure that electronic records are effectively managed and their authenticity maintained, organizations should develop and implement an electronic records management program. The program should include the following components:

3.6.5.6 (A) Guidelines on software to procure for electronic records management

As already articulated, many organizations keep and manage electronic records in Data Base Management Systems (DBMS), Electronic records Management Systems (EMS) and Document Management Systems (DMS). It is indisputable to say that not all EMS, DBMS and DBMS software are suitable for the management of records and other information. Some do not have inbuilt safe guards and capabilities to provide audit trail

procured. This could enhance the authenticity and reliability of records kept in these systems.

3.6.5.6 (B) Guidelines on how to capture and keep web site contents

Many organizations provide services and goods to their clients through websites. In this regard, materials provided on agency web sites must be managed as other agency's records. Documents that would qualify as official records with permanent or long-term value should be captured and retained either in hard copy or electronically^[54]. This may apply to individual parts of the agency web site or it may apply to the entire site. Guidelines on how website contents should be captured and kept should be established and adhered to. For example, if an agency places a publication on its web site, and the publication is not available in any other form, then that publication is the official record and should be captured and retained in some way. If the agency publishes a report on their web site and has paper copies or the computer file that was used to create the report, then the copy on the web site is a duplicate copy and probably does not need to be captured. Additionally, if a web site is being used to conduct business transactions, the web pages associated with the activities are considered part of that transactions' legal documentation and must be retained in order to establish what the user saw when the order was placed.

3.6.5.6 (C) E-mail management guidelines

E-mail messages are electronic documents created and sent or received by a computer System^[55]. E-mail messages are often used as communication substitutes for the telephone as well as to communicate substantive information previously committed to paper and transmitted by more traditional methods. It is salient to note that these e-mails are transmitted and managed by electronic mail systems. *E-mail systems are store-and-deliver software systems that transport messages from one computer user to another.* E-

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Not all e-mails qualify to be records. E-mails that should be deemed as records must contain in them some evidence relating to official organizational transactions. Therefore, personal e-mails received by organization's employees cannot be considered records and they should not be mixed with official e-mails with evidential value. In addition, official e-mails without evidential value cannot be called records.

For e-mails with evidential value to be managed properly, there is need to clearly define what e-mail will be considered records. There is need also to state clearly the person or the office that should capture and retain e-mails in case duplicate mails are distributed in an organization ^[56]. The responsibility of capturing the e-mail can rest on the shoulders of the sender or the receiver depending on what the organization decides. Deciding who should be responsible for capturing the e-mail will ensure that the records are retained and it will reduce disk space consumed by redundant information.

The system uses existing interface; it is easy for end user to manage and it is available via Outlook Web Access (OWA). However, there are no records management tool (no global search capabilities) available for this method. The other disadvantages of this method are inadvisable long-term strategy from Microsoft, increased costs (server, storage, backup, etc.), reliance on end user to adhere to policy

Another method of managing e-mails is by creating folders that are stored outside of the mailbox but can be viewed using the e-mail client. If e-mail is stored on a shared drive, proper and regular backup procedures must be in place. Advantages of this method include:

There is utilization of existing technology and it is easy for end user to manage because they are familiar with the technology. The disadvantages associated with this method are no records management tool (no global search capabilities) and reliance on end user to adhere to policy.

Organizations and individuals can store, access and manage e-mail messages and other electronic records using an Enterprise Content Management (ECM) system, such as IBM FileNet ^[58].

Advantages of this method are that it enables global search and access to all retained messages. It has the potential to capture e-mail, calendars, contacts, tasks, and notes. There is also reduced reliance on end user through allowing for automated, rules-based capturing of e-mails. In addition, the system allows selective retention and disposition of e-mails and it allows users to meet mailbox size quotas and retention periods. The disadvantages associated with this method are costs associated with software. This method also requires additional technology and administrative resources (servers, storage, and support staff).

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E-mails can be managed by printing them along with any transmission and receipt data and maintain them in a manual filing system. The Advantages of this method are:

No additional technology costs to an organization. The disadvantages associated with this method are that there is potential for high administrative costs, storage costs (facilities, smoke proof/fireproof containers, etc.), and security and authenticity of e-mails could be compromised ^[59].

There is also need to provide guidelines on how to classify and file e-mails. E-mails like any other records should be classified according to the organizational classification/filing scheme. If the classification/filing scheme says records should be classified according to the function they serve, that should be followed even in the management of e-mails. For e-mails that are managed through commercial e-mail management systems, these systems should be configured to meet the organization's classification and filling of e-mails.

3.6.5.6 (D) *Procedures and guidelines on how to preserve electronic records*

The term, "preservation", is defined as a process of keeping safe or free from harm or decay ^[60]. Preservation of electronic records entails prolonging the life span of records so that they can be accessible even in future.

It is important to clearly state the methods by which electronic records will be preserved and what information should not be lost during the preservation process. In addition,

technology. Other scholars observe that preservation of digital resources calls for media migration and format conversions as the way to avoid degradation and technological obsolescence that digital resources face^[62].

It is important to note that migration is broader than “refreshing” concept which is a process of copying digital objects onto new media. Migration addresses both the obsolescence of the storage media and of the hardware and software controlling and managing electronic records and other digital objects. With migration, electronic records have to be constantly transferred from old hardware and software technology to new ones as technology changes in order to ensure that the records are accessible.

Technology is changing rapidly. For example, in the past years, floppy diskettes were used as storage media (hardware) and computers with diskette drive were in fashion. But today, floppy diskettes have been replaced by CDs, DVDs, and flash disks and no computers with diskette drive are present. In line with the concept of migration, electronic records stored on Floppy diskettes have to be transferred to new storage media (hardware) such as DVDs, and Flash disks.

Note: When transferring electronic records from old generation of hardware and software to new ones, ensure that no information about such records such as *Meta data* is lost.

Another method to preserve electronic records is to save (keep) them on file formats that do not become obsolete fast. “A file format is encoding that makes electronic objects readable by translating the object to a human readable form with format software”^[63]. Access to digital resources occurs at format level; thus file format is fundamental to all accessibility and preservation actions. It is worth noting that too many file formats exist and some are obsolete already. Furthermore, some file formats are not compatible both backwards and forwards (a new file format version cannot be opened in old version of the

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Since electronic records are created mainly using proprietary software applications such as Microsoft Word, for long term preservation, it is advisable to convert those (records) to non-proprietary file formats such as XML. File conversion software are available to do the conversion in case the program you are using to create such digital resources cannot provide you with options to save in different formats. This is because non-proprietary software is not owned by an individual organization or person and can be accessed with different software systems; therefore, they are more stable than proprietary software. XML file formats, for example, are independent of the hardware and software thus; they do not suffer from hardware and software obsolescence problem. XML files can also be accessed with different software and software systems [64]. XML file format is therefore good for preservation of text based digital resources.

However, some proprietary file formats which are standard open source formats such as PDF can be also used as file format for storing text based digital resources, although it

3.6.5.7 Personnel for records management program

Personnel is one of the major elements of a records management program. No program can succeed without a cadre of qualified and motivated staff. Any records management program should seek to attract, train and motivate records management staff to stay in the organization.

3.6.5.7 (A) *Critical skills for records officers in an information age*

In this information age, where there is an exponential increase in electronic records, records officers should be highly qualified. The notion that everyone can manage records should be quickly discarded. The success of a total records management program depends on the selection, training and continuous development of a full-time staff especially equipped to handle all the growing list of responsibilities assigned to it ^[65]. The emergency and growth of electronic records in organizations and the global recognition of records as one of the tangible and intangible resource (asset) of organizations call for the acquisition of new skills by records managers and records clerks. For any records management program in this information age to succeed, records officers should have a thorough understanding of records management principles and acquire skills in information communication technology (ICTs). Records officers need to fully comprehend the art of database designing and be conversant with the major DBMS and EMS software currently on the market. This will put them in a position to be able to work and provide prudent advice to the IT department of their organizations as they seek to procure software for the management of both records and other information.

Records management officers should be conversant with web designing as their responsibilities in today's society extend even to the managing website records. In addition, records officers should be able also to provide the needed leadership in the preservation of electronic records. They should have the knowledge and understand all the preservation methods used in preserving digital resources.

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The head of records management program of an organization (the records manager) should be highly exposed to Database and Website technologies as he/she is the leader of all records management functions in an organization. The head should not only be highly qualified in records management but also in information communication technology especially database and website designing technologies so that he/she provides the much needed leadership in the management of both paper and electronic records of an organization. There is a saying that "*an army of sheep led by a lion can win a war*". This implies that if the records management leader is qualified and knows the art of managing both paper and electronic records management, his/her subordinates will be performing well in their various positions.

3.6.5.7 (B) *Academic qualification of a records Manager*

Although there has been no specific set academic qualifications for who should be employed as a records manager or administrator, a minimum of a degree in Library Studies, Records Management or Information Science with a bias towards database and website designing could suffice. A master's degree in these above fields could be preferable. **Note** that currently there are few or no institutions offering a bachelor's

example, the UNDP in Kenya, December (2009), set a secondary certificate qualification for a candidate to be employed as a registry officer to be based in Kenya ^[66]. This qualification is not good because a person with a higher school certificate does not understand records management principles and cannot perform better.

3.6.5.7 (D) *Continuous Training and Development of records officers*

Society is changing rapidly. This implies that even the way we do things such as managing records is changing rapidly. Records officers need to be kept abreast of the changes or else they will be rendered irrelevant. This therefore calls for continuous training and development of records officers. Training is a process whereby people acquire capabilities to aid the achievement of organizational goals. In a limited sense, training provides employees with specific, identifiable knowledge and skills for use in their present jobs. Sometimes a distinction is drawn between training and development, with development being broader in scope and focusing on individuals gaining new capabilities useful for both current and future jobs ^[67].

