



FACULTY OF HUMANITIES

DEPARTMENT OF LIBRARY AND INFORMATION STUDIES

MASTER IN ARCHIVES AND RECORDS MANAGEMENT

**CONTRIBUTION OF RECORDS MANAGEMENT TO THE DISCHARGE OF
SECURITY AND PROTECTION SERVICES AT THE UNIVERSITY OF BOTSWANA**

By

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A dissertation submitted in partial fulfillment of the requirements for the award of
a Master's Degree in Archives and Records Management (MARM)

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DECLARATION

I, Charlotte Motau of ID no. 9800304, do hereby declare that this study, **“Contribution of Records Management to the Discharge of Security and Protection Services at the University of Botswana”** is entirely my own unaided work; wherever published, unpublished, printed, electronic or other information sources have been used as contribution or component of this work, these are explicitly, clearly and individually acknowledged by appropriate use of quotation marks, citations, references and statements in the text.

Signature of Candidate _____

Date: _____

Signature of Supervisor _____

Date: _____

DEDICATION

This work is dedicated to my family,
Pedro, Leungo, Katlego, Tau and Lebopo,
for the love, patience and support they offered me.

ACKNOWLEDGEMENTS

This work was made possible by different individuals. Though it is not possible to list all of them, I would like to acknowledge a few individuals.

Firstly, my gratitude goes out to my Supervisor Dr. Grand, for the endless support, guidance and advice for bringing this dissertation together. My gratitude also goes out to all the University of Botswana Protection Services staff who provided data that brought this work to fruition. I am really thankful to my spouse Pedro and my children Leungo, Katlego, Tau and Lebopo for the love and encouragement and allowing me to spend most of the time away from them during the duration of the study.

I would also like to thank my Sponsor the University of Botswana.

ABSTRACT

This work focuses on records management practices at the University of Botswana Protection Services Unit. The Protection Services Unit which is mandated to protect lives and University property may fail to bring justice to criminal actions if there is a poor records management practices. The study used the interpretive research paradigm and also adopted a deductive qualitative approach. Face to face interviews and observation techniques were used to collect data. Purposive and convenience sampling were used to collect data from security officers working at the UB-PSU, Sentinel Security Company and Intap Security Services (the latter two being outsourced service providers), therefore data was collected from 32 participants as per the data saturation point. Thematic analysis method was adopted together with the use of a qualitative data analysis software called QDA Miner Lite. Whereas Microsoft Excel was used to produce statistics pertaining to demographic details of the participants.

The findings of the study revealed that, UB-PSU has done well in providing the necessary resources/tools for the creation and capturing of data, the metadata scheme is comprehensive enough to capture all details needed to trace a crime event and there is a small registry to store case files. However, the management has failed to implement a records management policy, retention and disposal schedule, documented classification scheme, disaster preparedness plan and a records management unit which will ensure efficient and effective records management activities in the Protection Services Unit. The records storage standards are not met as there are no file cabinets and no professionally trained records managers, thus inhibiting proper creation, maintenance, control, use of records, integrity, reliability, access control and comprehensive management of records as mandated by ISO 15489.

The study therefore, recommends that UB-PSU should consider developing a holistic records management programme which encompasses, a proper records a management unit, records management policies and procedures, retention and disposal schedule, disaster preparedness plan and professional training of investigators dealing with records. In addition, it is also recommended for UB-PSU to implement an electronic records management systems which will enhance access and retrieval of records, thereby improving service delivery. In conclusion, it is evident that security records at UB-PSU are well managed to a certain extent. However, there is risk to loss of records due to improper storage, lack of guiding policies and poor access controls.

Thus, the investigations personnel should be accountable should there be any loss of records. Should the UB-PSU fail to implement the necessary records management tools such as the records management policy, retention and disposal schedule, classification scheme and trained records management personnel, the security unit is likely going to face challenges in terms of unauthorized access, loss of records and consequently poor service delivery. Quality and timely decision making will also be hindered if records are missing or not well kept as according to professional standards. As a result, there will be obstruction to justice due to lack of evidence and protection of human rights will also be inhibited.

Keywords: Records, Records Management Practices, University of Botswana Protection Services, Law enforcement records, ISO15489.

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LIST OF ABBREVIATIONS AND ACRONYMS

ARMA	Association of Records Managers and Administrators
BGCSE	Botswana General Certificate for Secondary Education
CDU	Charles Darwin University
CR. NO.	Correspondence number
ESARBICA	Eastern and Southern African Regional Branch of the International Council on Archives
FBI	Federal Bureau of Investigation
ICA	International Council of Archives
IG	Information Governance
IRMT	International Records Management Trust
ISO	International Standards Organization
LEITSC	Law Enforcement Information Technology Standards Council
NIRMA	Nuclear Information and Records Management Association
NUST	National University of Science and Technology
PSU	Protection Services Unit
RMU	Records Management Unit
TQM	Total Quality Management
UB	University of Botswana
WB	World Bank

DEFINITION OF TERMS

- Archives:** Materials created or received by a person, family, or organization, public or private, in the conduct of their affairs and preserved because of the enduring value contained in the information they contain or as evidence of the functions and responsibilities of their creator, especially those materials maintained using the principles of provenance, original order, and collective control; permanent records of continuing value (The National Archives, n.d.)
- Standards:** “Requirements, specifications, guidelines or characteristics that can be used consistently to ensure that materials, products, processes and services are fit for their purpose” (ISO, n. d., para 1)
- Policy:** A definite course or method of action selected from among alternatives and in light of given conditions to guide and determine present and future decisions (Merriam-Webster Dictionary, 2019)
- Criminal:** A person convicted of crime (Farlex, Inc, 2008).

Chapter 1

INTRODUCTION

1.1 Background to the Study

Generally, the poor state of records management has been registered as a concern especially in ESARBICA region and Botswana is not spared as its effects have been observed to be far reaching (Abankwah, 2012; Chaterera, 2013; Kemoni, 2009; Muemi & Rotich, 2015). While it is widely acknowledged that a viable records management practice is vital not only for the smooth running of an organization but for its ability to deliver on its mandate, many organizations seem not to have fully embraced records management as a strategic function. This is manifested in different forms such as lack of records management policy which informs its practice as well as lack of a professionally run records management unit, among others. This study is therefore, designed to assess records management practices in the University of Botswana Protection Services Unit (UB-PSU). This chapter outlines the introduction and background to the proposed study, the problem statement, aims and objectives as well as questions of the study, significance of the study, and limitations of the proposed study.

The study of records management practice comes against a background where the need for good records management and information-sharing practices has taken centre-stage in the global environment (LEITSC, 2003). Several studies confirm that good records management does not only provide crucial internal information such as business operations and case management, but it also stores the official memory of an agency's investigations (Ngoepe, 2014; Erima & Wamukoya, 2012; Ngulube & Ngoepe, 2013). Hence, law enforcement agencies have realized the importance of accessibility to accurate and timely records as key to accomplishing their mission of protecting citizens. It has also been observed that proper records management facilitate communication between agencies and across global players because legal records are important at all levels of investigations and aid in safeguarding the safety of citizens. This is further highlighted by Dikopoulou and Mihiotis (2012) who submit that good records management not only helps protect records but also enhances organizations' operational efficiency. On the contrary, the absence of strong records management practices, records may be

easily disorganized, concealed, lost, stolen, destroyed or otherwise tampered with (Palmer, 2000).

The assumption of continued social, political and economic stability that characterized the first 25 years after the end of the Cold War (1947-1991) is being challenged as international security landscape is in a state of flux. The paradigm shifts in political and economic power hastened by technological innovation, social fragmentation and demographic shifts has profound consequences for the global security. This points to the fact that globally, the issue of security has taken center stage with reports of terrorist attacks flowing in every now and then. Thus, the world has become more interdependent and the number and character of the threats have become, respectively, more numerous and complex, with some threats crossing national boundaries and challenging the wellbeing of the entire humanity. As a result, in order to bring justice to victims, there is need for proper management of records. Thus being said, this paper aims at assessing the management of security records in university campus.

The security of the university campus has also become a widely researched issue, owing to the increased reports of criminal activities on campus (Chekwa, Thomas, & Jones, 2013). Globally, university campus security and student safety issues have increased in priority for the university management in response to an increasing number of serious, violent incidents and harmful student behaviors on campuses (Carrico, 2016). For instance, two serious and highly-publicized incidents at Florida State Universities, in the United States of America, have put the issue of campus security in the limelight (Kerkhoff, 2008). An online article by IndiaToday (2018) also reveal that student safety and school security are rising concerns with school shooting abroad and physical violence in Indian schools. In their studies, Carrico (2016) and Calitz, Cullen and Jooste (2019) state that the campus safety and security influences both national and international student's choice of enrolling in the university. Hence, it is vital for higher institutes of learning to maintain a safe and secure environment. One way of doing so is by keeping appropriate records needed for evidence of crime and protection of victims.

Similarly, at the University of Botswana (UB), campus security is widely reported to be highly compromised. This is evidenced by a report on Mmegi online newspaper which revealed that there is ever-increasing crime rate on campus, some of which crimes are highly complicated (see

Table 1-1). It has been noted that high on the list of frequently reported crimes is theft of laptops, which increased in absolute numbers from 60 cases in 2009 to 96 in 2010. Illegal possession of dagga is also another criminal offense that is reported to have increased, from five cases in 2007 to 22 cases in 2011, while burglary and theft rose to 31 cases in 2010 from 22 cases in 2009. However, common theft decreased from 191 cases in 2009 to 86 in 2010 (Kayawe, 2011). Preliminary data further revealed that the UB Protection Services Unit, registered 302 criminal cases in 2010, of which 200 have been completed while 103 cases are pending at the police stations and courts.

Table 1-1: Increase in Campus Crime

Type of crime	Years Recorded			
	2007	2009	2010	2011
Theft of laptops		60	96	
Illegal possession of dagga	5			22
Burglary and theft		22	31	
Common theft		191	86	

Source: Kayawe (2011) reporting on Mmegi Online newspaper.

*Data was not provided for other years in the report.

Thus, without proper records management practices, security agencies may not have proper records that show the types and number of crimes being committed. As a result, they will be uninformed decision making towards the strategies for reducing crimes. In addition, pending cases of crimes may prove difficult to solve without proper records management. The following section gives a brief discussion pertaining to the meaning and characteristics of records and the definition of records management.

1.1.1 Definition of the Concept of Records

The multidisciplinary nature of records renders them almost impossible to define in one standard, all-encompassing manner. According to Yeo (2007), a record is a persistent representation of activities, created by participants or observers or their authorized. Advancing his transactional view of records, Duranti (2001, p.272) defined records as "documents (i.e., recorded

information) created (i.e., made or received and set aside for action or reference) by a physical or juridical person (i.e., an individual or an entity capable of rights and duties) in the course of a practical activity, as a means and instrument for it”. Pearce-Moses (2005) gave a comprehensive definition of records comprising of four elements, these being (1) A written or printed work of a legal or official nature that may be used as evidence or proof; a document, (2) Records are the evidence of what the organization does, (3) They capture its business activities and transactions, such as contract negotiations, business correspondence, personnel files, and financial statements, (4) Records come in many formats: physical paper in our files, such as memos, contracts, marketing materials and reports. Records are official documents which do not only reflect the business transactions of an organization but are legal evidence which is admissible in courts of law.

The National Archives (2010, p.3) also emphasise that a record refers to “information created, received and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business.” This is the same definition contained in ISO 15489, the international standard for Records Management practices. However, The U.S. National Archives and Records Administration (NARA), is required by the Federal Records Act to use a slightly different and more explicit definition (Mills, 2010, p.2):

“records includes all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency ... or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them.”

Mills (2010) further notes that regardless of the definition variations and interpretations, the principal notion of a record are the same. As a result, all records must bear the following characteristics:

- **Authenticity:** a record is said to be authentic when it is what it claims to be. Park (2001, p. 272) affirms that “when a record is what it purports to be, the record is genuine”.

Duranti (2002, p. 23) also explains an authentic record as a record “that is fully identifiable on its face, as opposed to its context, and that somebody different from the author has the authority to declare authentic, by virtue of being either the original or a copy conforming to the original.” Dikopoulou and Mihiotis (2012) also highlighted that authentic records are those which do not lose their originating form, content, context and structure.

- **Reliability:** “when a record follows the body of rules established for recording acts and also contains all the elements required by the socio-juridical system in which it exists (i.e., it is complete), the record is assumed to be reliable” (Park, 2001, p. 271). In addition, reliable records are those whose administration ensures that they keep on supporting the will statement, decision and action which created them (Dikopoulou & Mihiotis, 2012).
- **Integrity:** Mills (2010) avers that a record should not and cannot be altered. It should be complete in form and data, and be trustworthy. Complete are the records that have all the elements of their identity posed by the juridical framework of their creation, so that their values and functions can be applied (Dikopoulou & Mihiotis, 2012).
- **Usability:** this refers to the record’s ability to be repeatedly retrieved throughout its lifecycle and used as an authoritative source of the information contained within it (Mills, 2010). Dikopoulou and Mihiotis (2012) further note that useable records are the physically, technically and conceptually accessible records.

Mills (2010), concludes by stating that if an item fails any of these criteria, it is not a record. This is also supported by MacNeil (2000) who argues that proper records management practice in an organization is known for the authenticity, reliability, integrity and usability of its record. In addition, MacNeil (2000) highlighted that an effective records management practice does not only ensure accuracy and reliability of records information within an organization but it also helps in eliminating duplication of effort thereby cutting the cost of data entry.