Training and development could be internal or external. Internal training and development involves in-house imparting of knowledge to the staff in the organization through activities such as *mentoring, workshops* and *seminars* (facilitated by internal staff). External training and development is achieved by sending employees to attend seminars, workshops and conferences organized by other people and organizations. Sending employees to study in universities and colleges also constitutes external training and development of staff in organizations. Through training and development, employees acquire knowledge which could improve their performance in their current and future jobs.

Any records management program therefore should develop training and development programs so that records officers continue to acquire the knowledge needed in discharging their functions. Without continuous training and development, records

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Any records management program therefore should develop training and development programs so that records officers continue to acquire the knowledge needed in discharging their functions. Without continuous training and development, records officers are left behind as the art of managing records is changing rapidly. They will be failing to contribute to the efficiency management of an organization's records.

3.6.5.7 (E) *Motivation of records management staff*

It is easy to attract good employees but it is difficult to retain them. It is difficult to motivate them to remain with your organization. For a records management program to be a successful story, records officers needed to be motivated to work. Motivation refers to the forces within a person that affect his or her direction, intensity, and persistence of voluntary behavior^[68]. Although money is not the only source of motivation, it is a very important motivational factor. Employees need to be adequately remunerated if they are to stay with an organization or else they will be poached by your competitors who will offer them more money. In this vein, records officers need to be adequately remunerated. According to employees' perception of adequate pay, the pay should enable employees to meet their needs. It should be able to meet the first two sets of Abraham Maslow's hierarchy of human needs. These are *physiological* and *safety* needs. Employees' physiological needs include shelter, water, food, and clothes while their safety needs include medical insurance and financial reserves. In addition, the working environment

supplies.

It is imperative that all funds meant for records management program are controlled by a records manager. The manager should be controlling and monitoring the expenditure on equipment and supplies. In small organizations where there is no records manager, individual departments should control their records management budgets. Once finances are available for records management program, issues of facilities such as filling equipment, computers, software, scanners, printers, furniture and accommodation for both the records and staff can be easily sorted out (procured).

In line with the above argument on financial support for records management program, one could argue that records management activities at the University of Zambia do not receive much financial support from management; hence, the problem of maladministration of records.

3.6.5.9 Procedures for records management

Procedures form the basis of the entire records management program. A procedure is a specified series of actions or operations which have to be executed in the same manner in order to always obtain the same result under the same circumstances ^[70]. Examples of procedures include emergency procedures. Procedures are first developed when a records management system is being developed. Procedures are an important part of records management program because they ensure standardization of all records management activities in an organization. These procedures can be in the form of *manuals* and they should be frequently updated. Records management which should be developed and made available should cover how records should be classified, how they should be discharged to the clients, and how records should be destroyed. Procedures should also prescribe how records should be transferred from one storage place to another. Procedures/manuals should be developed so that officers know what they should be doing as they discharge their functions.

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3.6.5.9 Records Management Policy

For a records management program to enjoy support from all employees in the organization, management should develop a policy showing how its records will be managed. A Policy is a plan of action adopted by an individual or social group ^[71]. A records management policy is the official charter for performing all records management functions. It should refer to a total records management program of an organization and spell the objectives of a program. In short, it should cover all the elements of a records management program. The absence of procedures, policies and manuals breeds maladministration of records as records officers and other personnel manage records without following laid down procedures and rules. This could also partly explain why there is maladministration of records at the University of Zambia.

3.6.6 The position of Records Management function in an organizational structure

The position of records management function in the structure of an organization has a bearing on the efficiency and effectiveness of any records management program. Where records management fits in an organizational structure varies from one organization to another. Where it is placed does contribute to its effectiveness throughout the

cinderella function which is insignificant when in fact records (information resource) are a major asset of any organization. Records management is a line function which should have a place in organizational charts ^[73]. In large organizations, it is ideal to create a position of a records manager in the hierarchy of an organization and place records management function in this office (the records manager's office). The records manager should be the overseer of all records management in an organization. A records Manager is an expert in records management and should be in charge of records function of an organization. Entrusting all records management functions to records management department makes coordination of records management functions across the organization easy. In addition, more resources will be committed to records management activities by management.

It can therefore be argued that maladministration at UNZA is partly due to the assigning of records management function to an office which is not competent and overburdened by other responsibilities making it difficult to efficiently coordinate all records management activities in the University.

CHAPTER 4 RESEARCH DESIGN, POPULATION DESCRIPTION, SAMPLING TECHNIQUES, DATA COLLECTION METHODS AND DATA ANALYSIS METHOD

4.1 Research design

The study was a quantitative research. In this regard a survey method was used. This process entailed gathering information from a sample of the population using an instrument (self administered questionnaire). The research findings from the sample were generalized to the whole population. This research design was adopted because it is cheap and fast to collect information or data over a broader population.

4.2 Population and Sample Size

The population comprised all university staff involved in the handling and management of records at the University of Zambia- Great East Road Campus. This staff included registries staff, records centers staff, administrators, accounting officers and library assistants (those who manage library records). The initial sample size was 50 but only 43 respondents managed to answer the questionnaire.

4.3 Sampling Procedure and Justification

The sampling method was non-probability. To be precise, Purposive or judgmental sampling method was used. This method of sampling was adopted due to a number of reasons. These include the following:

The researcher had knowledge of people who could provide the much needed information and data on problem under investigation hence the need to use a purposive sampling method. In addition, it was not feasible to get a complete sample frame needed for randomly sampling as there was poor management of personnel records at the university.

4.4 Sampling units

Sampling units consisted of male and female member of staff involved in the management of records at the University of Zambia.

4.5 Data collection instrument

Self administered questionnaires were used to gather information and data for this research. This data collection instrument was used because it is cheap and offers freedom to the respondents to answer questions with no influence whatsoever from the researcher. Oral interviews through telephone were also used to beef up the data collected through questionnaires

4.6 Data analysis methods

Data was quantitatively analyzed using computer software called Statistical Package for Social Sciences called (SPSS). Three methods of data analysis: Univariate and bivariate analyses were used. Univariate analysis entails analyzing one variable while a bivariate analysis allows the researcher to correlate or show the relationships among variables (the independent and dependent variables). Graphical representations such as bar charts, pie charts, cross tabulations and frequency tables were extensively used when performing univariate and bivariate analyses in this study.

CHAPTER 5 INCLUDE RESEARCH FINDINGS, DISCUSSION OF THE FINDINGS, CONCLUSION AND RECOMMENDATIONS

5.1 Research findings

Sample description

A total of 50 questionnaires were distributed from December (2009) to January (2010) among the university of Zambia staff involved in the management of records. However, 43 questionnaires were returned answered. Out of 43 questionnaires administered, 25 which 58.1% were answered by male respondents while 18 (41.9%) were answered by female members of staff. In terms of age, the majority of the respondents aged between 35-44 years. 18(41.9%) of the respondents were between 25 and 34 of age; 24 (55.8%) were between the age of 35 and 44 and 1(2.3%) respondent was above 45 years old. 69.8% of the people interviewed were married while 30.2% were single as shown by the table below.

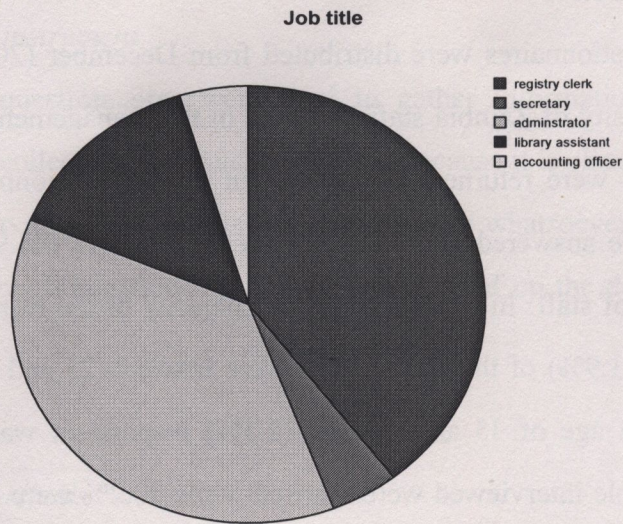
Table 1

<i>Variable</i>	<i>frequency</i>	<i>%</i>
Gender		
<i>Male</i>	25	58.1
<i>Female</i>	18	41.8
Age		
15-24	0.0	0.0
25-34	18	41.9
35-44	24	55.8
45-54	1.0	2.3
Marital status		
<i>Married</i>	30	69.8
<i>Single</i>	13	30.2

On the highest level of education attained by the respondents, 76.7% of the officers interviewed said they had attained tertiary education. 20.9% said secondary education is their highest level of education attained while 2.3 % (1 respondent) said primary/ basic school is the highest level of education attained.

As shown by the pie chart below, the majority of the respondents were registry clerks and administrators.