1.1.2 Definition of the Concept of Records Management

Having understood the definition of a record, it is imperative to also understand how this record should be managed in order to maintain and preserve its characteristic which are necessary for providing evidence in the court of law. Thus, records management refers to “the field of management responsible for the effective and efficient control of the creation, receipt, maintenance, use and disposition of records. It includes the processes of capturing and maintaining of evidence and information about business activities and transactions in the form of records” (ISO 2010, section 3.15). Records management is the process of planning, organizing, staffing, directing, and controlling all the steps involved in the life of a record, from creation to disposition (Kemoni, 2007).

Public Procurement Oversight Authority (2008) defines records management as that area of general administration concerned with achieving economy and efficiency in the creation, maintenance, use and disposal of records of an organization throughout their life cycle, and in making the information they contain available in support of the business of that organization. In this context records management can be referred to as a process which includes creation, classification, maintenance, use, appraisal and disposal of records. Records are the lifeblood of an organization, thus their effective management cannot be overemphasized. The overall records management strategy should be formulated with an understanding of the context, nature of the business, risks and requirements associated with that business (Gasiorowski-Denis, 2016). The key benefits of recordkeeping include efficient business, accountability, protection of rights and entitlements and the ability to reconstruct the past. As a result, Gasiorowski-Denis (2016) suggests that organization should design records management programs which comply with the new ISO 15489-1:2016, which defines the concepts and principles from which approaches to the creation, capture and management of records are developed. Thus being said, the following section discusses the importance of records management in organizations.

1.1.3 Importance of Records Management in Organizations

Besides containing potentially sensitive information, records usually embody important historical and legal value (Louko, 2012). ARMA International further reinforces that records are a key

resource in the running of any organization and are important not only for daily operations but for answering questions about past decisions and activities as well as assist in planning, budgeting, decision-making and regulatory compliance. In that sense records management gives perspective to cases which need reference, hence the highlighted value of records in an organization. It is therefore beyond question that they deserve to be well managed. Records management policy is to guide the building of a comprehensive and compliant records management programme that must demonstrate the key elements of efficiency, effectiveness, consistency, accountability and accessibility.

It would help to clarify records management programme/policy/practice so distinction is well understood, if there is such a distinction. In an attempt to explain the importance of records management practices and why organizations should adopt it in their operations, Cox (1996) identified four categories of motivations, and among them are the following; (1) applicable laws and threatened legal, criminal, or financial penalties for non-compliance; (2) the desire to increase efficiency, productivity, and corporate competitiveness; (3) a crisis, ranging from human error, the inability to find requested records, and natural disasters (such as hurricanes) to terrorist attacks and computer hackings; and finally,(4) the positive spin that public relations and marketing teams believe proper management can put on an organization's public image. In addition, it has also been observed that proper records management minimizes the risk of corruption within an organization. The contribution of records management to any organization cannot be downplayed as it assists in enhancing an organization's efficiency and effectiveness, while at the same time consolidating its evidential base (Mutero, 2014). Records enhance transparency and accountability as confirmed by Kemoni (2007).

Furthermore, despite being difficult to measure in terms of monetary value and the general lack of interest in management of records displayed by people who produce them during their day to day activities, records management plays a very important role in any organization. This is further highlighted by ISO (2010) which asserts that records are a precondition for living in or exercising a democratic regime. In the same vein, Kemoni, Ngulube and Stiwell (2007) observed that proper records management is requisite to organizations realizations and achievement of their mandate such as rule of law, accountability and protection of citizen rights

and maintenance of international relations. Further corroborating Kemoni, Ngulube and Stilwell (2007), and Nandain (2006) concur that effective records management form the basis for accountability and human rights protection. They suggested that proper records management does not only facilitate planning and making informed decisions but it also supports continuity, consistency and effectiveness of service delivery.

Good and proper recordkeeping is evidence of a well-managed organization and should therefore be viewed as a fundamental part of, rather than secondary to, any business as it consolidates corporate governance and promotes good management practices (ISO, 2010). Similarly, the UB-PSU stands to reap the above benefits if they implement a proper records management programme. UB-PSU needs proper records management as they are involved in capturing and creating records of criminal activities and other security issues. Without proper records management, the safety and security of both university students and staff on campus remain under threat (Carrico, 2016). Records are fundamental to the efficient and effective operation of the legal system of a country and perhaps are even more crucial to the administration of law than to any other function in society. If the security fails to locate the previous records of a habitual offender before he or she is brought to trial, the criminal may be sentenced as a first-time offender, possibly endangering the university community in future when he or she is free to reoffend. In addition, if the PSU fails to locate the case documents relating to reported criminal case, it means they cannot forward the case to the police whose appeal against conviction may be delayed, even indefinitely, and justice may not be done to a citizen who was wrongly convicted. This shows that records are important sources of knowledge and information without which the discharge of security services will become a challenge. Records management must be approached by security agencies as a security management function, which may suggest that records management unit should be involved in the management of security associated with records that they manage (Ngoepe, 2014).

1.1.4 Global Perspective of Records Management and Security Service

Globally the origin of records management can be traced as far back as the biblical times, when Moses created records of the Ten Commandments on stone tablets. Records have been in

existence for as long as man had the ability to write and record information. The earliest form of record keeping can be traced to ancient civilization (records of births, property, tax) to facilitate conduct of government. Globally, the management of records has generated a lot of interesting news in the media, legislators, government regulators, stockholders, and others. Controversial questions have been raised about the recordkeeping practices of some of the popular U.S. corporations, professional service firms, and other business entities, such as, Enron Corporation's much publicized records management misdeed of unlawfully disposing of documents to obstruct justice, falsification of financial statements by WorldCom, and Walt Disney's case of destroying royalty records which earned them judicial sanctions (Segal, 2018).

Another striking example of the impact of poor records management is the South Carolina church shooting incident on June 17th 2015, a mass shooting which occurred at a church in Charleston, South Carolina, in which 9 church members were killed. It was later found out that the shooter, Dylan Roof, used a gun he should not have been able to purchase because of his arrest history. However, due to records management blunders made by the clerical staff handling his previous local arrest reports, the background check done by the FBI for the purchase of the gun was unable to pick his previous offence and as a result he was granted his application to buy it and ended up killing nine innocent christians (Horowitz, Corasaniti, & Southall, 2015). This emphasizes the significance of records management in discharging security services, as an argument could be made that innocent lives would not have been lost had the gun not been bought by an un-deserving buyer.

1.1.5 Regional and Local Perspective of Records Management and Security

Studies show that records management systems in former European colonies are weak and some have virtually collapsed to the point of being dysfunctional (Mohamed, Rasheli, & Mwangike, 2018). This has been attributed to lack of capacity to implement proper records management and the myriads of challenges faced in managing records. Kemoni (2007) observed that these challenges relate to lack of records policy and legislation, physical infrastructure, and lack of awareness amongst record professionals and government authorities. A cursory glance at the state of records management in ESARBICA region shows that, the state of records management is deplorable.

A study by Mukembo (2008) also observed that poor state of records management in Uganda in some instances results in disrupted workflow and delayed administration of justice due to missing files. A classic example is the case of court staff and magistrate who were arrested due to missing files. This poor state of records management did not only affect the smooth flow of work but it also fueled corruption among public officers, for instance police were reported to keep important documents in sacks (Kalusopa & Ngulube, 2012). In South Africa similar cases were reported in Provincial administrations where issues of fraud, mismanagement, corruption and poor service delivery were all linked to poor records management (Ngoepe, 2004).

In Zimbabwe, Chikuni and Mnjama (2010) also observed that in some Zimbabwean hospitals patients were asked to keep their own medical records due to shortage of medical records storage. This affected the quality of service delivery as medical staff could not fully deliver without records to inform their decision. In Botswana, records management has played an important role in service delivery. This is evidenced by land ownership issue in Mogoditshane where records management was instrumental in clarifying the issue as well as exposing land board officers' corrupt activities (Sebina, 2004). In addition, studies show that the land dispute between Botswana and Namibia was amicably resolved through records management (Salman, 2000). Based on the above studies, it is imperative for organizations to implement and comply to international standards such as the ISO15489, which guides records practitioners on effective records management practices.

1.1.6 Case Description: University of Botswana Protection Services Unit (UB-PSU)

The University of Botswana (UB) was established on 1st July 1982 by an Act of Parliament. The university's vision is "to be a leading centre of academic excellence in Africa and the world" (University of Botswana, 2018, para 1). Hence, to achieve this vision, the university has numerous faculties which delivers diverse disciplines of knowledge and research activities to the community. Apart from the teaching faculties, the university has put in place a robust administration and support system which ensures that quality learning and teaching activities take place. As shown in Figure 1.1, the administration and support system of the University of Botswana has four divisions with various sections, departments and sub-units. Of interest to this

study is the Finance and Administration division which oversees the Campus Services department. The mission of the Campus Services is to support the University Vision by creating a conducive learning and teaching environment through the provision of professional, effective and efficient services to the University community (University of Botswana, 2018). For ease of management, the Department is split into four sections; Estates and Maintenance, Security Services, Domestic Services, General Services (University of Botswana, 2018). This study focused on the Security Services sections only.

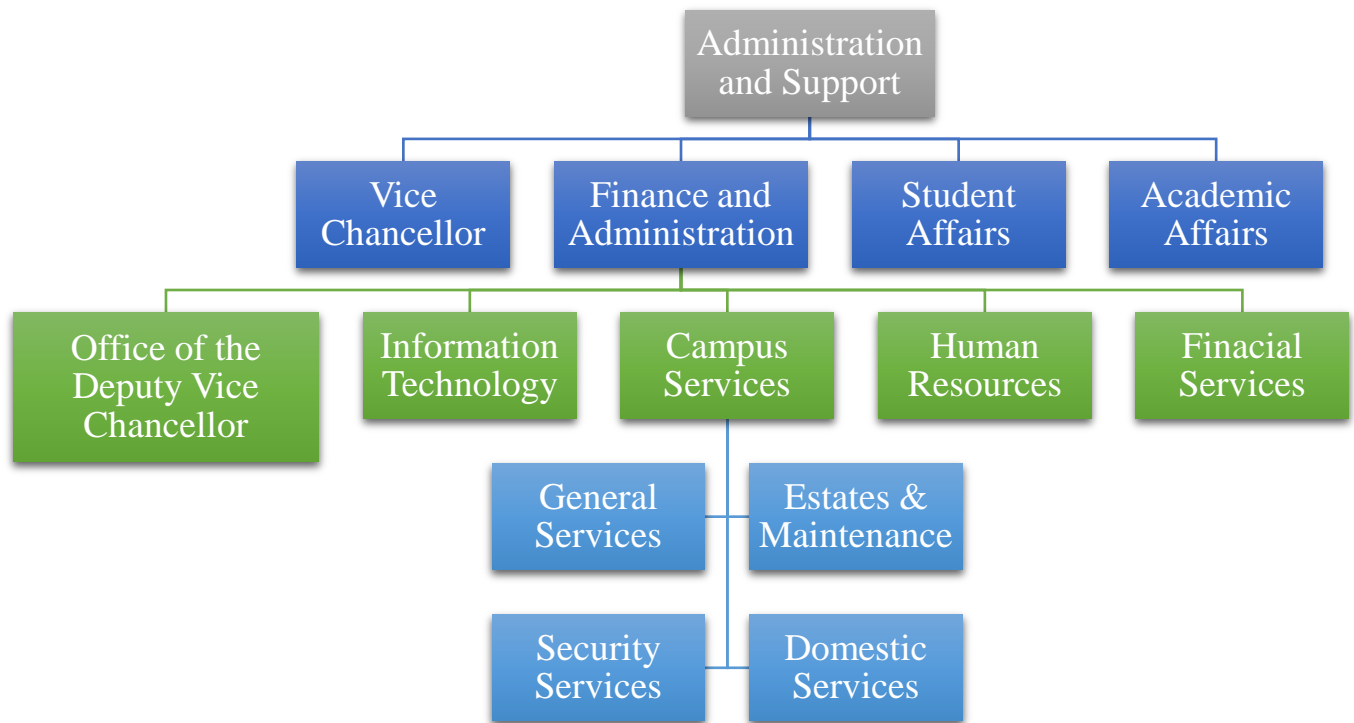


Figure 1-1: Divisions within the Administration and Support System of the University of Botswana.

Source: Information adapted from the University of Botswana website (2018)

The UB-PSU was established way back in 1982 when the security duties then were performed by night-watchmen. The rapid developments over the years saw the night-watchmen being phased out and being transformed into **security services**. With the emergence of more developments, the Unit was further converted into **protection services**. These developments came as a result of the need to have multiple skills in the modern security duties. In addition to serving as security guards, policy enforcers, and public relations officers, the UB-PSU is responsible for the

protection of life and property within the university campus. The main duties performed by PSU include; provision of guarding services, patrolling the campus and manning of all entrances into the campus. PSU has four (4) different operational areas that entail operations, investigations and loss control, fire and safety as well as traffic control. The unit is mandated with the responsibility of ensuring that the university community and property are safe and secure at all times. The UB-PSU's organizational structure is represented in Figure 1.2.