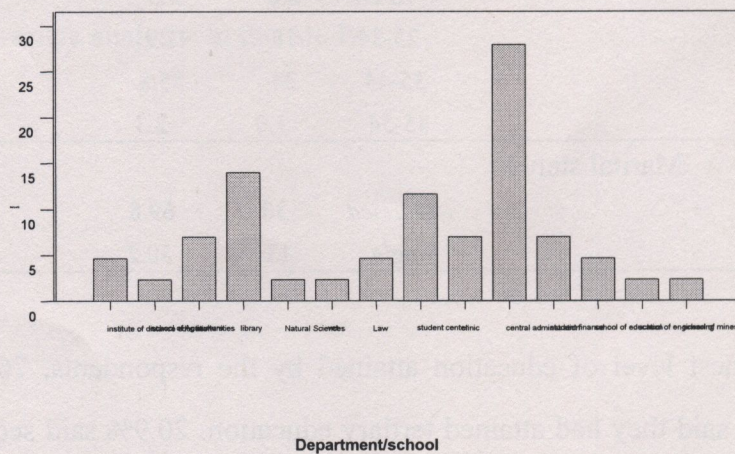
Figure 1



This was so because registry clerks and administrators shoulder a great responsibility in the management of the records of the University of Zambia.

The majority of the officers interviewed work for the central administration.

Figure 2



In terms of the length of period these officers have been working at the University of Zambia, 24 (55.8%) said they had been working for the university for more than five years while 19 (44.8%) said they had been working for less than 5 years.

Formats of records

On the format of records they keep, 53.5% of the respondents said they manage records which are in both paper and electronic format. 44.2% said they keep only records in paper format. Only 2.3% revealed that their records are in electronic format as shown by the table below.

Table 2

Formats of the records kept

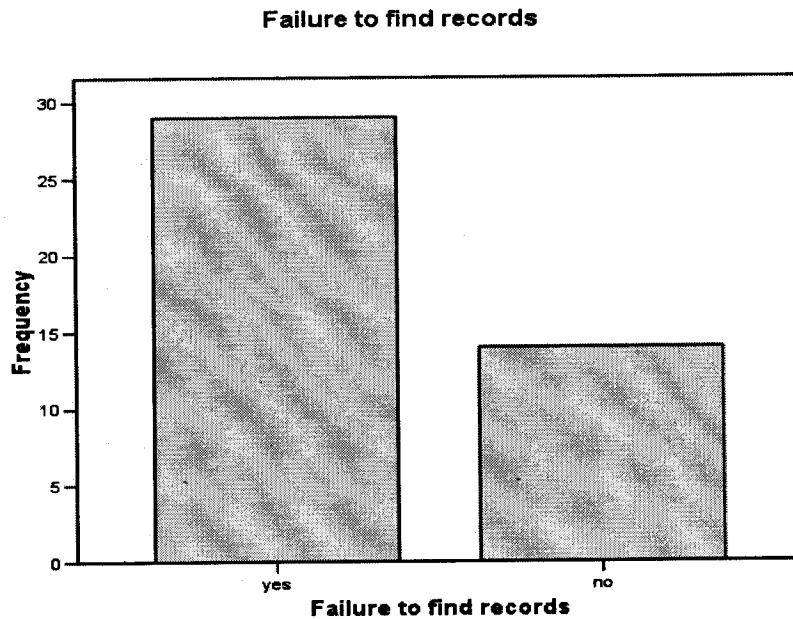
		<i>Frequency</i>	<i>Percent</i>	<i>Valid Percent</i>	<i>Cumulative Percent</i>
<i>Valid</i>	paper	19	44.2	44.2	44.2
	electronic	1	2.3	2.3	46.5
	both paper & electronic	23	53.5	53.5	100.0
	Total	43	100.0	100.0	

The implication of these findings is that the bulk of the records managed at the University of Zambia are in paper format. Only a handful of records are in electronic formats such as CDs, DVDs, and Magnetic tapes.

Symptoms of maladministration of records

When asked if these record officers fail to locate and retrieve the needed records on time, 29 (67.4%) officers said they fail to locate and retrieve the records. Only 14 (32.6%) said they do not fail to retrieve and locate records as shown by the bar chart below.

Figure 3



When those who said they fail to retrieve records on time were asked to show how often they fail to locate and retrieve the needed records, 7 (16.3%) said it happens often, while 23 (53.5%) officers said it is not often. Failure to retrieve the needed records in time implies that decisions making and all activities records support are delayed. This constitutes inefficiency in discharging the functions of the university.

On the issue of losing or missing of records, disturbingly, 69.8% of records officers admitted that there have been incidences where records under their custody go missing. Only 30.2% of the respondents said they had never experienced the loss of records in their care.

Table 3

Missing of records in the university

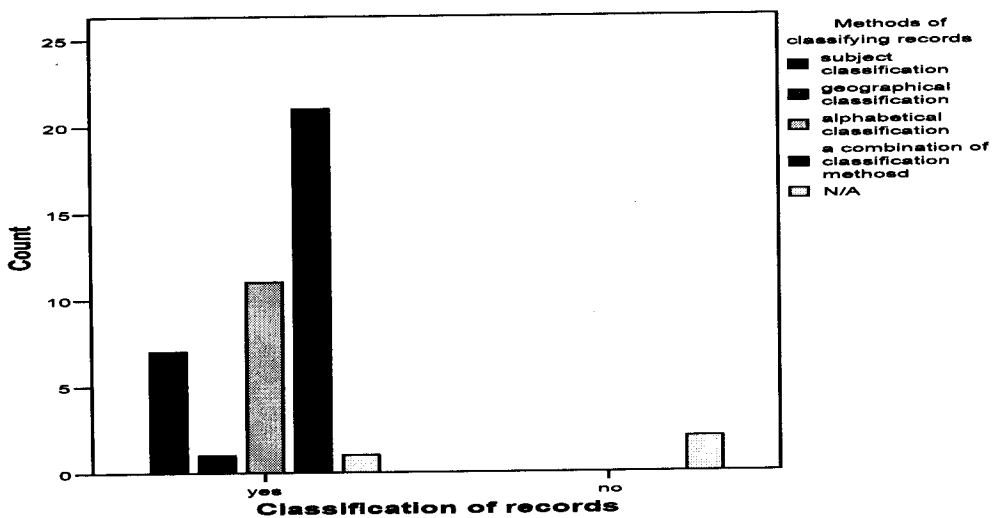
	<i>Frequency</i>	<i>Percent</i>	<i>Valid Percent</i>	<i>Cumulative Percent</i>
Valid yes	30	69.8	69.8	69.8
no	13	30.2	30.2	100.0
Total	43	100.0	100.0	

This implies that the problem of missing records is rife at the university of Zambia. These findings confirmed the fears the university stake holders such as the government of the Republic of Zambia and students have been expressing over poor records keeping at the institution. The missing of records feeds misappropriation of financial resources of the university and other vices that undermine transparency and accountability in the management of the university affairs.

Records management Practices

In trying to know how records are being managed, questions on general records management practices were asked. On the need to classify records, 41 (95.3%) of the respondents said they classify records while 2 (4.7%) said they do not classify records. It was discovered that the majority of the respondents use a combination of classification methods such as subject, organizational and functional classification methods as shown by the bar chart below.

Figure 4



On the practice of indexing records, 34(79.1%) said they assign index terms to records while 9 (20.1%) said they do not. The majority of those who said they index records revealed that the index terms reflect the records contents.

The fact that the majority of respondents said they classify and index records implies that records officers and other staff involved in the management of records at the University of Zambia uphold the principle and practice of records classification

On records filing practices, 34 (79.1%) of the respondents said they do not put more than 300 papers of records in one folder against 9 (20.9%) who said they put more than 300 papers of records in a single folder. These findings on filing practices also showed that the majority of the respondents follow basic records filing principles.

As a matter of practice and principle, active records are supposed to be kept in a registry, semi-active records in a records center and archives in an archive. 90.7% of the respondents said active records are kept in registries while 9.3% said they are kept in offices of individual workers of the university. On semi-active records, 19 (44.2%) of records officers said they are kept in records centers against 24 (55.8%) who said they are kept in registries. 13 (30.2%) of the respondents said inactive records (archives) are kept in records centers, 11 (25.6%) respondents disclosed that archives are kept in the university library and 19 (44.2%) said archives are kept in registries as show by the table below.

Table 4

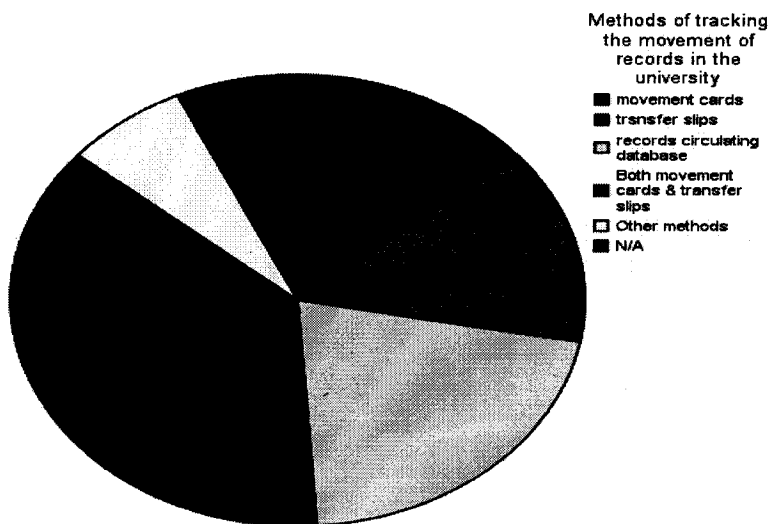
Storage place & records type		
<i>Active records</i>	<i>frequency</i>	<i>%</i>
Workers' offices	4.0	9.3%
Registries	42	90.7%
<i>Semi-active records</i>		
Registries	24	55.8%
Records center	19	44.2%
<i>Archives</i>		
Records Center	13	30.2%
Library	11	25.6%
Registry	19	44.2%

The above findings imply that there is mixing of active records, semi-active records and archives at the University of Zambia. For instance 55.8% of the respondents said semi-active records are kept in registries and 44.2 % said archives are kept in registries. The mixing of active records and archives with active records in registries defies the practice of separately keeping these three records. If the registry is not properly demarcated, this can lead to misfiling of records thus resulting in serious difficulties in retrieving records.

Tracking the movements of records

Tracking of records is a very important practice because it ensures that records discharged to officers are not lost. It was encouraging to note that the majority of the respondents said they do track records. 93.0% said they track records while 7.0% they do not. For the respondents who said they track records, the majority said they used both movement cards and transfer slips to track records as shown by the pie chart below.

Figure 5



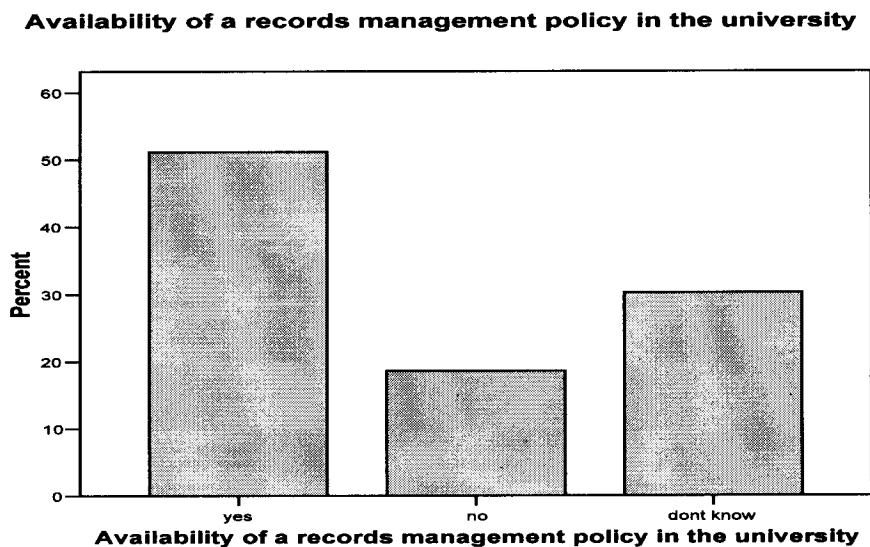
On the effectiveness of the records tracking methods, 88.4 % of those who said they track records said the tracking methods have been effective. The above findings entails that

there is tracking of records at the university of Zambia- a critical exercise for ensuring safe custody of records.

Availability of a records management policy

After establishing that the problem of maladministration of records at UNZA was real, the research wanted to uncover the source of this maladministration of records. The respondents were asked to tell if the university has a records management policy. 22 (51.2%) said that the University of Zambia had a records management policy whose contents they understand. 13 (30.2%) of the respondents said they did not know if the university had a records management policy while 8 (18.6%) said there was no records management policy.

Figure 6



After cross tabulating the job title and the availability of the records management policy responses, it was discovered that the majority of the respondents who said the university has a policy are administrators. Administrators are senior members of the university staff and they supervise junior officers of the university such as registry clerks who are responsible for the day to day keeping of the university records. Very few junior officers are aware of the existence of a records management policy.

Table 5

Job title * Availability of a records management policy in the university Cross tabulation

		<i>Availability of a records management policy in the university</i>			Total
		yes	no	don't know	
<i>Job title</i>	registry clerk	7	5	5	17
	secretary	0	1	1	2
	administrator	12	1	3	16
	library assistant	1	1	4	6
	accounting officer	2	0	0	2
Total		22	8	13	43

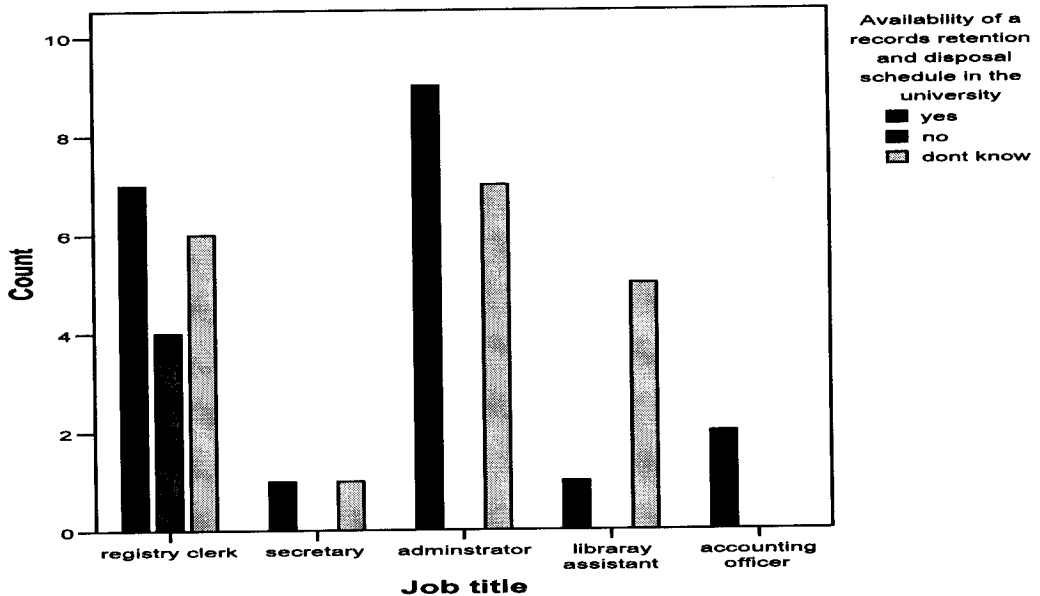
To verify the above findings on the availability of a university records management policy, a senior management officer Dr Chifwepa, (the University of Zambia Librarian) was telephoned. In an interview on 11th march, 2010, Dr Chifwepa said that there was no records management policy at the university. He admitted however that some departments and units did have their records management policies designed to meet their needs.

The implication of not having a university records management policy is that records management officers do not know what is expected of them. They do not know what is allowed and not allowed in the management of records.

Availability of a records retention and disposal Schedule

On the University of Zambia having a records retention and disposal schedule, 20(46.5%) of the respondents said there was such a document in the university. 4 (9.3%) said there wasn't while 19 (44.2%) said they didn't know if such a document exist in the university. After cross tabulating job tile and the availability of a records retention and disposal schedule variables, it was discovered that almost half of the senior administrators said they don't know if the university has a records retention and disposal schedule.

Figure 7



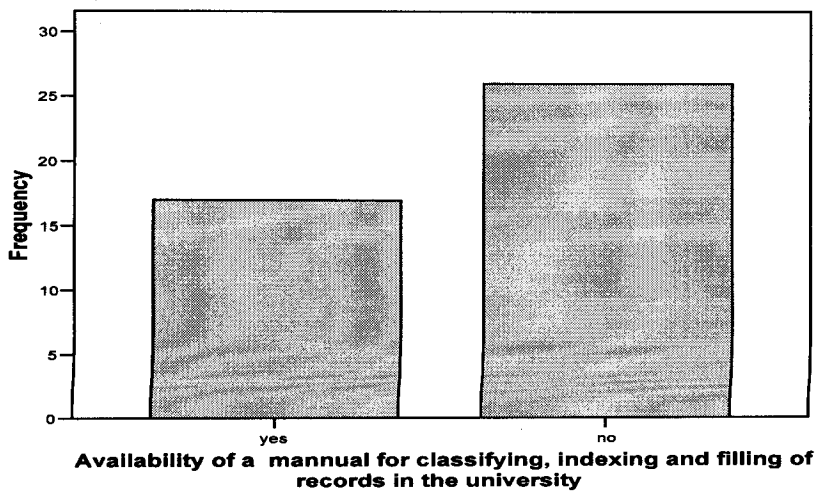
The above findings imply that there is also no records retention and disposal schedule for the university as a whole. Individual departments and units do have their own schedule but not a standard schedule for the university. This makes records management to be difficult in the sense that a records retention and disposal schedule is an authority in the management of records as it stipulates the retention period of all categories of records in an organization.

Manual for records classification, indexing and filing

On the availability of a manual for classifying, indexing and filing of records, 60.5% of the respondents said there was no such a manual in the university while 39.5% said the university had a manual.

Figure 8

Availability of a manual for classifying, indexing and filling of records in the university



Those who said the university had no manual for classifying , indexing and filing records when asked where they get the instructions for classifying, indexing, and filing records, 13 said they use their initiative and what they learnt in colleges and university while 6 said they get instructions from their supervisors.

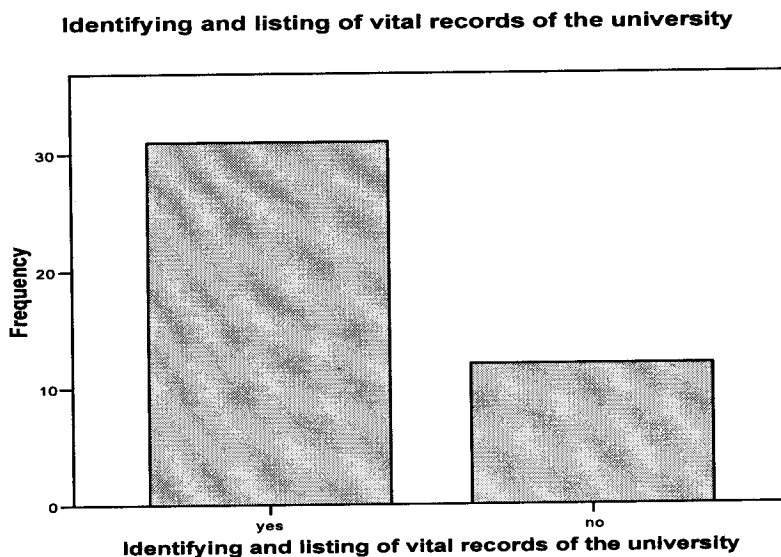
This entails that there is no standardization on how records in the university should be classified, indexed and filed because there is common classification manual for all the units and departments of the university. For instance, the research revealed that the 95.3% of officers who said they were classifying records, they do so using different methods. 16.3% said they using subject classification method to classify records; 2.3% said they were classifying records geographically; 25.6% said they were alphabetically classifying records while 48.8% said they were using a combination of classification methods. Due to the non-availability of a standard records classification scheme, in some departments/units, records are classified by their subject matter. It is wrong to classify records by subject.