Organizational Structure of UB-PSU

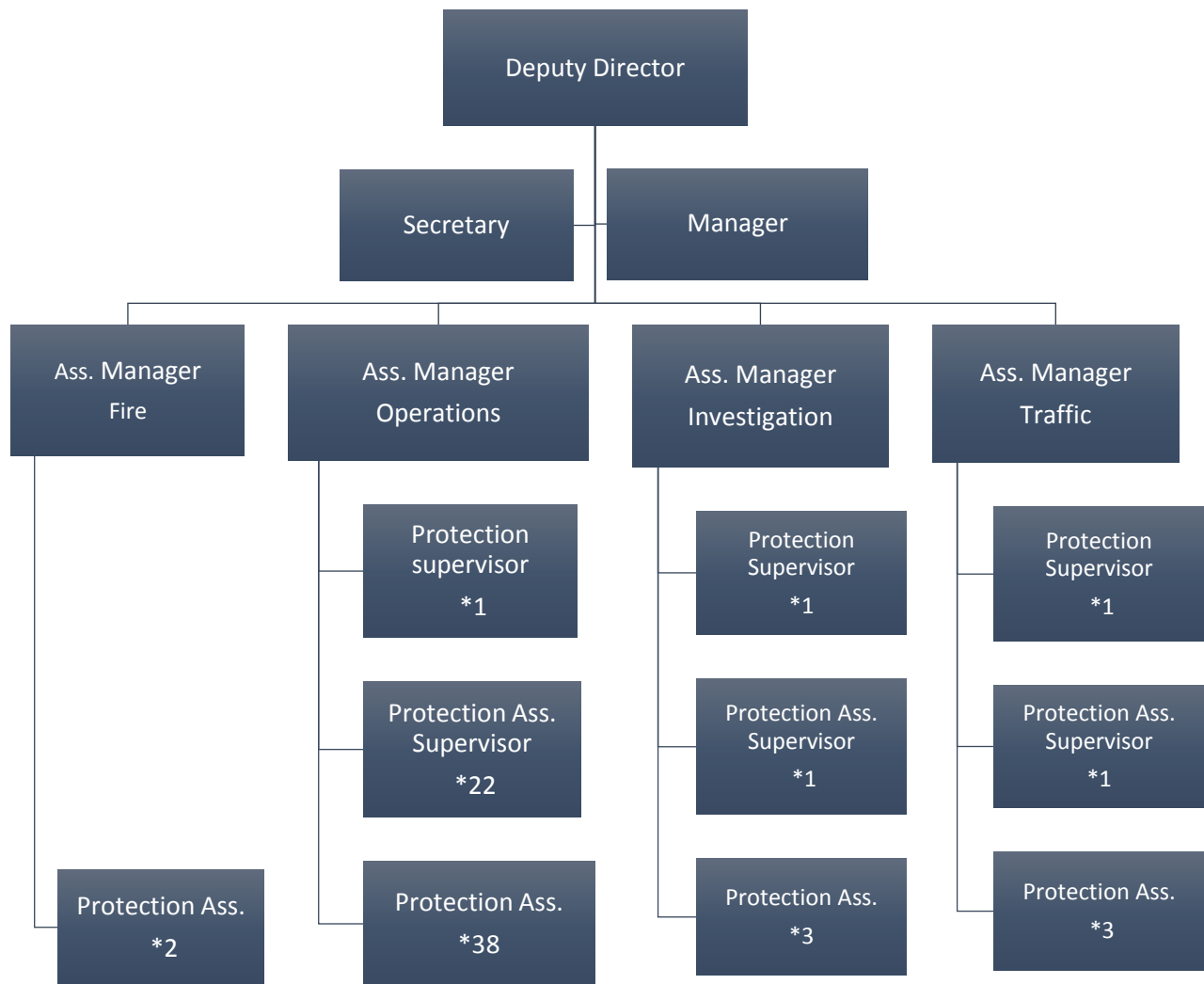


Figure 1-2: UB-PSU Organizational structure.

Source: Field data (2017)

The private security companies are based below the protection assistant in the Operations Department. Wherever they are deployed on campus, they are supervised by the UB protection staff on duty, regardless of their designation.

1.2 Statement of the Problem

Palmer (2000) observed that in a court of law, documentary evidence, such as verbal testimony or written reports is only useful if it can be guaranteed as credible, authentic and complete. In further highlighting the importance of records in security system, LEITSC (2003) highlighted that a records management system facilitates the storage, retrieval, manipulation and archiving of records pertaining to law enforcement operations. In addition, several studies affirm that a proper records management system facilitates planning, making informed decisions, ensures continuity, consistency and human rights protection (Kemoni, Ngulube & Stilwell, 2007; Nandian, 2006; Ngoepe, 2014; Ngoepe & Ngulube, 2013).

Campus security and protection is very critical in the face of escalating criminal activities on campus. This is evidence by the 2010 statistics which revealed that UB-PSU registered 302 criminal cases, of which 200 were completed while 103 cases were still pending at the police stations and courts. Due to rise in criminal activities, UB-PSU is bound to create more records, however cases maybe be delayed due to poor records management. UB-PSU is responsible for university community and property security, hence mismanagement records or poor recordkeeping practices could undermine the effective discharge of security services and protection of human rights as alluded by Keorapetse and Keakopa (2012) and Motsaathebe and Mnjama (2009). Research in Africa has shown that corruption due to poor records management practices in the security services can leave people feeling insecure and vulnerable, leading to public mistrust (Mann, 2011). A study in Uganda found that corruption due to poor records management practices in the police agency enabled suspected robbers to be released and recommit offences (Government of Uganda, 2002). As a result, increase in corruption and failure to provide justice may also affect student enrollment as it affect their perceptions towards the campus safety (Carrico, 2016).

Based on the above premise, the current study sought to assess the contribution of records management to the discharge of security and protection services at the University of Botswana, with a view to propose a possible framework to counter the problems in records management. To achieve this aim, the study adopted the ISO15489 standard on principles and concepts of records management to assess how records are created, captured, used, accessed and disposed at the UB-PSU. This study was crucial as there was a gap in literature pertaining to management of security records in universities. Several occurrences from a preliminary literature search on studies related to the records management and campus security yielded high results in studies to do with document security but none focused on how security and protection services departments in universities manage their records for the effective discharge of security services.

1.3 Aim of the Study

The aim of this study is to assess the contribution of records management to the discharge of security and protection services at the University of Botswana (UB), with a view to develop a framework that will enable the unit to effectively discharge protection services on campus.

1.3.1 Objectives of the Study

- To explore the records creation, capture and use of security and protection services at the University of Botswana.
- To establish the records disposal of security and protection services at the University of Botswana.
- To identify the challenges faced with current records management practices at the UB-PSU.
- To propose a framework for managing security and protection services records at the University of Botswana.

1.3.2 Research questions

- What procedures are followed in the creation, capturing and use of records at the UB Protection Service Unit?
- What procedures are followed in the disposal of security records at the UB Protection Service Unit?
- What challenges does UB Protection Service Unit face with current records management practices?
- What possible strategies can be adopted to address the current records management challenges at the UB Protection Service Unit.?

1.4 Justification of the Study

Given the sensitive nature of security services, proper records management practices which contributes to effective and efficient service delivery is inevitable. This is highlighted by MacNeil (2000) who states that a good records management system is known for trustworthy records which are both an accurate statement of facts and a genuine manifestation of those facts. In concurrence, James (2010) further stressed that a functional RMS can help curtail unlawful activities and improve community policing.

1.5 Significance of the Study

This study was conducted so as to reap the following benefits. Firstly, the study made a significant contribution to the body of knowledge in the field of records management and security agencies. Although the subject of records management challenges has been widely researched at a global level, a gap still exist as there is scarcity of literature pertaining to the management of security records in Universities. Where the issue of security in records management was treated, the focus was on document security. Many important questions such as the relationship between records management and security or protection services, how records

management practice affects the ability to deliver security services and the challenges that come with managing security records, thus, remain unanswered.

Moreover, in view of the fact that the PSU does not have an approved records management policy, the study could contribute to design of a records management policy that addresses the challenges currently facing the department. Finally, this study contributes towards safer communities because the policing agencies (protection unit) are able to do their job better through the developed capacities of records management systems. This is further confirmed by ISO (2010) which highlights that good and proper recordkeeping is a sign of a well-managed organization and should be seen as an integral part of, rather than incidental to any business.

1.6 Scope and Delimitations of the Study

The study was limited to the UB-PSU and focused on security records only. UB being the first and the biggest learning institution in the country and whose protection unit supervises two sub contracted security companies, it was found to be suitable for this study. It was anticipated that such a large unit, handles a lot of records and challenges around their management is most likely to surface. The limitation of the study was that the researcher relied on the views of the UB Protection Unit staff about the way they manage their records. There was no allowance to collaborate the findings from the staff members and the students who are the recipients of security services offered by the department. In addition, the study only assessed how records are created, captured and disposed. But the preservation of records was not at UB-PSU was not assessed in detail as this is a broader topic on its own.

1.7 Organization of the Dissertation

Figure 1.2 shows how the content of this dissertation is organized.

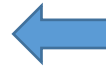
Chapter 1: Introduction- The chapter provides background and context of the study, the research problem and outlines the research objectives of the study.



Chapter 2: Literature review-Identifies the knowledge gap in management of records in security services agencies. Literature addressing the objectives of the study is discussed. Theoretical frameworks are also reviewed.



Chapter 4: Data presentation and analysis- This chapter presents the analysis and interpretation of data collected for the study. Findings are presented using direct quotes from participants while demographics are presented using frequency tables.



Chapter 3: Research Methodology The chapter outlines the research paradigm, research design, population of the study, sampling procedures, data collection methods, data analysis techniques and ethical considerations.



Chapter 5: Discussion of Findings This chapter presents an interpretation and discussion of the study findings presented in chapter 4 and a synthesis of related literature. The study Objectives were used to organize the chapter.



Chapter 6: Summary, Conclusion and Recommendations - This chapter presents the summary and conclusions of the records management practice in the UB-PSU. Recommendations and future research areas are also identified .in this chapter.

Figure 1-3: Structure of the dissertation

This chapter has presented the background and context of the study, statement of the problem, aim and outlined the research objectives, justification and significance of the study. The background of the study outlined that the poor state of records management has been registered as a concern in many countries, especially in ESARBICA region and Botswana is not spared. Thus, this study sought to assess records management practice in Protection Service Unit (PSU) of the University of Botswana (UB). The study was limited to the UB-PSU and focused on security records only. As a result, the study has bridged the knowledge gap pertaining to studies conducted in Botswana about the management of security records. The following chapter therefore, presents a review of literature pertaining to procedures and practices in records management.

Chapter 2

LITERATURE REVIEW

2.1 Introduction

Literature review is concerned with locating the frontiers of knowledge in records management and security services, with the aim of identifying any knowledge gaps through taking a critical look at what other scholars in the field have written about the subject. According to Nakano and Muniz (2018, p.3) literature review “plays the fundamental role of unveiling the theory, or theories, that underpin the paper argument, or, if there are no such theoretical background, which is the related extant knowledge. It sets the limits of discussion, and defines and clarifies the main concepts [within the study phenomenon]”. As a result, this chapter examines various empirical studies and the theoretical frameworks and concepts related to the study. These were addressed based on the objectives of the study.

2.2 Records Management Procedures Followed in the Creation, Capturing Use and Control of Records

According to ISO 15489-1: 2016 important elements in records management includes proper administration and adherence to practices that enable a record to go through its life cycle effectively. These activities in a records lifecycles include; creation, use and maintenance, and disposition or disposal. It is with the recognition of this stages of a records life cycle that allows organizations to manage records effectively. According to Charles Darwin University (CDU), (2017, p.1) “the capture of University records refers to the practice of capturing (keeping/storing) a record into an approved University system. This could include the entire record or information about the record (metadata) to ensure that these records can be managed appropriately, located and retrieved as needed.” Some of the examples of records capturing methods used at CDU are; scanning, data entry in to databases, hardcopy storage and direct digital capture. The Charles Darwin University further demonstrates the need to create and capture records within the relevant legislative framework. Examples stipulated by CDU (2017) in their records capturing manual are the Information Act, Records Management Policy, Privacy and Confidentiality Policy and records management standards. This is supported by Dikopoulou

and Mihiotis, (2012) who argued that organizations should establish and promote a records management policy to facilitate the creation and management of authentic, reliable, complete and useable records capable of supporting business functions as long as required.

In terms of records control processes, Nuclear Information and Records Management Association (NIRMA), (2010) has demonstrated a good records management practice as they comply to the records lifecycle guidelines. As shown in Figure 2.1, NIRMA follows a process that enhances effective document and records control in an organization. This processes or records procedures are also supported by ISO 15489-1: 2016. Similarly, Betty (2018) also revealed that the Parliamentary records management service in Ghana, engages in the following records management activities; creation, maintenance, file arrangement, classification, file census, control file movement and disposition.