Vital records Management

On the need to identify and list vital records of the university, 31 (72.1%) of the

respondents said they identify and list vital records of the university while 12 (22.9%) said they do not.

Figure 9



Those who said they identify and list vital records of the university, when asked where they keep the identified vital records, only 1 respondent said vital records are kept in off site locations. The rest said they keep them in registries and records centers. The fact that majority said vital records were kept in records centers and registries shows how poor and incompetent the records management system is. Keeping vital records within the university premises is dangerous. In case of disasters such as fire, floods happen at the university, vital records can be destroyed along with other records.

Professional qualification of officers involved in records management

As it is a well known fact that for officers to perform well in their current jobs, they should have training that is relevant to their jobs. In this regard, the staff involved in records management at the university asked if they have academic qualifications in records management. It is gratifying to note that 23 (53.5%) of the respondents said they had professional qualifications in records management. Only 46.5% said they did not have professional qualifications in records management as shown in the table below.

Table 6

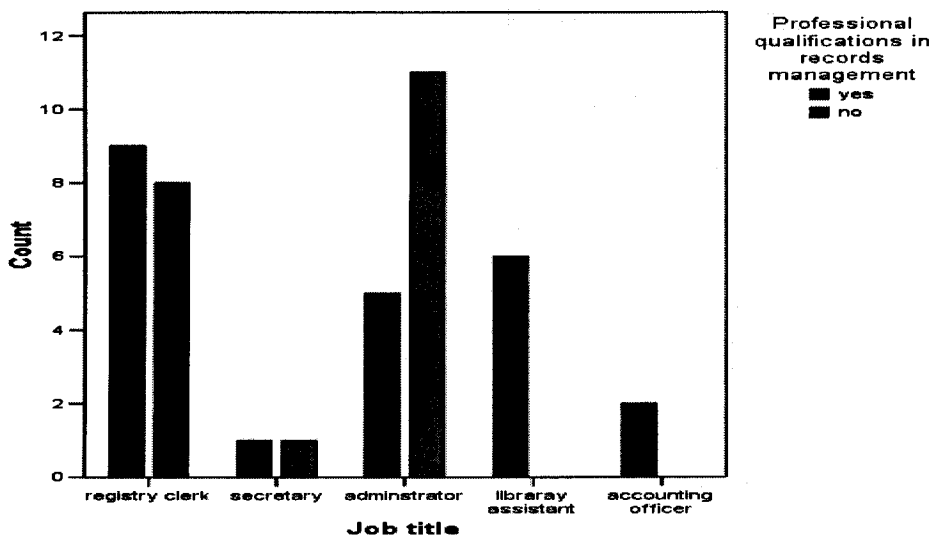
Professional qualifications in records management

		<i>Frequency</i>	<i>Percent</i>	<i>Valid Percent</i>	<i>Cumulative Percent</i>
Valid	yes	23	53.5	53.5	53.5
	no	20	46.5	46.5	100.0
	Total	43	100.0	100.0	

The research further revealed that majority of those who said they have professional qualifications have certificate qualifications in records management. 11 of the respondents said they have a certificate qualification, 9 said they have a diploma while 2 said they have a degree in records management. It should be noted that currently in Zambia, it is difficult to get a degree purely in records management as records management is being taught as component of a degree in Library and Information Science. Therefore, those two probably have a degree in Library and Information Science where they studied records management courses.

When professional qualification variable was cross tabulated with job title, 9 (more than half) of the registry officers who are directly involved in the management of university records said they had professional qualification in records management.

Figure 10



This entails that the majority of officers involved in the management of records at the University of Zambia have formal training in records management. Therefore, they have the needed skills for them to effectively manage the records of the university.

Involvement of records experts in the management of electronic records should be heavily involved in the management of all electronic records. In this regard, officers involved in the management of records at the University of Zambia were asked if they are involved in the management of electronic records held in university databases. Astonishingly, 74.4% of the respondents said they are not involved. Only 25% said they are involved as shown by the pie chart below.

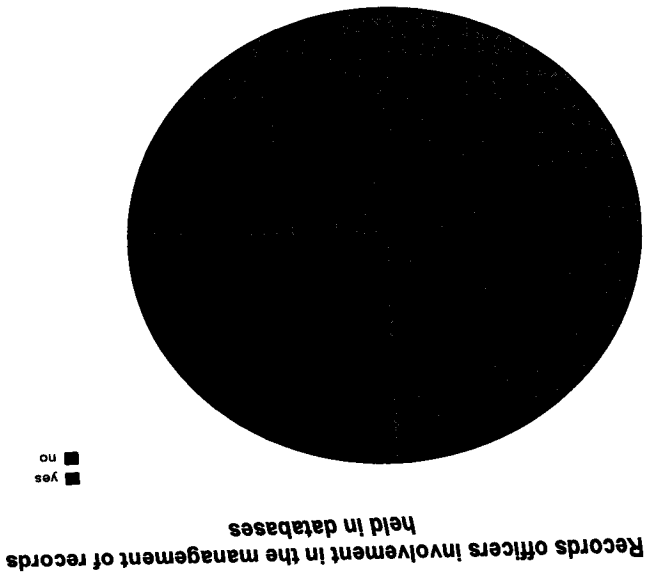


Figure 11

When further asked if the respondents (officers involved in the management of records) provided advice to other university workers on how to capture and archive e-mails, 34 (79.1%) said they do not, only 9 (20.9%) said they do provide such advice to other university employees.

The research further discovered that the majority of the officers involved in the management of records at the university do not provide advice to other university

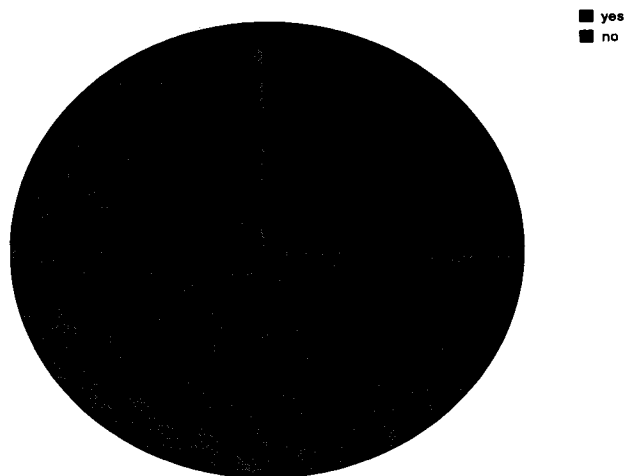
This entails that the majority of officers involved in the management of records at the University of Zambia have formal training in records management. Therefore, they have the needed skills for them to effectively manage the records of the university.

Involvement of records experts in the management of electronic records

Records officers as experts in the management of records should be heavily involved in the management of all electronic records. In this regard, officers involved in the management of records at the University of Zambia were asked if they are involved in the management of electronic records held in university databases. Astonishingly, 74.4% of the respondents said they are not involved. Only 25% said they are involved as shown by the pie chart below.

Figure 11

Records officers involvement in the management of records held in databases



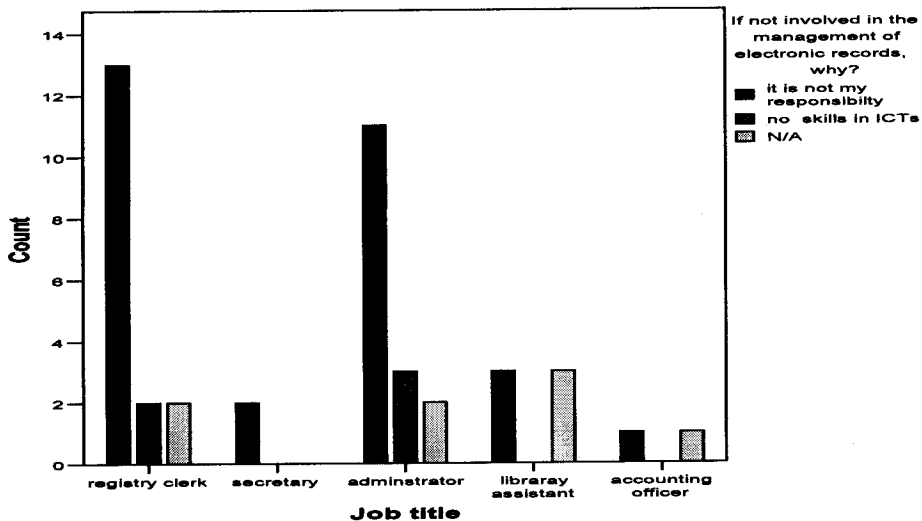
When further asked if the respondents(officers involved in the management of records) provided advice to other university workers on how to capture and archive e-mails, 34 (79.1%) said they do not, only 9 (20.9%) said they do provide such advice to other university employees.

The research further discovered that the majority of the officers involved in the management of records at the university do not provide advice to other university

workers on how to preserve electronic records saved on secondary storage facilities such as CDs, DVDs and Diskettes. 86% of the respondents said they do not provide advice to other workers on how to preserve electronic records held on secondary storage facilities. Only 14% said they do.