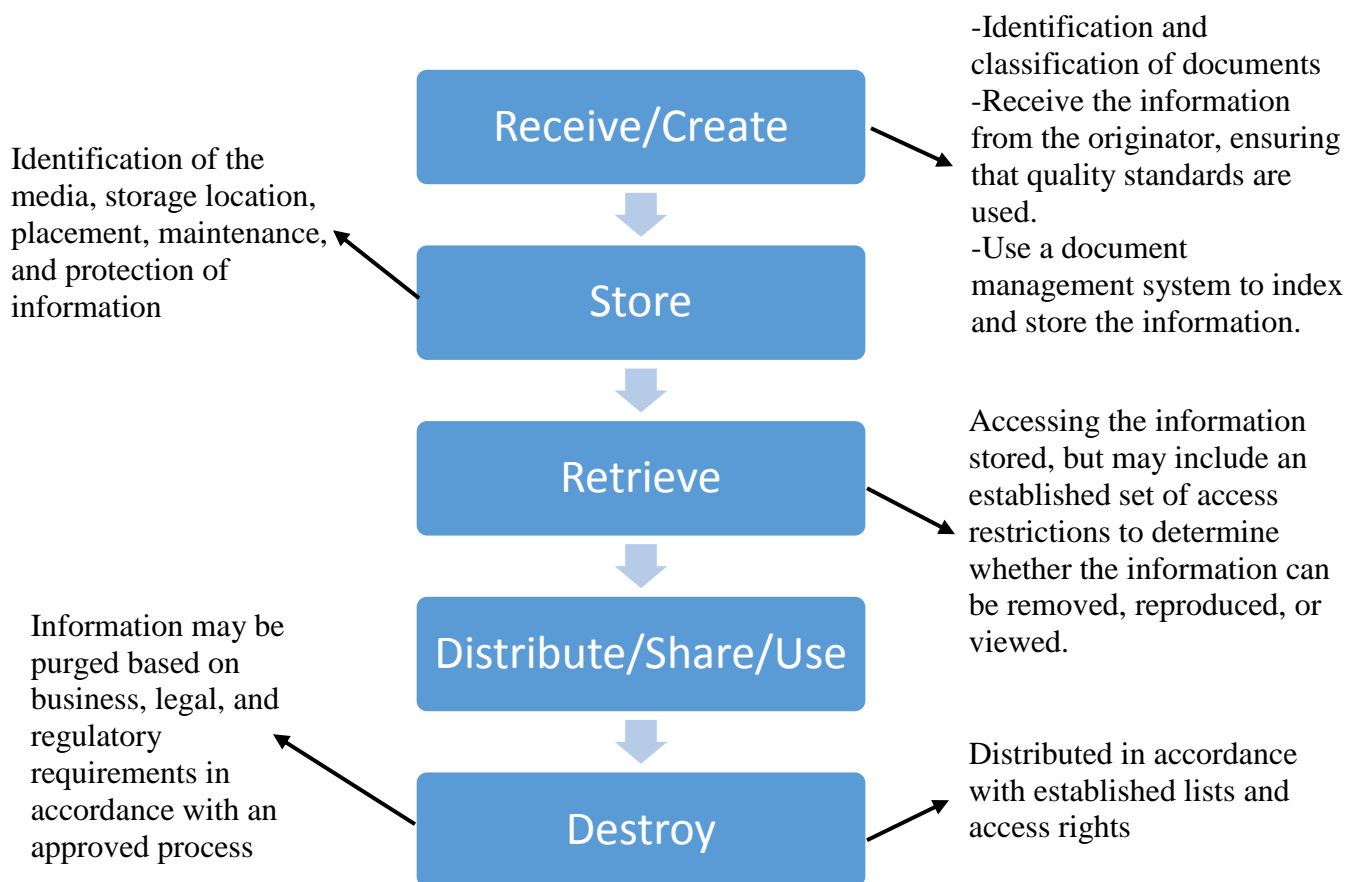


Figure 2-1: Document control and records management process.

Source: Information adapted from NIRMA (2010).

In addition to following the procedure or processes in Figure 2.1, CDU (2017) recognizes the need for proper records creation or capturing by ensuring that the organization has a comprehensive metadata capturing schema. The metadata ensures that the record is discoverable. CDU (2017) states that at a minimum, the metadata must be able to identify: keywords, significant dates (when a document was signed, created or captured etc.); and the person that captured/created the record. In the same vein, pertaining to creation of records, Motsaathebe and Mnjama (2009) revealed that the High Court in Botswana created and maintained the following types of records: civil cases, matrimonial cases, criminal trials, criminal committal, criminal applications, criminal appeals, miscellaneous cases, administration of estate records and guardian fund records.

Upon review of various records management procedures, it is evident that most organizations follow a similar procedure in the management of records. For example, the records management procedure by the Federation University (2018) stipulates the necessary steps to be followed during creation, capturing, storage and use of records. For example, the university states that the content in any form, context and the metadata associated with the record should be captured (Federation University, 2018). Furthermore, access rights and storage media are stipulated. In this case, the university uses an Electronic Content Management System for management of electronic mails. On another hand, a study conducted in selected local government councils in Ogun State, Nigeria, revealed that the councils mainly use paper as the dominant medium for recording and conveying information both at active and semi-active stage (Bakare, Abioye, & Issa, 2016). In addition, it was also revealed there are shortages of storage facilities in the councils. Furthermore, security measures against unauthorized access to records were by physical restrictions, use of passwords, managerial clearance and locking of cabinets (Bakare, Abioye, & Issa, 2016). One key point to note was that, all the three council studied had a registry where records management procedures took place and records were clearly classified according to the stage of use i.e active, vital records, semi-active and inactive records. In terms of retrieval tools, the study revealed that registers were the most commonly used, followed by simple registers and indexes. The use of color codes were another strategy used for easy identification and retrieval of files used in these councils (Bakare, Abioye, & Issa, 2016).

In terms of storage practices, a quantitative study conducted at the University of Education, Winneba (UEW) revealed that administrative documents were stored in both manual and electronic forms. Which lead to quick decision making, saved office space and promoted good corporate governance (Freda, 2014). It was further indicated that there were insufficient resources in terms of professionally trained records managers, training-starved administrative staff and office space. In addition, Motsaathebe and Mnjama (2009) also revealed that storage facilities at the Botswana High Court were not adequate and suitable for the records due to the fact that, mobile shelves are crowded, making retrieval of records from them slow and time consuming.

Despite the need to follow appropriate records management procedures, there is failure to follow the basic procedures involved in managing records throughout their entire life cycle such as none existence of or failure to implement filing systems. These were evidenced in countries such as Zimbabwe, Botswana and Namibia which still paint a gloomy picture over the poor state of records (Nengomasha, 2013). Studies show that, a well-managed system of records management allows organizations to know what records they have, and their location. This increases efficiency and effectiveness, resulting in cost saving, both in staff time and storage (Chinyemba & Ngulube, 2005). Records management support decision making; enables achieving business objectives and targets, provides continuity in the event of a disaster; meets legislative and regulatory requirements and protects the interests of employees, clients and stakeholders (Chinyemba & Ngulube, 2005). In order to have an effective records management programme, Dikopoulou and Mihiotis (2012), avers that all levels of the administrative chain personnel should be trained and involved in RM processes. This will enable the capturing and maintenance of quality records. In addition, Keakopa (2013, p.37) argues that “an approved records management policy covering the whole life cycle of records accompanied by the necessary procedures for creation, maintenance, use and disposition of records is needed at the initiation stage.” This imply that, every organization should implement a records management policy that will guide all the records management procedures.

In conclusion, security agencies are therefore mandated to have an effective records management programme as “records are fundamental to the administration of justice and the protection of citizens’ rights” (Motsaathebe & Mnjama, 2009, p. 173). The study on High Court records in Botswana, further revealed that the government is adopting automated court record system to manage its records (Motsaathebe & Mnjama, 2009). This shows that in addition to having records management tools such as policies, classification scheme and retrieval tools, it is imperative to also have an electronic records management system which will increase the efficiency of the records management programme.

2.3 Records Management Procedures Followed in the Disposal of Records

Studies confirm that proper records management practice does not only facilitate proper creation, maintenance, use of records but the disposal as well. A study by Ndudzo (2014) in Zimbabwe confirmed that a good records management practice enables easy access to information, reliable destruction of records when no longer needed and it enables organizations to fulfill their legal and financial requirements. Thus, disposal of records cannot be avoided if an organization is to run an effective records management programme. This is supported by Freda (2014) who revealed that the University of Education, Winneba (UEW) has documented records retention schedule that record categories and expected retention time periods. This has enabled the university to save space and reduced the retrieval time of semi-active records (Freda, 2014). On the other hand, Betty, (2018, p. xi) revealed that the Parliament of Uganda has “never appraised or disposed its records ever since its establishment, records had already filled up the strong room which is no longer accessible and some of the records are stuffed in boxes and some piled on the floors.” Similarly, Motsaathebe and Mnjama (2009) also revealed that the Botswana High Court did not have a retention schedule. As a result, the High Court retains all the records it creates, and because of this, it is running out of space to store records. This exhibits poor records management practice at national level, which can increase delayed services, inhibit informed decision making, good governance, transparency and accountability (Kargbo, 2009; Kenosi, 2011).

A survey report by AACRAO (2017) revealed that most (94%) of the learning institutions had a student records management policy that documented retention periods of various records. However, despite having a retention schedule, did not purge all records in accordance with the

institution's policy. Also, electronic version of the student records were not purged at all in these American universities. Some the reasons provided for lack of compliance to the retention and disposal schedule were; inability to identify document types in the document imaging system; lack of staffing/time; inability to purge electronic records; gaps in policy; fear of letting go of old documents "just in case"; belief that since the records are now electronic there is no need to purge; and difficulty in getting institution-wide buy-in to make it a priority (AACRAO, 2017). These reasons imply that most records managers do not purge records due inadequate knowledge and skills to complete the necessary records appraisal and disposal tasks. This shows a skills gap and therefore, there is need for universities to implement training program that equip staff with adequate skills towards certain records management activities which may not have been attained in the classroom.

2.4 Challenges of Records Management

World over, it has been observed that organizations are facing challenges with records management as highlighted by Enron scandals and others. This is highlighted by Palmer (2000) who observed that organizations and governments rarely see the relationship between records management and the prevention of corruption, fraud and maladministration. In the absence of strong records management controls, documents can be easily disorganized, concealed, lost, stolen, destroyed or otherwise tampered with (Palmer, 2000). Kemoni (2007) observed that these challenges relate to lack of records policy and legislation, physical infrastructure, and lack of awareness amongst record professionals and government authorities. In ESARBICA Region, several studies confirm the existence of such records problems which are said to be in a deplorable state (Nengomasha, 2013). These challenges in records management have been seen as aiding in defeating justice and have been used to perpetuate corrupt tendencies not only in organizations but even at a national level where even governments of the day are on record for manipulating records to maintain their status core and to hide their corrupt activities. Mukembo (2008) further echoed this observation when he highlighted the poor state of records management in Uganda which in some instances has resulted in standstill of workflow and delayed administration of justice due to missing files. A classic example is the case of court staff and magistrate who were arrested due to missing files. This poor state of records management did not only affect the smooth flow of work but it also fueled corruption among public officers

(Kalusopa & Ngulube, 2012). In South Africa similar cases were reported in Provincial Administrations where issues of fraud, mismanagement, corruption and poor service delivery were all linked to poor records management (Ngoepe, 2004).

Similarly, a study conducted in Ghana revealed that the Ministry of Foreign Affairs and Regional Integration “lacks good records management practices and that this was a major constraint on the attainment of the Ministry’s mandate; as is evidenced by delays in retrieval of key documents or provision of information needed by management to make urgent decisions as it corresponds and conducts business with its foreign counterparts” (Nti-Bonsu, 2017, p.viii). In Nigeria, the following were also identified as barriers and challenges in managing both paper and electronic records: inadequate finance, lack of records management policies, lack of equipment and materials, poor maintenance culture, erratic power supply, lack of retention and disposal schedule, lack of preservation policy, inadequate security measures, lack of finding aids, lack of back-up facilities, lack of skilled personnel, inadequate storage facilities (Alegbeleye & Chilaka, 2019; Asogwa, 2012; Bakare, Abioye, & Issa, 2016; Betty, 2018; Mnjama, 2004; Nwaomah, 2017).

In Botswana, similar challenges have also been identified in records management practices. Examples are studies conducted Mampe and Kalusopa (2012) at the Ministry of Health in Botswana. Their study revealed that records management practice in the corporate services delivery were undermining the service delivery as there was lack of awareness of the existence of the records management policy, procedure manual, lack of security, cases of missing files and folios. The same study also highlighted that lack of low level records management skills among records managers was identified as hindrance to effective records management programme. Furthermore, InterPARES Trust Project (2016) revealed the following challenges to be persistent in Botswana; inadequate digital records legislation, inadequate training and lack of trained staff, problems regarding professional collaborations, lack of freedom of information (FOI) and access to information. Should these challenges continue to persist, poor records management will prevail and consequently service delivery will be hindered as highlighted by Mampe and Kalusopa, (2012), Ndambuki (2015) and Shonhe and Grand (2018). Yet, service delivery is key in security services agencies as they are responsible for administration of justice through maintenance and provision of records as evidence in the court of law.

2.5 Theoretical Framework

Theoretical frameworks provide the researchers perspective through which to view the world (Grant & Osanloo, 2014). A theory can be referred to as an accepted fact that attempts to provide a rational explanation of the relationship between variables (Kothari, 2004). Several theories and models have been put forward by scholars to explain the field of records management and its role in organizational performance. Some of the relevant theories discussed include the Systems Theory, total quality management and ISO standards of Records Management and the ARMA International Information Governance Maturity Model. These theories will now be discussed in turn as follows:

2.5.1 ARMA International Information Governance (IG) Maturity Model

The Information Governance Maturity Model (Maturity Model) is based on the Generally Accepted Recordkeeping Principles (Principles), as well as the extant standards, best practices, and legal/regulatory requirements that surround information governance (ARMA International, 2017). The model is meant to be deployed as a quality improvement tool. In addition, it is worth noting that records management is an important component of an information governance program, but it is not the only component. As a result, the following set of eight recordkeeping principles are necessary for an effective information governance program (ARMA International, 2017; Saffady, 2015):

- **Accountability:** A senior executive should be in charge of the records management program. The accountable executive will delegate program responsibility to appropriate individuals, adopt records management policies and procedures to guide program personnel, and ensure that the program can be audited for compliance. A governance structure must be established for program development and implementation.
- **Transparency:** An organization's recordkeeping processes and activities must be documented in an open and verifiable manner. Such documentation must confirm that the organization's recordkeeping policies and practices comply with applicable legal requirements and accurately and completely reflect the organization's activities. The documentation must be available to employees and appropriate interested parties.

- **Integrity:** An organization's records must have a reasonable and suitable guarantee of authenticity and reliability. Recordkeeping processes, including audit processes, must provide reasonable assurance that the origin, time or creation or transmission, and content of recorded information are what they are claimed to be.
- **Protection:** An organization's records management program must protect records that are private, confidential, privileged, secret, or essential to business continuity. Recordkeeping procedures must provide appropriate protection controls from creation through final disposition of recorded information.
- **Compliance:** An organization's records management program must comply with applicable laws, regulations, industry-specific rules of conduct, and other binding authorities related to creation, storage, retrieval, retention, disposition, dissemination, and protection of recorded information, as well as with the organization's own recordkeeping policies, procedures, and rules.
- **Availability:** An organization's records must be organized, indexed, stored, and maintained in a manner that ensures timely, efficient, and accurate retrieval of information when needed.
- **Retention:** An organization must retain records for an appropriate period of time to satisfy legal, regulatory, fiscal, operational, and historical requirements.
- **Disposition:** An organization must provide secure and appropriate disposition for records that no longer need to be kept. In this context, disposition may involve destruction of records, transfer of records to another organization as part of a divestiture or other transaction, transfer of records to an archives or other scholarly repository, or transfer of records to clients or other parties who are the subjects of the records.

The IG maturity model is comprised of 5 levels as shown in Table 2.1. A complete quality assessment tool for information governance is made up of the recordkeeping principles embedded in each of these 5 levels. Examples of the principles are described within the five distinct levels of the Maturity Model as shown in appendix 13.

Table 2-1: *Levels of the IG Maturity Model*

LEVEL	DESCRIPTION
Level 1:	This level describes an environment where information governance concerns

Substandard	are not addressed at all, are addressed minimally, or are addressed in a sporadic manner. Organizations at this level usually have concerns that the information governance programs will not meet legal or regulatory requirements and may not effectively serve their business needs.
Level 2: In Development	This level describes an environment where there is a developing recognition that information governance has an impact on the organization and that the organization may benefit from a more defined information governance program. The organization is vulnerable to redress of its legal, regulatory, and business requirements because its practices are ill-defined, incomplete, nascent, or marginally effective
Level 3: Essential	This level describes the essential or minimum requirements that must be addressed to meet the organization’s legal, regulatory, and business requirements. Level 3 is characterized by defined policies and procedures and the implementation of processes specifically intended to improve information governance. Level 3 organizations may be missing significant opportunities for streamlining the business and controlling costs, but they demonstrate the key components of a sound program and may be minimally compliant with legal, operational, and other responsibilities.
Level 4: Proactive	This level describes an organization-wide, proactive information governance program with mechanisms for continuous improvement. Information governance issues and considerations are routinized and integrated into business decisions. For the most part, the organization is compliant with industry best practices and meets its legal and regulatory requirements. Level 4 organizations can pursue the additional business benefits they could attain by increasing information asset availability, as appropriate; mining information assets for a better understanding of client and customer needs; and fostering their organizations’ optimal use of information assets.
Level 5: Transformational	This level describes an organization that has integrated information governance into its infrastructure and business processes such that compliance with the organization’s policies and legal/regulatory responsibilities is routine. The

	organization recognizes that effective information governance plays a critical role in cost containment, competitive advantage, and client service. It implements strategies and tools for ongoing success.
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Source: ARMA International (2017)

The researcher could have used the ARMA International Information Governance Maturity Model because of its ability to clearly identify and articulate the critical hallmarks of information governance, that ensure the effective and efficient use of information in enabling an organization to achieve its goals. In addition, the model is applicable to different types and sizes of organizations, and in both the private and public sectors. However, in regards to its applicability to the proposed study, the model was found inadequate as it works where there is a lot of autonomy. That is why the researcher settled for the ISO Standard.

2.5.2 Systems Theory

The proponents of the Systems theory posit that a system comprises of subsystems which are dependent and at the same time interdependent (von-Bertalanffy, 1968), it highlights the fact that when one system is affected, a ripple effect goes throughout the system. Every system is goal directed and is comprised of three properties; input, process and output (Figure 2.2).



Figure 2-2: Systems Theory.

Source: Figure designed by the researcher

As such, management of records and protection service delivery can be seen through the theoretical lenses of systems theory. In the protection service unit, inputs are received from the campus which can be viewed as security/ criminal reports, students, personnel and university records. The various activities which take place within the protection services unit, can be viewed as the process. Each staff member in the Unit is responsible for performing a specific task. These functions include management, supervision, receiving criminal or security

complaints, attending to security issues, creating security or criminal records receiving information, creating files, retrieving files, submitting reports to police and managing records. The output is the service that is delivered as a result of the input and process. Therefore, it can be deduced that poorly managed, kept and retrieved records lead to inability to discharge security service (poor service). Whereas properly managed records which are well stored and easy to retrieve result in effective and efficient service delivery which can be translated into effective security or protection services. By extension, the PSU can be seen as an organization which receives information from the environment, processes it and delivers protection services as the output. To illustrate the interdependence of the system theory, failure by one part to play their role can lead to the inability of the system to function optimally. This theory cannot be adopted due to the fact that it does not focus on specific task functions that directly affects the structure and function of the organization. It cannot be directly applied to practical problems.

2.5.3 Total Quality Management (TQM) theory

TQM processes model can be used to appreciate the contributions of records management to protection service unit. This model is used as a tool to gain insight on how to implement, review, monitor and perfect the performance of the organization. The model is based on the premise that all activities within a system take place for the purpose of providing high-quality service to customers. TQM is basically made up of four major categories thus; (1) foundation (2) building bricks (3) binding mortar and (4) roof. These categories are described below:

Foundation - TQM is built on a foundation of ethics, integrity and trust. It nurtures openness, fairness and sincerity and allows combined effort towards continuous improvement. Similarly, the protection services unit cannot be successful in delivering their mandate without the foundation of ethics, integrity and trust both at individual and organizational level. Moreover, owing to the sensitive nature of security services offered by the Protection Unit, the absence of this foundation may undermine successful service delivery as they are supposed to build cooperative environment as well as ensuring customer satisfaction.

Bricks - After the laying of the foundation, at this stage bricks are placed up to roof level. Bricks are also equally essential as they give structure to organizational process, they include the

following; (training, teamwork and leadership. These elements have been recognised for their centrality to successful total quality management. Efficiency is very important especially in discharging protection services. Successful TQM entails commitment from senior management in creating and deploying clear quality values and goals in establishing and organizing well defined systems, methods and performance measures for achieving those goals.

Binding Mortar -Communication is considered to be the binding mortar which brings together all the elements. According to this theory beginning from foundation to the roof of the TQM house, all elements are bound by strong mortar of communication. The success of TQM demands communication with and among all the organization members, suppliers and customers. Supervisors must create an environment which encourages open communication with employees.

Roof Recognition - is regarded as the final stage which entails an important task of detecting and recognising contributors by supervisors. It has been proven that Recognising contributors contribute significant changes in self-esteem, productivity, quality and the amount of effort expended to the task at hand.

In summary these four elements are essential in ensuring success of TQM in organizations Likewise, effective discharge of security services is not possible without these elements. A security service without integrity, ethics and trust would not only be a hindrance to service delivery but will undermine the very core of its existence. Training will create the right atmosphere in the protection services unit. It is essential that leaders are involved and that employee's work as teams. Lack of communication between departments undermines the whole TQM process. Last but not least, recognition should be given to people who contribute. This model cannot be adopted in this study because there seems to be resistance from participants. Employees may feel that their jobs within the company are at risk under a comprehensive TQM program and as a result, may be slow or resistant to participate fully in the study.

2.5.4 ISO Standard for Records Management

The standard for records management is International Organization for Standardization (ISO 15489) which is an International Federation of National Standards Bodies (ISO member bodies).

This standard has been commonly accepted as an effective and important set of principles and guidelines that regulates records management (RM) systems (ISO, 2010). The ISO 15489 records management standard was applied in this study to assess and verify if indeed the records created in the PSU are managed according to the internationally accepted standard of record keeping. Use of ISO 15489 in all operating units needs the total support of management, as well as training of individual employees to identify records at the point they are created and it also calls for cooperation in identifying all company records. The all-inclusive nature of ISO 15489 standard in as far as management of current and non-current records and the clear categorization of its requirements, makes it a viable option upon which records management procedures can be based. Adoption of ISO standards in managing records in the Protection Service Unit will not only ensure efficiency and effectiveness in service delivery but will also ensure that records created meet the international standards requirements. Moreover, in consideration of the sensitive nature of security records, adhering to international standards is considered to be the safest option. In summary, adoption of ISO Standards in management of records will ensure that the organization follows legal requirements for information retention. It equips itself with appropriate evidence of transactions to defend itself in legal action or audit and plan for the continuity of the organization during a disaster, as well as assist in controlling costs through the timely disposition of information.

The following characteristics of records management system were advanced by ISO 15489-1: 2016 as requisite for effective and fully functional system are ISO 15489-1: 2001(en): (1) **Reliability** (the continuous and regular operation in accordance with responsible procedures). (2) **Integrity** (the ensuring of no unauthorized access and no destruction, alteration or removal of records). (3) **Compliance** with current business, regulatory environment and community expectations. (4) **Comprehensiveness** (resulting from the complete range of business activities of organization or section of it). (5) **Systematic** (RMS practices should be systematized through the design and operation of both business and records systems).

In addition, ISO 15489-1: 2016 highlights important elements in records management (Figure 2.3). Firstly, it talks about the **creation** of records, which highlights the need to create records content and metadata that document the circumstances of their creation. Secondly the **capturing**

of records, which involves assigning of a unique identifier generation of metadata about the record and creating links between the record and other records, agents or business. Thirdly **Access control** which stipulates that records systems should be tailor-made to back the provision and restriction of access to records for different categories of users. Fourthly, use **and reuse** emphasizes the value of records usability as long as they are retained. Lastly **record disposition** processes which should be conducted according to rules in authorized and current disposition authorities. Of noteworthy is the fact that all these elements are directly applicable to the proposed topic and stated objectives which looks at records management practice by further breaking it into small elements like the creation, the use, the retention and the disposition of records. Hence the researcher adopted these concepts as shown in Figure 2.3.

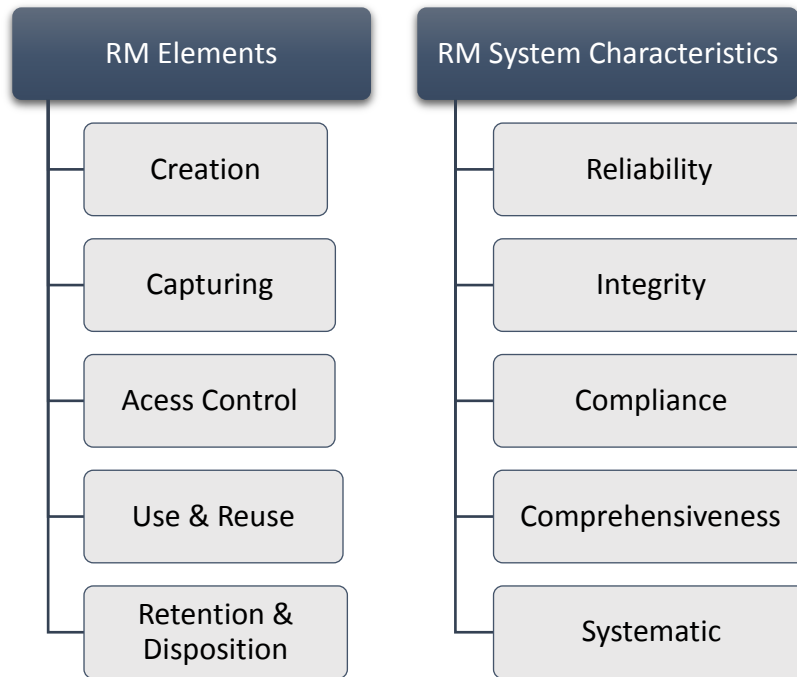


Figure 2-3: Theoretical Framework Based on ISO 15489 (2016)

2.6 Summary

This chapter reviewed literature including theoretical and conceptual framework as well as a critique of related literature. Review of literature shows that records management practice is invaluable to any organization and more so to law enforcement agencies as it determines the ability to discharge security duties and that there are various theoretical frameworks that have been used to explain the concept of records management. Abuki (2014) observed that poor

records management had overwhelming consequences, such as delayed and poor service delivery which may not only result in frustrations but in opening of opportunities for corruption. Mnjama's (2003) review of the records and archives management situation in Kenya established that recordkeeping in Kenya was far from being satisfactory. Despite being widely acknowledged as instrumental to effective service delivery and administration efficiency, studies show that most countries in ESARBICA lack capacity and face many challenges in managing records. These relate to lack of records policy and legislation, physical infrastructure, and lack of awareness amongst record professionals and government authorities (Kemoni, 2007; Mnjama, 2003; Dikopoulou & Mihiotis, 2012; Kemoni, Ngulube & Stiwell 2007; Ngoepe, 2004; Muemi & Rotich, 2015; Kemoni & Ngulube, 2008).

Chapter 3

RESEARCH METHODOLOGY

3.1 Introduction

The previous chapter discussed the literature pertaining to the study phenomenon, whereas, this chapter presents the research methodology that was followed in conducting the study. Research Methodology is a systematic plan for conducting research as a way of testing the hypothesis in order to make informed decisions (Kothari, 2004). This chapter presents and justifies the study's approach in conducting the research; it includes the research design, population of study, sampling procedure, data collection instruments, data collection procedure, data processing and analysis procedures.