On why most of the respondents do not take part in the management of the university's electronic records, the majority of them (whether registry clerks or administrators) said, it was not their responsibility to management electronic records of the university. It was the responsibility of the IT department of the university. Others said they do not have sufficient IT skills needed for them to participate in the management of electronic records.

Figure 12



These findings imply that electronic records management is the sole responsibility of IT staff of the University of Zambia. This however is not good thing because IT officers are not competent in records management.

Training and Development of officers

Workers need to be trained and developed to meet the changing working environment. When the officers who are involved in the management of records at the university of Zambia if they have ever attended short training in records management, 18 (41.9%) said they have attended while 25 (58.1%) said they have never attended such training as

shown by the cross tab below.

Table 7

Period one has been working with the university & attendance of any short training in records management

Cross tabulation

		<i>Attendance of any short training in records management</i>		Total
		yes	no	
<i>Period one has been working with the university</i>	less than 5 years	8	11	19
	more than 5 years	10	14	24
Total		18	25	43

Surprisingly, even officers who have been working in the university have never attended any short training in records management. The cross tab above shows that 14 members of staff who have been working for the university over a period of 5 years have never attended any short training in records management. On the type the training attended, 2 of the respondents said they attended seminars, 13 said it has been a workshop while 7 said they attended lectures in a college/university. However, on the frequency of attending such training, the majority of the respondents said they do not attend very often.

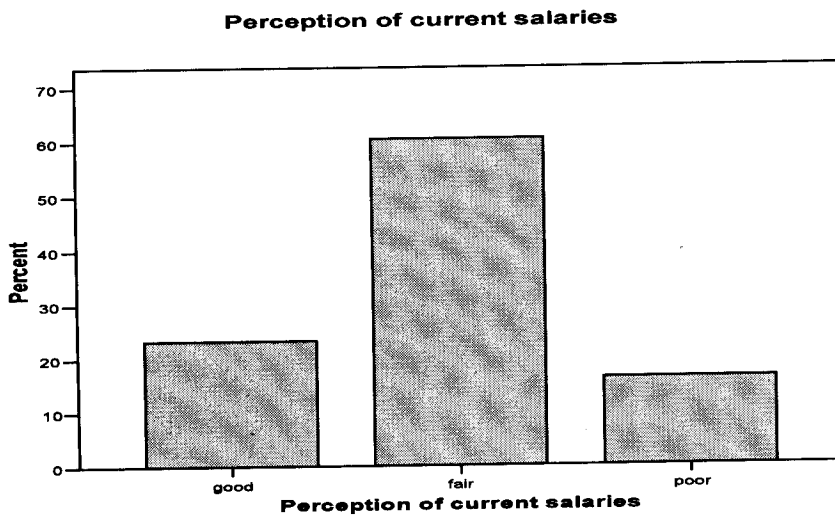
The implication of the above findings is that the majority of workers involved in records management have never attended any short training such as seminar and workshop. This denies them an opportunity to improve their records management skills. Their skills have remained undeveloped/ unimproved which is not good in the sense records management skills are changing in this fast changing society.

Motivation of the staff

Money and working environmental factors play a key role in employees' motivation. In this regard, the respondents were asked to describe how they perceive their current salaries. 60.5% of the employees said their current salaries were fair; 23.3% said the

salaries were good while 16.3% said that their current salaries were poor.

Figure 13



These findings entail that majority of the employees feel that their current salaries are fair. This is good as poor perception of salaries and wages can dampen employees' moral at work thus hampering good performance of the organization.

In addition, majority of the employees interviewed said that they were happy with the working environment. 27(62.8%) of the respondents said they are happy with the working environment. Only 16 (37.2%) said they are not happy with their working environment.

Table 8

Happy with working environment

	<i>Frequency</i>	<i>Percent</i>	<i>Valid Percent</i>	<i>Cumulative Percent</i>
<i>Valid</i> yes	27	62.8	62.8	62.8
no	16	37.2	37.2	100.0
Total	43	100.0	100.0	

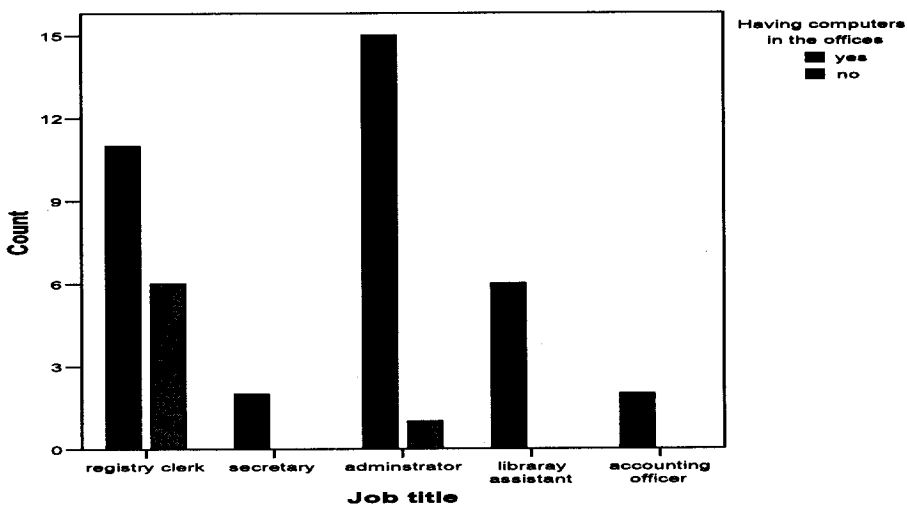
Those who said they are not happy with the working environment cited factors such as their relationships with the supervisors, and poor offices.

The above findings on motivation imply that more than 60% of the officers involved in the management of records at the University of Zambia are motivated. Therefore, they are expected to discharge their functions with a smile on their faces in that they were well paid and their working environment is good.

Management support for Records management Activities

Management support is vital if any program is to be successful. In this regard, records management staff should receive unwavering support from management. Management should provide administrative tools such as computers and other filing equipment. On the issue of having computers in their offices, 83.7% said they have computers while 16.3% said they do not have as shown by the bar chart below. Those respondents who said they have computers in their offices indicated that they use computers for records keeping activities and surfing the net.

Figure 14



From the bar chart above, it is clear that the majority of the respondents who said they do not have computers are registry clerks. The picture however shows that majority of the respondents have computers in their offices which is a good sign that there is support from management.

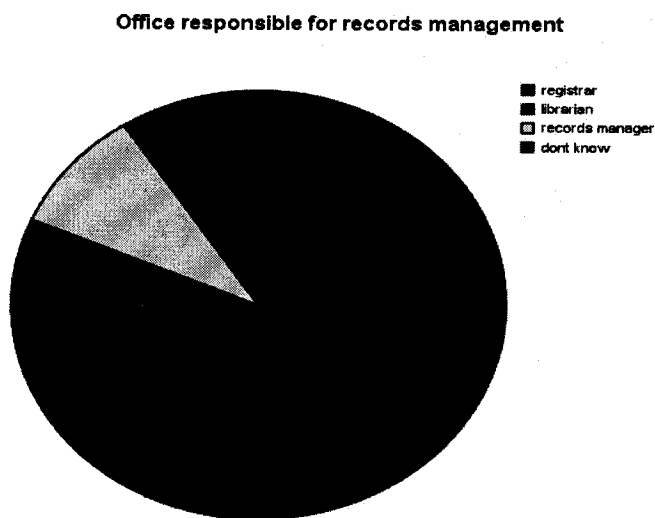
On the issue of having enough filing equipment, 23 (53.5%) of the respondents said they

have enough filing equipment while 20 (46.5%) said they do not. When those who said they do not had enough filing equipment were asked if management had been informed, majority of them answered in the affirmative and management promised to procure more for them. These findings on management support shows that the UNZA management supports, to a large extent records keeping activities in the sense that majority of respondents have computers and adequate filling equipment for records keeping.

Office designated for Records management

As a matter of fact, records management activities of an organization should be assigned to an office that should be efficient and competent enough to discharge its responsibility. In concomitance with the above observation, respondents were asked to tell the office which is directly responsible for records management at UNZA. Majority of the respondents said the registrar of the university is the office responsible for records keeping. Some said the Librarian's office is responsible for records management of the university while others said it is the records manager's office which does not exist at UNZA. Surprisingly, some respondents said they didn't know the office responsible as shown in the pie chart below.

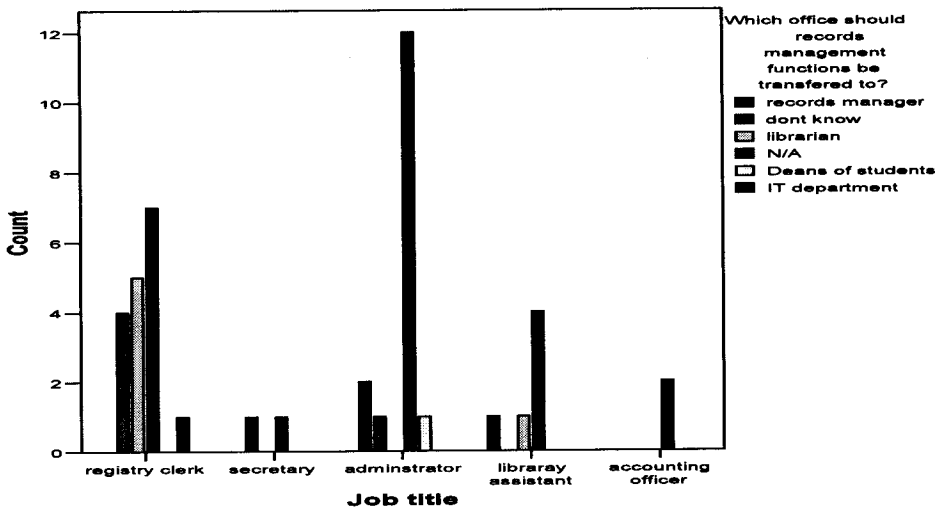
Figure 15



On the effectiveness of the office currently responsible for records management, 32 (74.4%) said it was effective against 11 (25.6%) of the respondents who said it was not effective. Majority of the respondents said that the registrar’s office was appropriate and effective probably because they feared victimization.