3.2 Research Paradigm and Strategy

This study adopted the interpretivist paradigm due to its ability to allow the researcher to have an in-depth insight into the contribution of records management and also establish how records in the Protection Services Unit are managed. The interpretivist approach enabled the researcher to assess and interpret the management of security records through observation of records management practice in the unit. According to Saunders, Lewis and Thornhill (2012) interpretivist are concerned with the meaning of things rather than with identifying and measuring phenomena. They are premised on the notion that human experience is a valuable source of data, as opposed to the idea that true research or discovery lies in simply measuring the existence of physical phenomena which is the case with positivist approach. This was applied through observing subjects in their natural setting as they discharge their day to day duties at the protection unit and by interviewing participants involved in the management of security records.

The researcher adopted a deductive qualitative approach, which according to Taylor, Bogdan and DeVault (2015), is concerned with how people think and act in their everyday lives. Hence, the study focused on people who are involved in handling security records because they are the ones with first-hand information on what is happening in the department and through observing them at work. The approach also enabled collection of data from a natural setting. Thus security staff were observed in their natural setting.

3.3 Research design

The research design determines how a study was conducted and it spells out a data collection plan and data collection tools. Selection of a research strategy is mainly driven by the need to effectively address the research question. A research design is defined as a comprehensive plan for data collection (Bhattacharjee, 2012). Cresswell (2013) added that a research design is a plan of action that connect methods to outcomes and determines choice and use of approach. In view of the nature of the study which is assessing records management practice of protection services, with a particular focus on the University of Botswana Protection Service Unit (UB-PSU), a case study was used. Specifically an instrumental case study was chosen as it was suitable for assisting the researcher to gain more insight into the research phenomenon (Universal Class, 2019). The researcher managed to collect in-depth data by focusing on one case or a unit of analysis (UB-PSU). Through a case study design, the researcher was able to collect data through interviews and observation in order to get a complete picture of record management practices in the UB-PSU.

3.4 Population and Location of the study

The study was based at the UB-PSU main campus, involving Protection Services staff, Private Security Companies, these being Intap Security staff and Sentinel Security staff. The total population of the study is 197 security services staff (Table 3.1). Seventy-nine employees are from the UB-PSU staff; 68 from Intap Security staff while 50 employees are form Sentinel Security staff (Field data, 2017).

Table 3-1: Population of the Study

University of Botswana Protection Services Staff	Number
Deputy Director	1
Manager	1
Assistant Manager	4
Protection Supervisors	3
Protection Assistant Supervisor	24
Protection Assistant	46
Sub Total	79
INTAP Security Staff	
Supervisors	8
Guards	60
Sub Total	68
SENTINEL Security Staff	
Supervisors	5
Guards	45
Sub Total	50
TOTAL	197

Source: Field data (2017)

3.5 Sampling procedure

Sampling procedure entails selecting a subset of a population of interest for purposes of making observations and statistical inferences about that population (Bhattacharjee, 2012). Therefore, purposive sampling was used to purposively select PSU within the Campus Services section of the University of Botswana. According to Wamundila, (2008) purposive sampling is a non-probability sampling method that allows the researcher to purposively recognize respondents as source of data. The sampling for the proposed study was drawn from the UB-PSU as it creates, capture, use, control and dispose security and protection records.

According to Krejcie and Morgan (1970) table of determining sample size for a given population as shown in Appendix 8, the study sample was 127. This could have been a good sample size for a quantitative study as questionnaires could easily be distributed at a cheaper costs. Therefore, due to the nature of this study which is predominantly qualitative, the researcher used convenience sampling to collect data from readily available respondents. According to Macleod (2014), convenience (opportunity) sampling entails selecting participants

from a target population available at the time and willing to take part. This technique allowed the researcher to interview security personnel who were found on duty at the time of data collection. This made the research process manageable as many security officers work according to different shifts, hence it was difficult for the researcher to use other techniques such as systematic sampling because some participants chosen within the employee list were coming to work during hours which were not convenient for the researcher. The researcher did not determine a fixed sample size in advance rather data was collected until it reached a saturation point whereby there was no more new data addressing the research questions. As a result, the study sample ended up being 32 participants.

3.6 Data Collection Instruments and Procedure

The data collection instruments used in this study are explained below:

3.6.1 Interviews

Interviews were deemed appropriate for the proposed study because they allow the researcher to further probe to get in-depth information by making follow up questions. And it also allowed the researcher to seek clarification where the need arose. The interview comprised of open-ended questions which allowed the respondents to share their experience without restriction (Appendix 1, Appendix 2, and Appendix 3). In-depth interviews were suitable for getting information from the people who are working in the Protection Services Unit. As shown in Table 3.3 below, Interviews were used to collect data pertaining to how security staff create, capture, use and handle security records. The interview questions were not too many, hence this gave the researcher ample time to interview more participants and gave them enough time to articulate the records management procedures followed at the UB-PSU. Interview sessions were held in participants' offices or deployment stations. The reason why the researcher chose to carry out the interviews in different sites where security officers were stationed is that, it gave the researcher an opportunity to get first-hand information about how officers record data. In addition security officers had no time to leave their stations unattended for a longer time, thus the researcher had to visit them at their work stations for data collection. Interview data was hand written and also audio recorded. The researcher's phone was used for audio but other participants did not agree to be audio recorded in order to ensure confidentiality on what they had discussed with the

researcher. In order to avoid preempted answers, the researcher did not provide the interviewee with questions before hand.

3.6.2 Personal Observation

According to Taylor, Bogdan and DeVault (2015) observations can yield better results in the research. This is also further confirmed by Silverman (2001) who posits that observation of participants is also valued for gaining of a deeper insight of the physical, social, cultural, and economic contexts from which the study participants live. Hence, the researcher personally observed the security personnel at work right from the beginning when a case is reported, how they create a record, up to the time the record is retrieved (using an observation guide in Appendix 4). As shown in Table 3.2, an observation assessment was conducted so that the University of Botswana Protection Services Unit could be fully assessed to ascertain whether Records Management is practiced according to the International Standard of Records (ISO 15489).

Table 3-2: Data Requirements Table

Research questions	Constructs	Data collection tools	Data sources	Data Analysis
What procedures are followed in managing the creation and use of records at the UB Protection service Unit?	Creation, Capturing, Access control, Use and reuse,	Interviews Observation	Managers , supervisors and Private security company supervisors, Guards	Thematic coding: -RMU activities
What procedures are followed in managing records retention and disposal at the UB Protection service Unit?	Disposition Reliability Integrity Compliance, Comprehensive ness, Systematic	Interviews Observation	Head of protection unit and security personnel security guards	Thematic coding: -Policies -Vital Records -Records management procedures
What challenges are being faced with the way records are currently being managed	Creation, Capturing, Access control, Use and reuse, Disposition	Interviews Observation	Head of Protection unit University management Security	Thematic coding: -Challenges

	Reliability Integrity Compliance, Comprehensiveness,		guards and protection assistants	
What strategies can be used to address records management challenges in the department	Based on the challenges highlighted in different constructs of ISO 15489	Interviews Literature review	Head of unit Supervisors of Private security guards Head of records management Protection assistants	Thematic coding: Strategies

3.7 Data Analysis

Collected data was analysed qualitatively using qualitative data analysis software called QDA Miner Lite (V2.0.5). Demographic details were exported to Microsoft excel for quantification purposes. Interview guides were coded numerically (in sequential order) and data was entered into the system immediately after each interview session. This enabled the researcher to enter data in small batches hence increasing data accuracy, quality, and reliability during data entry process. This is due to the fact that errors were minimized by capturing data in small batches unlike when data is analysed at the end of the data collection process when the interview data is now bulky and difficult to work with. Qualitative analysis of data involved analyzing narrative text solicited from interviews and observations. Unlike, quantitative analysis which is largely based on statistics, qualitative analysis is heavily dependent on the researcher’s analytical and critical skills and first hand appreciation of the social context within which data is collected.

The analysis process followed by the researcher is presented in Figure 3.1. This process involved 10 steps. The researcher started reading the transcribed data from the interviews and listened to the audio recording. This process had to be repeated several times so as to ensure that the researcher has captured the correct statements from the respondents. This was then followed by data cleaning; whereby the researcher had to remove redundant statements, and replace informal words with the more formal language though the researcher had to ensure that the original statements do not lose their meaning. The researcher then went on to type the respondents’ answers on Microsoft word and uploaded them on QDA Miner Lite (V2.0.5). Once the case file

was uploaded on the software, the researcher would begin by assigning the variables and then moved on to coding the content in each case file. The codes used were based on the theoretical framework described in chapter 2, section 2.6.4. Thus, the study followed a deductive approach rather the inductive approach which is supported by grounded theory. After all the case files were coded, the researcher proceeded to merge, delete and edit some codes. After which qualitative data was then transferred to Microsoft word for interpretation while the variables were exported to Microsoft Excel for quantification. These were then presented under the demographics section. After the report was written, the researcher submitted it to the investigations personnel and three of the Protection Assistants at UB-PSU, to verify if the findings are not altered or misinterpreted in any way.

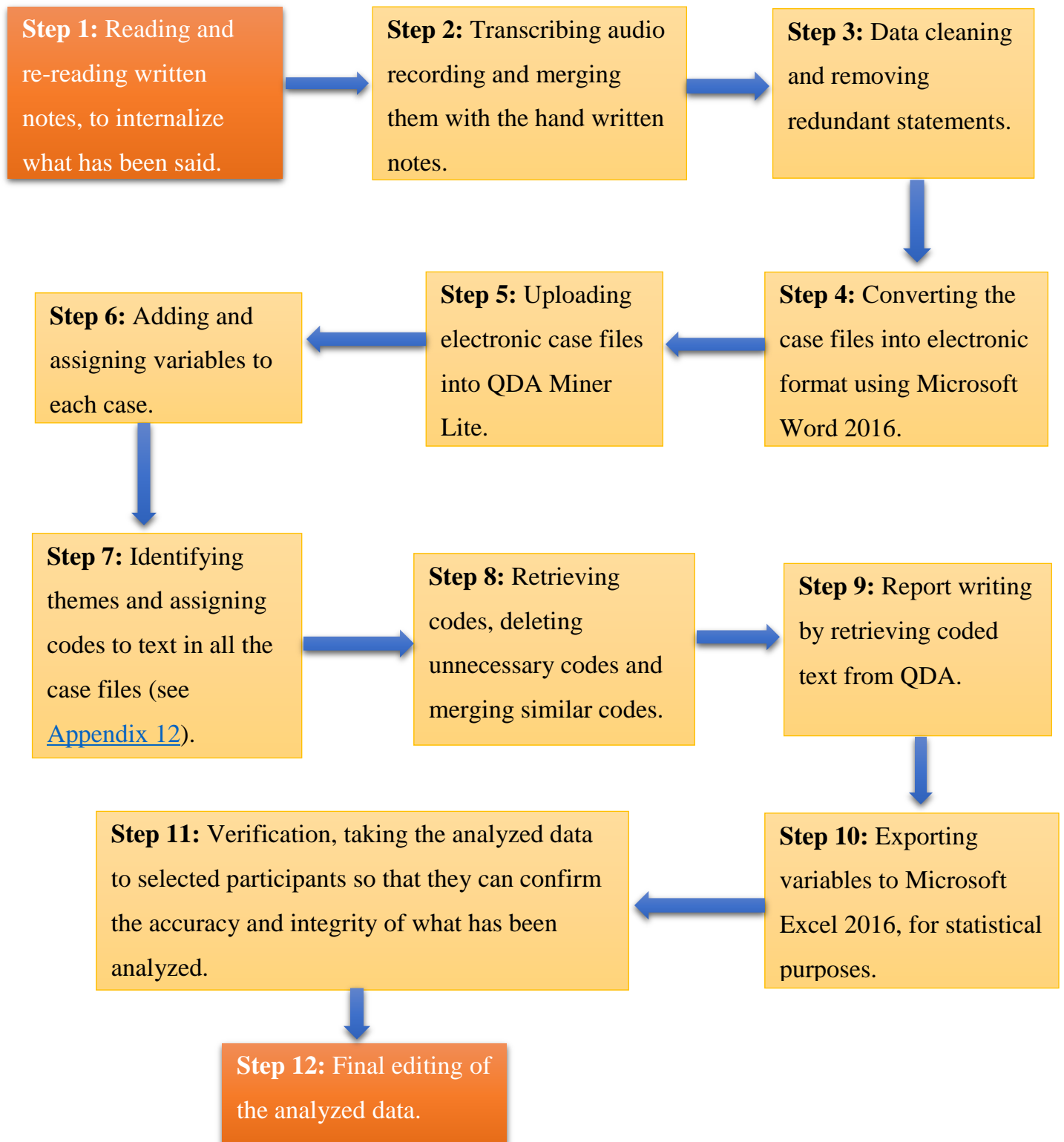


Figure 3-1: Data analysis process.

3.8 Ethical Consideration

The proposed study was guided by the following ethical considerations: the researcher sought permission to do research from the Office of Research and Development (ORD) in the University of Botswana (see Appendix 6). In addition, permission was sought from the Director of UB-PSU, the Manager from Sentinel and Intap security companies. The researcher explained clearly the research objectives to the participants before they took part in the study. Thereafter, they were asked to sign the informed consent form (see [Appendix 5](#)) which outlined their right to withdraw from the research at any time they felt uncomfortable. Information provided was treated with utmost confidentiality as the researcher ensured that the original written notes from the interviews were kept away from third party access. In addition, participants' responses were kept anonymous by using an alphanumeric code that ensured that the participant's names are not revealed even when the real responses were quoted during the report writing. The alphanumeric code was based on the participant's company and the sequential number assigned to the case file. For example, a participant working at Sentinel Security Company with their case file labelled number '20', would be coded/represented as 'SEN20', whereas a participant from the UB protection services with a case file labelled 11, would be coded/represented as 'UB11'. The researcher tried by all means not to misrepresent the research findings. This was achieved by taking the analyzed data back to the participants so that they could verify if the results were interpreted correctly. The researcher was very honest about the intentions of the study and assured the participants that the study was for academic purposes.