When those who felt the current office is not effective enough were asked to propose which office should be direct responsible for records management in the university, majority of them said it should be taken to the Librarian’s office as shown below.

Figure 16



Some felt, however, it should be taken to the records manager’s office. On the other hand, some suggested it should be taken to the Dean of students’ office. Others favored the IT department to take up the responsibility of records management at the university while some said they didn’t know which office should take up records management responsibilities of the university.

5.2 Discussion of the research findings

From the research findings presented, it is clear that maladministration of records is rife at UNZA. The symptoms of maladministration such as loss of records and inability for officers to retrieve the needed records on time have been established to be happening at the institution. To attest to the feasibility of maladministration at the University of

Zambia, 67.4% of the officers interviewed confirmed that they had been failing to locate and retrieve the needed records on time on many occasions. Maladministration at the UNZA does not only manifest in the frequency failure by the officers to locate and retrieve the needed records but also through increased cases of records losses. Maladministration of records at UNZA is real and therefore it cannot be ignored as doing so could continue eroding the foundation and principles upon which the university was founded- the foundation of providing excellent training.

The research has revealed that there are a number of factors propelling the problem of maladministration at UNZA. As the Association of Records Managers and Administrators (ARMA) in the United States of America observed in 2007 that universities that had not established and implemented a records management program experience the problem of inefficient records management, maladministration of records at UNZA is also largely attributable to the lack of a records management program. Maladministration of records stem from the fact that the university does not have a records management program-a blue print on how records should be managed. As a result, several major records management program elements have not been implemented at UNZA.

To start with, the university has not drafted and circulated an umbrella university records management policy to all the officers involved in records management. What are currently available at UNZA are fragmented pieces of records management policies developed by some units and department to meet their operational needs. All records management activities in an institution are supposed to be anchored on a collective records management policy. A records management policy is a charter on all records management of an organization. It sets the agenda on how records should be managed and coordinates all records management activities in an organization. The policy even articulates actions and apportions responsibilities to offices and individuals to implement programs in order to improve records management. It also legitimizes all records management functions and compels organizational employees to comply with what it

articulates.

The absence of a university records management policy breeds maladministration of records as records officers and other personnel manage records without following laid down procedures and rules. In this regard, many officers involved in records management do not know what is required of them when managing the records of the university. They work like a blind person walking without a competent guide. This is so because they rely on their loosely developed unit or section policies which do not articulate the overall records management of the university. This makes them not to have a bigger picture when managing the university records.

In addition, UNZA does not have an overall records retention and disposal schedule although some individual units and department do have their own schedules. A records retention and disposal schedule is a document that an organization uses to ensure that records are kept only as long as legally and operationally required, and that obsolete records are disposed of in a systematic and controlled manner^[74]. The lack of an institution records retention and disposal schedule at UNZA further complicates the problem of maladministration. Records keepers do not know the right retention period for the records under their custody. This results in depositing some records prematurely. Records are disposed faster than the university needs them to meet its legal and administrative activities.

The non-availability of a records retention and disposal schedule is also directly responsible for the mixing up of active records, semi-active records and archives in registries being perpetrated by some officers at the university. In the absence of the university records retention and disposal schedule, many officers do not know when and where to transfer particular types of records; thus they continue keeping both semi-active and inactive records with active records in registries even if there are secondary storage facilities (such as records) available for the storage of semi-active and inactive records. This situation breeds inefficiency in locating and retrieving records as officers have to

rifle through a mixture of records to retrieve the needed records.

The problem of maladministration of records at UNZA is further compounded by the absence of university manuals and procedures on how to classify, index and file records. Despite records officer showing appreciation towards records classification, indexing and filing, these exercises are not properly done. In addition, there are variations in the methods records are classified, indexed and filed by different departments and schools in the university because departments follow their in-house manuals and procedures. There is no standardization on how records should be organized. In the absence of such manuals and procedures, some officers for instance classify records using subject classification. Classification of records by subject is not the right thing to do because this method separates records from their families (groups) thus affecting the integrity of records to tell a complete story.

The non-availability of a records management blue-print (a records management program) at UNZA has also led to the non-involvement of records experts in the management of electronic records which as a matter of fact aggravated the problem of maladministration of records. At UNZA, the management of electronic records is a preserve of IT staff. In this regard, there is no expert advice from records experts rendered to the IT staff and individual university employees keeping electronic records so that they manage electronic records in an environment that will allow records maintain their integrity. For instance, there is no expert advice rendered to the IT department of the university when procuring and operating database management software. Arguably, some procured database management software do not meet records management standards as they do not have in- built capabilities to provide audit trails to records thus making it difficult to track changes made to electronic records. This has provided a platform for unscrupulous university officers to be tampering with electronic records held in databases. In addition, the non-involvement of records experts in the management of electronic records has made many electronic records held in secondary storage facilities such as

DVDs, CDs and Floppy diskettes not to be preserved. This has also made the university continue losing electronic records as records experts have no responsibility to advise UNZA employees on how to capture and archive university electronic mails.

Despite not having drafted and implemented a records management program, UNZA boasts of having a cadre of relative qualified records management personnel. More than half of the respondents disclosed that they do possess professional qualifications in records management. Majority of these officers do have certificate and diploma qualifications in records management. This is because currently in Zambia, exclusive records management courses are offered just up to diploma level at University of Zambia Ridgeway campus, Evelyn Hone College and Zamtel College. The research further reveals that majority of the respondents were motivated because they perceived their current salaries and other work related conditions to be good. This implies that the university has tried to provide reasonable salaries for officers involved in records management and at the same time managed to provide a working environment good for the staff. One would, however, argue that more needs to be done in the area of providing good working environment as there are departments where records officers do not have decent working environment. Offices condition is poor as pointed out by some staff who said they were not happy with work environment conditions. A poor office condition is one of the sources of demoralization among some employees.

Although the university seems to have a cadre of fairly qualified and motivated records management employees, it does not continuously update the skills of the majority of these officers through short training programs such as seminars and workshops. For example, 58.1% of the respondents said they had never attended training in the form of workshops, seminars etc despite them working for the university for more than a period of five years. Short training such as workshops and seminars are cardinal as they enable workers to refresh the knowledge they acquired in colleges and universities and more

importantly, it keeps them abreast of the changes taking place in their field. Failure to provide short provide short training to all the officers involved in the administration of records adds a dose to maladministration of records at UNZA.

It is gratifying to note that more than three quarters of the respondents attach great importance to tracking the movement of records. The majority of the respondents indicated that they use movement cards and transfer slips methods in tracking records which they deemed to be effective. One, however, would urge records officers at UNZA to embrace computer based tracking method (databases) as this method is efficient and effective. Otherwise, poor records movement tracking is not a major factor in maladministration of records at UNZA.

The findings of the research show records management functions at UNZA enjoy relative support from university management. 83.7% of the respondents said that they had computers in their offices. In addition, the majority disclosed that they had enough filing equipment and indicated that management responds to their requests for help. As pointed out, these responses might not reflect what is obtaining on the ground. This is true in the sense that there is a genuine outcry among records officers over lack of management support. For instance, at workshop at Ban Motel in Zambia in 2007, records officers from the Institute for Distance Education complained among other things lack of filing equipment. They lamented that they did not had enough drawer cabinets. In addition, they complained of lack of other records management supplies such as stationeries. Management support in form of finance and other resources is critical to any organizational records management program therefore it should be adequate.

It is indisputable to say that where a records management function is placed does contribute to its effectiveness throughout the organization. Maladministration of records at UNZA is partly attributable to the place where records management is placed in the

university hierarchy. Currently, records management function is placed in the registrar's office and 74.4% of the respondents felt that the registrar's office had been effective in the management of the university records. These responses should however be taken with a pinch of salt because they might not reflect the true feelings of the respondents. Going by the oral interviewed conducted with some university officers and the researcher's own acquaintance with records management at UNZA, it can be said that placing records management functions in the registrar's office is a good thing but the registrar lives in an ivory tower and is overburdened with some many responsibilities, therefore the office is constrained to effectively supervise and coordinate the management of university records. One would however argue that the registrar has his/her assistants positioned virtually in all schools that can help to supervisor and coordinate all records management activities. This is not possible in the sense that most of these assistant registrars are not experts in records management therefore; they are ill-qualified to aid the registrar. The tendency in United States of American universities has been to delegate records management to a middle level office of the records managers. This office coordinates and supervises records management on behalf of the university registrar.

5.3 Conclusion

Going by the research findings and discussion above, one could conclude that maladministration of records at UNZA is attributable mainly to the lack of a records management program. The university has not drafted and implemented a records management program. As a result, they university does not have a records management policy, a records retention and disposal schedule, manuals and procedures needed for the smooth management of records. The non-availability of records management program has also resulted in records management functions not to enjoy maximum support from university management. It has made it impossible for records management experts to work with their counterparts from the IT department in the management of electronic

records of the university. In addition, maladministration of records at UNZA is compounded by the absence of a competent middle level management office to aid the registrar's office in the coordination and supervision of records management activities in the university.

5.4 Recommendations

- To be able to effectively manage records, management at UNZA should develop a comprehensive records management programs. The records management program to be developed should include the crafting of a records management policy, records retention and disposal schedule, records management manual, and procedures.
- To ensure effective management of all records in the university, UNZA management should establish a middle level office called *records manager* which should be coordinating and supervising records management functions on behalf of the registrar's office. This office should be charged with, among other things, the following responsibilities: develop and implement policies and procedures regarding the management of both paper and electronic records of the university; work with the university computer center in the management of electronic records(this should involve providing advice on the procurement of software to be used for electronic records management);advising university staff on how to capture and archive electronic records; and it should shoulder the responsible of preserving university electronic records.
- UNZA management should frequently provide short training programs such as seminars and workshops to officers involved in the management of records so that officers are kept abreast with changes that are happening in their field.
- Management at UNZA should provide more financial and other support to records management activities.

5.5 Limitation of the research

The researcher relied heavily on self administered questionnaires to collect data from the respondents as he only managed to orally interview a handful of the respondents. In addition, the sample was not big enough to guarantee the validity of the research findings. Last but not least, the sampling method used can be deemed to be bias as the respondents were not randomly selected. This can also nullify the validity of the research findings.

5.6 Problems encountered during the Research

No money was provided for research from the scholarship. The researcher had to use his personal money for the research. The other problem was that the Questionnaires delayed to arrive from Zambia.

5.7 Achievement of the research

The research has managed to uncover factors that are responsible for maladministration of records keeping at UNZA.

5.8 Suggestions for further Research

- To investigate if the current software for managing electronic records at UNZA has inbuilt capabilities to provide records audit trail.
- Investigate the IT skills of records management officers

Dedication

This work is dedicated to my beloved parents who despite being poor and illiterate saw the importance of sending a child to school. They constantly encouraged me to concentrate on my studies and avoid falling into bad company that would have ruined my future. In addition, they sacrificed almost everything financial and material resources they had to ensure that I completed my senior secondary education and subsequently attained tertiary education. To my parents, I say may the Lord grant you long life so that you could partake in the fruit of my successes.

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Useful sites

<http://www.silicon.com/research/specialreports/digitaldefences>

<http://arm.scdah.sc.gov/NR/rdonlyres>

<http://managementhelp.org/systems/systems.htm#anchor5518>

http://www.archives.state.al.us/ol_pubs/managestaterecs.html

<http://www.kdla.ky.gov/recmanagement/EmailGuidelines.pdf>

APPENDIX

QUESTIONNAIRE ON RECORDS MANAGEMENT AT THE UNIVERSIT OF ZAMBIA

Dear Respondent,

My name is Tuesday Bwalya and I am currently a candidate of Masters of Information Science degree (MSc) at Northeast Normal University in China. I am carrying out a research on records management at UNZA as part of my requirements for the fulfillment of the award of the said above degree.

You were one of the respondents considered to answer this questionnaire during my sampling exercise. I would be very grateful if you could attempt to answer all the questions to the best of your knowledge. You must also rest assured that the information to be collected through this questionnaire, will be kept confidential and purely for academic purpose.

Note: Please for questions with multiple choice answers, just **tick** the answers of your choice.

Thanking you in advance,

BWALYA TUESDAY

BACKGROUND DATA

1. Gender

Male Female

2. Age

15-24 25-34 35-44 45-54 55+

3. What is your current marital status?

Married Single

4. What is the highest level of education you have attained?

Primary Basic/ Junior secondary High/Senior secondary

Tertiary/university

5. What is your job title? -----

6. In which department/school do you work from?

7. How long have you been working for the University of Zambia?

RECORDS MANAGEMNT SITUATION

1. In what formats do you keep your records?

- Paper format Electronic format In both formats

2. Do you sometimes fail to find some records when needed?

- Yes No

3. If **Yes** to Q3, how often?

- Very often Often Not often

4. Does it take you a lot of time to find the records needed?

- Yes No

5. If your answer to Q5 was **Yes**, could you estimate how long it takes for you to find the needed records? -----

6. Have you ever experienced situations where some records in the university go missing?

- Yes No

7. If **Yes** to Q 7, how often do you experience the missing of records in the university?

- Very often Often Not often

RECORDS MANAGEMENT PRACTICES

1. Where are active records kept in the university?

Offices of individual workers Registries

2. Where are semi-active records kept?

Registries Records center

3. Where are archives kept in the university?

Records center Library Registry

4. Do you identify and list the vital records of the university?

Yes No

5. If Yes to Q4, where do you keep them?

Off-storage site Within the registries Records Centers

Others (specify-----

6. Do you classify records?

Yes No

7. If Yes to Q6, tick the methods by which you classify records

Subject classification Functional classification

Geographical classification Chronological classification

Numerical classification Alphabetical classification

8. Do you assign index terms to record folders?

Yes No

9. If Yes to Q8, do the index terms reflect the records the folders contain?

Yes No

10. Do you put more than 300 pieces of papers in one folder?

Yes No

11. If Yes to Q10, why do you put more than 300 pieces of papers in a single folder?

12. Do you monitor or track the movement of records which are under your care?

Yes No

13. If Yes to Q12, what methods do you use to track or monitor the movement of records?

Movement cards Transfer slips Records circulating database

Others (specify-----

14. Do these methods/procedures enable the university to know who had access to the records?

Yes No

RECORDS MANAGEMENT PROCEDURES AND POLICIES

1. Does the university have a records management policy that explains the records management program?
 Yes No Don't know

 2. If Yes to Q 1, do you understand what it says about the management of university records?
 Yes No

 3. Does the university have a records retention and disposal schedule?
 Yes No Don't know

 4. If Yes to Q3, do you follow it when transferring and disposing off the records?
 Yes No

 5. Is there any manual that explains how records should be classified, indexed and filed across the university?
 Yes No

 6. If your answer to Q 5 was No, where do you get instructions on how to classify, index and file records?
-

ELECTRONIC RECORDS MANAGEMENT

1. Are you involved in the management of electronic records held in databases in the university?

Yes No

2. Do you advise university members of staff on how to capture and archive electronic e-mails?

Yes No

3. Do you advise university workforce on how to manage electronic records held on their personal computers?

Yes No

4. Do you provide advice on how to preserve those electronic records that are held in secondary storage facilities such as CDs, DVDs and floppy diskettes by university members of staff in their offices?

Yes No

5. If your answers have been **No** to all these questions in this section, why are you not involved in the management of electronic records in the university?-----

PROFESSIONAL QUALIFICATIONS AND TRAINING

1. Do you have any professional qualifications in records management?
 Yes No

2. If Yes to Q1, what level of qualifications do you have?

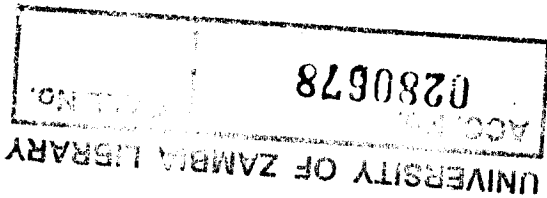
Certificate Diploma Degree Others (specify)-----

3. If you don't have any professional qualifications in records management, what professional qualifications do you hold?-----

4. Have you ever attended any short training in records management?
 Yes No

5. If yes to Q4, what kind of training?
 Seminar Workshop Others (specify)-----

6. If your answer to Q5 was Yes, how often have you attended such training?
 Very often Often Not often



PROFESSIONAL QUALIFICATIONS AND TRAINING

1. Do you have any professional qualifications in records management?

Yes No

2. If **Yes** to Q1, what level of qualifications do you have?

Certificate Diploma Degree Others (specify-----
-

3. If you don't have any professional qualifications in records management, what professional qualifications do you hold? -----

4. Have you ever attended any short training in records management?

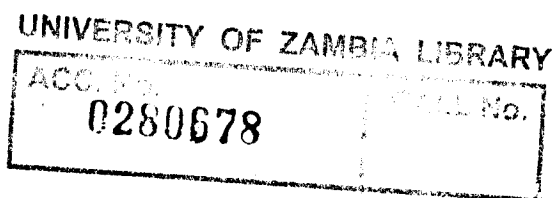
Yes No

5. If **yes** to Q4, what kind of training?

Seminar Workshop Others (specify-----

6. If your answer to Q 5 was **Yes**, how often have you attended such training?

Vey often Often Not often



MOTIVATION/SUPPORT

1. How do you perceive your current salary?

Very good Good Fair Poor

2. Are you happy with the working environment?

Yes No

3. If No to Q2, what working environment makes you unhappy?

Relationship with your boss The office is not conducive

Relationship with co-workers Others (specify-----)

4. Does your office have computers?

Yes No

5. If Yes Q4, how many do you have? -----

6. If you have computers in your office, what do you use them for?

Surfing the Internet Records keeping

Others specify-----

7. Do you think you have adequate folders and drawers to use in the filing of records?

Yes No

8. If you think you do not have adequate folder and drawers, have you told management about the need to acquire them?

Yes No

9. If Yes to Q7, what has management done to help you? -----

DISGNATED OFFICE RESPONSIBLE FOR RECORDS MANAGEMENT

1. Which office is directly responsible for all records management functions in the university?

Registrar Librarian Records manager

2. Do you think the current office responsible for records management functions is appropriate and effective?

Yes No

3. If No to Q2, would you like records management functions in the university be taken to another office?

Yes No

4. If Yes to Q3, which office do you think could effectively handle records management functions in the university? -----

Thank You for Your Cooperation