3.9 Dissemination of Findings

The findings of this study shall be distributed or made public through means of legal deposit. A copy of the dissertation shall be deposited with the Botswana National Library Services (BNLS), University of Botswana Library (UBL) and Botswana National Archives and Records Services (BNARS). Furthermore, a journal paper shall be extracted from this dissertation and published in one of the reputable academic journals on records management.

3.10 Summary

This chapter has outlined how the researcher has conducted the study. This chapter articulates and justifies why certain approaches were chosen. In this study interpretivist paradigm was chosen as it supports the exploration of a phenomenon by using qualitative means of data collection. As a result, the researcher collected data through interviews and personal observation. The total population of the study was 197, but through convenience sampling, the sample size ended up being 32 participants. The data analysis section gives a clear description of how QDA Miner Lite software was used for coding and analysing participants' respondents. Lastly the chapter elucidates on the ethical considerations adhered to in this study. These include getting research permit from the host institution, research site and the participants themselves.

Chapter 4

DATA ANALYSIS AND INTERPRETATION

4.1 Introduction

The purpose of the study was to assess the records management practices at the University of Botswana Protection Services Unit (UB-PSU). The study was guided by the ISO 15489 standard for records management. In order to achieve the above purpose, qualitative research methods were used, that is, in-depth interviews were conducted with the UB-PSU staff and the private security staff who are supervised by the UB-PSU; observation was also conducted by the researcher. The aim of doing this study was to establish the records management procedures followed by the UB-PSU in record creation, use, records retention and disposal; challenges faced with current records management system and possible remedial measures in addressing records management issues at the UB-PSU. This chapter presents the analysis and interpretation of data collected for the study. According to Ngulube (2015), data analysis and interpretation puts a research project into perspective and assist the researcher in testing the hypothesis initially stated in the research project.

4.2 Demographic Details

Interviews were conducted with 32 participants as shown in Table 4.1. There were 10 (31%) participants from Intap Security Company, 9 (28%) participants from Sentinel Security Company and 13 (41%) participants from the UB-PSU. Regarding the participants gender, 21 (66%) were males while 11 (34%) participants were females. The study findings were collected from participants with the following designations: Supervisor (n=6, 19%), Assistant supervisor (n=4, 13%), Protection Assistant (n=6, 19%), Manager (n=1, 3%) and Security guard (n=15, 47%).

Table 4-1: Respondents Characteristics (N=32)

VARIABLES	COUNT	PERCENTAGE
Gender		
Male	21	66%
Female	11	34%
Position		
Supervisor	6	19%
Assistant Supervisor	4	13%
Protection Assistant	6	19%
Manager	1	3%
Guard	15	47%
Qualification		
Form 3- JC	9	28%
Form 5-BGCSE	16	50%
Certificate	4	13%
Diploma	2	6%
Bachelor's Degree	1	3%
Company		
Intap	10	31%
Sentinel	9	28%
UB-PSU	13	41%

Source: Field data (2018).

4.3 Interview Analysis

The findings in this section are presented based on the participants' views and comments. The illustrative quotes have been slightly edited for ease of reading without changing the context and meaning. The researcher did not make any substantive changes but deleted repeated words and corrected grammatical inconsistencies that are common in spoken language. Where a new word was inserted/changed by the researcher, it is represented by the use of brackets within the quotes. From the interview analysis, a number of keywords and themes were identified from the participant's narratives. Majority of the keywords were consistent with the constructs from the theoretical framework. Figure 4.1 shows a word cloud of keywords that were identified during data analysis. These words were appearing in more than one case and in some instances they were appearing more than once in the same case. [Appendix 9](#) further shows a breakdown of the coding frequency of the 23 keywords initially identified.



Figure 4-1: Word Cloud-Sub themes from the research findings.

Source: Field data (2018)

As a way of organizing the data retrieved from participants, the key words were categorized into seven sub-themes (see [Appendix 7](#)). The researcher combined some of the sub-themes based on their relationships, and ended up with a total of four main categories. These are; registry activities, records management policies and procedures, security issues and challenges encountered.

4.4 Empirical Findings

This section represented the empirical findings from the interview sessions and data obtained through observation. Photos taken during the observation exercise were used to support the participant’s responses. The participants’ responses are put in quotations marks and italics. Furthermore, the participants’ identity was kept anonymous by the use of alphanumeric codes such as ‘UB14, INT27 and SEN16’. The section is arranged according to the following themes: Registry activities, records management policies and procedures, security issues and challenges encountered by the UB-PSU.

4.4.1 Registry Activities

The first objective sought to verify the records management procedure followed by the UB-PSU in record creation and use. The purpose of this objective was to establish if indeed the records management practices at the UB-PSU comply with the International Standard of records (ISO

15489). Therefore, participants were asked the following questions in order to address this objective:

- What procedures are followed in managing the creation and use of records at the UB Protection Service Unit?
- What procedures are followed in managing the record retention and disposal at the UB Protection Service Unit?
- Who manages/takes care of the records in the Protection Services?

Sub-themes identified in this section were; creation, capture and use; records management staff, decentralized records management activities; retention and disposal.

a. Creation, Capture and Use

As observed by the researcher, all security staff including guards are responsible for the creation and capturing of records. Information is captured from students, staff, guests and observation of the environment by investigators. The captured records are then used by the security services supervisors for decision making and taking necessary actions. In order to create and capture information, four information recording tools were identified from the research findings. These are; occurrence book (OB), criminal record book, Statement form, and Docket form of case/file.

According to participant UB14,

*“the **occurrence book** is a register we use to capture all incidences that take place in the University of Botswana. We record information pertaining to our work shifts, handing over information, deployment areas, cases of lost or stolen items and all other criminal activities taking place on campus”.*

Participant SEN17 further explained that,

“ the occurrence book is like our primary source of information. It is the first tool used for recording all events/activities taking place within the UB-PSU or the UB community. All other information recording tools depend on it for reference. This is so, because the occurrence book is used by security guards to capture their daily activities and incidences reported to them. After which our supervisors will come and inspect, then advice on action to be taken”.

During observation, the researcher realized that the occurrence book uses a special or unique number to identify incidences captured. This number is captioned as the ‘OB NO.’ The number is given to individual incidences sequentially and it uses a three digit system. Every month the occurrence number begins from ‘001’ till month end.

Participant INT27, gave the following example;

“assuming that it is the first day of the month and there are 20 incidences recorded for the whole day. The occurrence number for those incidences will be numbered from ‘001-020’ (this is how it is recorded in the occurrence book). When this number is recorded in other information tools, the date and year are also attached to it e.g. ‘001/10/18’, this represents the case number + month and the year when the case was recorded.”

The second recording tool identified was the **criminal record book** shown in Figure 4.2. This register has several metadata fields which captures the following details; UB CR NO., date and time reported, OB NO., natural description of offence, Full particulars of the complainant, full particulars of the accused, investigating officers (a)UB (b)CPS, police CR NO., properties involved, and results of trial.

UB CR No.	DATE AND TIME REPORTED	OB No.	(a) NATURAL / DESCRIPTION OF OFFENCE (b) FULL PARTICULARS OF THE COMPLAINT	FULL PARTICULARS OF THE ACCUSED	INVESTIGATING OFFICERS (A) UB (B) CPS	POLICE CR No.	PROPERTIES INVOLVED	RESULTS OF TRIAL

Figure 4-2: UB-PS Criminal record book.
Source: Field data (2018)

Participant UB29, elaborated that the,

“UB CR NO refers to the correspondence number. It is made of the case number (allocated sequentially to each case recorded in the criminal book), month and the year. The UB CR NO is used for effective retrieval of cases, since it is recorded on the docket form. Thus, we

do not have specific [classification scheme] as these numbers act as unique identifiers just like [reference numbers] used in the classification scheme.”

The third tool mentioned by participants was the **statement form** (see [Appendix 10](#)). This is a form used to capture client’s complaints and used for opening a case for the complainant. It was also noted that the statement form is only completed after the incident has been recorded in the occurrence book. Participant UB9, explained that

“The statement form requires the complainant to write their full details and narrate the offence being reported in details. The statement form also captures the OB NO which is retrieved from the occurrence book. Once the form has been filled properly and signed, a file is opened for that case.”

The fourth information recording tool identified was the **docket form/file** which is blue in colour (see [Appendix 11](#)). As shown in [Appendix 11](#), the cover page of the file has numerous metadata fields which must be filled with outmost accuracy. Participant UB9 further explained that,

“The file also captures the UB CR NO which is retrieved from the criminal record book where the case is recorded. It also captures the Police CR NO which is recorded if the case has been reported to the Botswana Polices Services...normally when a case is a major one, the offender and the complainant are taken to the police station to open a case there. After which the UB statement form will be submitted to the registry once a case has been filed with the Botswana Police services.”

While observing the file which is labelled on the cover page as the ‘protection services docket form of case’, the researcher noticed that this file has an index inside it. This index captures the information shown in [Table 4.2](#). The file is also divided into sections called sub-files. All statements of the offender, complainant and witnesses are filed under Sub-file A, while correspondences are filed under Sub-file B and investigation reports are put under Sub-file C. Participant UB10 explained that “the *file index helps investigation officers to easily locate the information they are looking for within a file*”.

Table 4-2: Sections and Index Elements in the Case File

Section	Metadata field	Description
Sub-file A:	Statements of witnesses and page no.	On the index, the name of the person who wrote the statement and the statement number (e.g. A1, A2, A3, A4 etc.) are recorded in the corresponding fields.
	Exhibits and how they are marked	Exhibits refer to properties involved in the case. For example if drugs or electronic gadgets are involved, they are stored separately and marked using letter 'E'. if they are many within one case they are listed in the index using sequential numbering e.g. E1, E2, E3 etc.
Sub-file B	Correspondence and page no.	This is where the protection services communicate with relevant UB staff regarding the case. All emails and any other form of communication regarding the case are captured and listed in the index. Correspondences are numbered as B1, B2,B3 etc.
Sub-file C	Investigation diaries and page no.	The investigation diary captures information pertaining to the investigator and the action taken in investigating the case. For examples, “ <i>it covers questions such as; did you go to the crime scene? What was done at the scene? Any conviction?</i> ” said Participant UB10. Investigation reports are numbered as C1, C2, C3 etc.

Source: Field data (2018)

b. Records Management Staff

Data from the interview analysis revealed that records are managed by the investigations department. Participant SEN16 affirmed that,

“The registry is under the supervision of the investigations department in the UB-PSU. This department is taken care of by the UB protection Manager (Head of Department) and is assisted by 1 protection supervisor, 1 assistant protection supervisor and 3 protection assistants”

Participant INT13 further explained that,

“Private security companies are not involved in the management of records. We are only involved in the creation and capturing of records which are then submitted to the UB-PSU and filed by the registry. Private company supervisors can only keep the occurrence book in their various sites but all statements will be written at the UB-PSU and submitted to the registry for filing.”

In addition Participant UB12 also revealed that there are six (6) officers managing records under the investigation unit. These include the Head of department, assistant protection manager, protection supervisor, assistant protection supervisor and three UB protection assistants.

“The staff in the registry hold different qualifications. For example; one of them has a Diploma in criminal justice, others hold certificates in crime investigation, human resource management, while others hold a form five certificate (BGCSE).” said Participant UB12.

Some participants mentioned that the protection services staff are not professionals in records management, instead they rely on the skills they acquired where they worked before, like the Botswana Police Services, Botswana Defense Force and the Botswana Prisons Services. Participant UB1 revealed that,

“The UB protection staff are not professionals in records management. We are not sure whether the way we keep our records is the same way professional records managers would keep their records. But rest assured our files are made in such a way that we are able to capture all case information and we are able to retrieve it whenever we want information related to a certain case. Most of us here, rely on the skills we acquired from where we worked before joining the University of Botswana. What is important to us is, to be able to retrieve and access the case files and at least meet the requirements of the security records operations...”

c. Storage and Decentralisation of Records Management Activities

Records at the UB-PSU are stored in the registry room which acts more like a mini records management unit. As shown in Figure 4.3, active files in the registry are stored in an open space on the shelves. Participant UB31 noted that,

“Case files in the registry are arranged according to months. Thus, case files for the month of January are stacked together using a string. This makes it easy to locate the case files as the identification numbers are assigned using months of the year... Since our office is very small and we do not have enough storage space in our facility, we transfer old files (3-4 years) to a separate storage container at the UB maintenance area.”



Figure 4-3: Registry office where files are stored and managed.
Source: Field data (2018)

Findings from the interviews also revealed that the UB-PSU has the decentralized type of systems for records management.

“Some records are kept in different offices. We have four departments in the UB-PSU. These are; traffic unit, fire and safety, investigations and operations. The Operations Department records incidences in the occurrence book... and it is also responsible for capturing statements from victims and offenders. When all these are recorded, statements of crimes are handed over to the investigations office to open a file. While other incidences pertaining to

fire and safety or traffic issues are handed over to the relevant departments. Those departments create and manage their own files separately from the Investigations Unit” said Participant UB29.

Participant UB9 also affirmed that,

“The 4 Departments keep their own records in their offices until the cases are closed then the files are taken to the registry for storage.”

In addition, Participant SEN19 also states that,

“I know they have a small office which is referred to as the registry where they manage and store case files, but I have realized that some files are kept in various supervisors’ offices.”

In summary, the study findings revealed that the UB-PSU follows certain procedures in the creation, capturing and use of records. It was noted that, the unit uses various tools to capture information; occurrence book (OB), criminal record book, statement form and the docket form of case/file. These tools have comprehensive metadata scheme which also facilitate easy retrieval of information. It was revealed that security guards are the ones mainly involved in capturing first-hand information from clients or the incident site, together with investigators. Records are managed by six (6) personnel from the investigations office. These are not records management professional but they do follow procedures prescribed by the security services for capturing all the necessary case information. Finally, it was also revealed that records are stored in the registry which is the investigations office, while other departments keep and manage their own files, thus, representing a decentralized records management system.

d. Retention and Disposal

The second objective sought to establish the records management procedure followed by the UB-PSU in record retention and disposal. The purpose of this objective was to determine if the UB-PSU has a retention and disposal schedule in place and to establish if they adhere to records management standards. Findings revealed that records are kept for 5 years before they are destroyed.

“If a case is closed then the file is taken to the registry for storage up to 5 years, other records are transferred to the container at the maintenance area. Old files which are no

longer of value are destroyed at the UB maintenance incinerator... Records to be destroyed are transported by the UB vehicle accompanied by the protection services staff, who hand over the records to the person responsible for operating the incinerator to burn the records.” Said Participant UB10.

Participant UB12 also said,

“Most of our records are kept for 5 years then they are destroyed if we have storage challenges....we do not have a proper guideline [retention schedule] to guide us on which type of records are to be kept forever or when certain records should be destroyed. Hence we normally destroy records after 5 years, when we no longer have enough storage space. But I assure you that these records are only destroyed after a very long time, when they no longer hold any value to the UB-PSU.”

4.4.2 Records Management Policies and Procedures

To further understand how records are managed throughout their life cycle at the UB-PSU, the researcher probed the study participants to indicate the records management policies and procedures used to guide the records management practices in their organization. The following themes were identified: disaster management and records management policy.

a. Disaster Management

During the observation process, the researcher realized that the registry has a computer on each desk but they do not manage electronic records. It was also clarified during the interview that the registry does not have any electronic records management system that can be used as back up for the physical files. Participant SEN17 affirmed that,

“...the UB Protection Services does not have backup records. The Unit relies only on the occurrence book which also does not have all the information that is available in the files like statements from the victims. The occurrence book is also kept on the same shelves with the record files. If disaster strikes like fire, flooding and theft, the department could lose all of its records, and there would be nothing to refer to, in order to continue business processes...”

Participant INT3 also eluded that,

“As far as I know, UB Protection Services has fire extinguishers in place, smoke detectors, strong windows and doors to guard against theft but there are no water sprinklers on the ceiling. Clients are allowed to enter the registry room where case files are kept, this means that there are high chances of files being stolen... In essence I would say, the protection unit is not well prepared for disaster strike. And I believe this is due to the fact that there is no disaster management plan in place to actually guide us on how to protect records before, during and after a disaster occurs.”

Participant UB10 further concurred that,

“There is no documented information on how to protect records when disaster strikes, this means that we can lose all cases should a disaster like fire occur because we do not have any records stored in an offsite area or electronically as back up, the only records we have stored offsite are at the UB maintenance container but these are also original case files. Should there be theft, we would be left with no evidence apart from the cases that have been registered at the police station.”

About eighteen participants concurred to the fact that there is no disaster management plan in the UB-PSU. They all noted that there are fire extinguishers but no water sprinklers at the Unit to deal with potential fire occurrences.

b. Records Management Policy

When probed to comment about the records management policy in the protection unit, some participants said they do not know whether the records management policy exists, while twenty-one participants were confident that there is no records management policy in the unit. Participant SEN11 responded as follows,

“We do not have any special procedures or guidelines related to records management, but we do follow the rules related to capturing cases in the occurrence book. Our seniors always check if we are recording information the right way. Moreover, if they have such a policy or guideline then it has not yet been made known to us since we do not deal with case files directly.”

The following participants confidently noted that there was no records management policy at the UB-PSU;

Statement 1: “There is no RM policy in UB protection services to guide them. UB should formulate a policy in handling records because they only use their discretion.” Said participant INT27.

Statement 2: “UB Protection Services does not have a records management policy. I have never come across it ever since I started working here. We depend on the knowledge and skills we got from our previous employer being the government. The good thing is at least all guards or security officers are inducted on how to capture data in the occurrence book, while the investigation office has knowledge on how to deal with case files. But I think the presence of a records management policy is important to our unit especially that we are dealing with crimes that go against the nations law.” Said participant UB8.

4.4.3 Security Issues

As stated in objective one (section 1.3.1), the researcher sought to understand the procedures followed in managing records throughout their life cycle. Therefore, study participants were asked about the security measures in place at the UB-PSU. The main theme that emerged in this section was access control.

a. Access Control

Respondents expressed serious concern about access to records. Respondents mentioned that since record files are kept in various offices and some in the small registry room, there is no proper control of the record files. They mentioned that anybody can have access to the offices and temper with the files and that means destroying the records. Participant UB9 lamented that,

“The UB Protection Services does not take access to records seriously. Protection Services management take it that if offices are locked then record files stored in the offices are safe, but that is not the case because anybody can have access to the office keys in one way or the other. The offices do not have any security besides burglar bars on the windows only. Those who use the offices can also temper with the records, like removing or taking pictures of correspondences in the files or taking the whole file, destroying the records and therefore destroying evidence...”

Participant UB10 also noted that,

“There is high risk of private security guards sneaking in the registry and getting information on certain cases or even destroying those case files. This is so because we do not use access cards on the registry entrance rather we use a key which is accessible to more than one person.”

Participant UB15 lamented that,

“access control to information is not very strict as it should be. For example; recorded data in the occurrence book is not classified, no matter how sensitive the information is. The information is accessible to anyone hence nothing is confidential, all security guards have access to sensitive information in the occurrence book and names of victims are written in full. Which makes it very easy to identify whom the information is referring to.”

It was also revealed in the interviews that the PSU building has cameras but the registry does not have cameras. Participant SEN21 alluded that,

“There are no cameras to monitor access and guard against theft or malicious acts in the registry. This makes records prone to theft and also the unit will not be able to trace who accessed the registry since there are no access cards nor cameras in place.”

Respondents also expressed concern about the master keys which are given to Private Security Staff. Participant UB28 explained that,

“...it is not safe for the master keys of the University of Botswana to be given to private security staff because they can make duplicates of the master keys and have access to the UB offices including those with records files and other buildings like students halls of residence. For example, at Block 247, the library services, Faculty of Business etc., offices are unlocked and opened at night when the office occupants are not around and the office occupants' belongings stolen. This also happens at the students' halls of residences at night when students are sleeping and their belongings taken away...”

As per the researcher's observation, it was noticed that indeed the RMU has burglar bars on the windows which restrict physical access from the outside (see Figure 4.4). It was observed that the windows on the building are very low which could encourage file theft. The

researcher also observed that the burglar bars are installed on all the windows but they are not on the doors.



Figure 4-4: Registry windows with burglar bars.

Source: Field data (2018)

The researcher further observed that the Protection Services Unit has cylinder fire extinguishers. There are no water sprinklers on the ceiling to extinguish the fire in case there is an out-of-control fire. It was also noticed that the ceiling was damaged in one of the corners (see Figure 4.5); there is an opening which could lead to file theft or officers hiding case files in the ceiling.



Figure 4-5: Ceiling opening in the Registry.
Source: Field data (2018)

During observation, it was also noted that the registry door uses a manual key as revealed by the study participants that there are no access cards (see Figure 4.6).



Figure 4-6: Registry door lock.
Source: Field data (2018)

In summary, the findings in the above section revealed that UB-PSU does not have a documented retention and disposal schedule. The registry does not have a disaster management plan and there is no records management policy. It was also noted the unit has weak access control measures to records. This implies that the records are at risk of theft and destruction without proper guidance.

4.4.4 Challenges

The third objective sought to identify the challenges faced with current records management system at the UB-PSU. The purpose of this objective was to identify areas that need attention to enable effective management of records throughout their life cycle. The following are challenges articulated by the participants:

a. Lack of Records Management Unit (RMU)

Interview data revealed that one of the challenges faced by the UB-PSU is the lack of a proper records management unit. Twenty participants concurred to this challenge. Participant INT22 explained that,

“...the UB Protection Service does not have a [Records Management Unit]. What is available is a small room which is used as a registry. The registry is not effective as most of the record files are kept in the manager, assistant managers and supervisors’ offices. The files are kept on file trays on top of their office desks, drawers and cabinets...”

Participant INT23 also added that,

“One of the challenges the UB-PSU faces is that there is lack of a proper [records management unit] with qualified records management staff. A proper records management unit would increase security of records as it would have file cabinets that are locked. But here it is different, files are just put on open shelves making them susceptible to theft.”

Participant UB2 further noted that,

“UB protection services offices are too small in size to register cases, in the presence of other staff. Hence there is a need to have a proper [records management unit] so that the investigation unit can have their own separate office were they register statements

without disturbances from other officers who will be working on the case files in the registry.”

b. Lack of Professionalism

Study participants revealed that there is lack of professionalism in the UB-PSU due to staff members that are not trained and there are high incidences of unprofessional conduct especially in the private security guards.

Untrained Staff

Lack of training in records management practices seems to be a recurring concern at the UB-PSU. Participant UB11 expounded that,

“The current records management team rely on in-house training facilitated by the manager and assistant managers, who also depend on the skills they acquired from the Botswana Police Service, the Botswana Defense Force and the Botswana Prisons Services, where they worked before joining the UB Protection Services. The facilitators are also not professionals in records management...”

Participant INT24 also said that,

“Other security guards are not very good in recording data. They all need training in data capturing.”

Participant INT24 further noted that,

“Since all protection services staff deal with records right from record creation up to record disposal stage, we need training in records management, either in a workshop form, guest lectures or formal training, so that we know how to create, handle, keep and destroy records in a professional manner...”

Participant INT23 requested that,

“Though I deal with capturing incidences every day, I have never been trained on data capturing or data handling. I think this should be the starting point. All security guards should be trained properly on how to handle data and ensure that what is recorded is of high quality and truly represents the case on the ground”

Unprofessional Conduct

Respondents were concerned with unprofessionalism within the protection services including the private security staff. They talked about cases which are not fairly treated and favoritism practiced within the department.

Participant SEN16 noted that,

“The investigation section of the UB protection services is too weak. They are not confident enough to carry out investigations of high ranking UB staff e.g. Professors and senior staff. This makes work difficult because work is not done efficiently and not all information is recorded therefore leaving gaps in records.”

Participant UB14 concurred that,

“UB Protection Services staff do not treat cases fairly. They are scared to face the Professors, Doctors (PhD) and some high ranking staff. Mainly because of either favoritism, fear to lose ones job, bribery or lack of confidence. Their cases are usually dismissed and closed by high ranking officers in the protection services, even though the cases needed to be pursued further. This makes it difficult for the junior staff to do their work diligently...”

Participant UB12 further gave a scenario, explaining that,

“...the private security staff do not register all of the cases they come across. If one of their staff commits a crime and the UB protection services staff are not anywhere near to see, the private security would only report the case to their supervisors and try to resolve the matter by themselves, without reporting it to the UB-PSU for record keeping. This makes it difficult for the protection services to know the crime that is taking place on campus...”

The main challenges identified by the respondents were; lack of a records management unit, untrained staff to manage records and unprofessional conduct in officers when dispatching their duties.

4.5 Summary

The chapter discussed the 4 themes raised by respondents from the 4 categories of participants. The results of the analyzed data revealed that the majority users of the University of Botswana protection services were the UB community who had to benefit from all services provided by the protection services staff. The results revealed that records management practice at the University of Botswana Protection Services does not meet the International Standard in Records Management (ISO 15489) to a large extent. The unprofessional records management practice slows down the way criminal cases are handled at the UB protection service, the Botswana Police Service and the Court of Laws and hence delays justice.

Chapter 5

DISCUSSION OF FINDINGS

5.1 Introduction

The aim of the study was to assess the records management practices at the University of Botswana Protection Services Unit (UB-PSU). To achieve this aim, data was collected through observation and in-depth interviews with the University of Botswana protection services staff (including private security companies). As a result, this chapter presents an interpretation and discussion of the study findings presented in chapter 4 and a synthesis of related literature. The discussion is centered on the following research questions;

- ✓ What procedures are followed in managing the creation and use of records at the UB-PSU?
- ✓ What procedures are followed in managing record retention and disposal at the UB-PSU?
- ✓ What challenges does the UB-PSU face with the current records management practice?
- ✓ What possible strategies can be adopted to address the current records management challenges at the UB-PSU?

5.2 Discussions of the findings

The discussion of findings is presented according to the study research questions. Then the themes discovered in chapter four, will be presented under each relevant research question.

5.2.1 Procedures Followed in Managing the Creation and Use of Records at the UB-PSU

The study findings obtained through interviews and observation, revealed that the UB-PSU uses a paper based records management system. The security services depend on the skills and knowledge of all security staff to capture information from the university staff and students. This implies that both private security officers and UB security employees are responsible for the creation and capturing of records in the Protection Services Unit. It was also evident from the findings that the registry's staff (investigations office) are the same officers who go to the crime scene for investigation. So they are involved in the whole records life cycle i.e. from capturing,

use, storage and destruction. The findings also revealed that capturing of records is mainly done by security guards who are stationed in various sites in the University of Botswana. The captured records are monitored and maintained by the site supervisors to ensure that appropriate action has been taken. Based on the research findings, the researcher diagrammatically represented the process of creating and capturing records at the UB-PSU as shown in Figure 5.1.

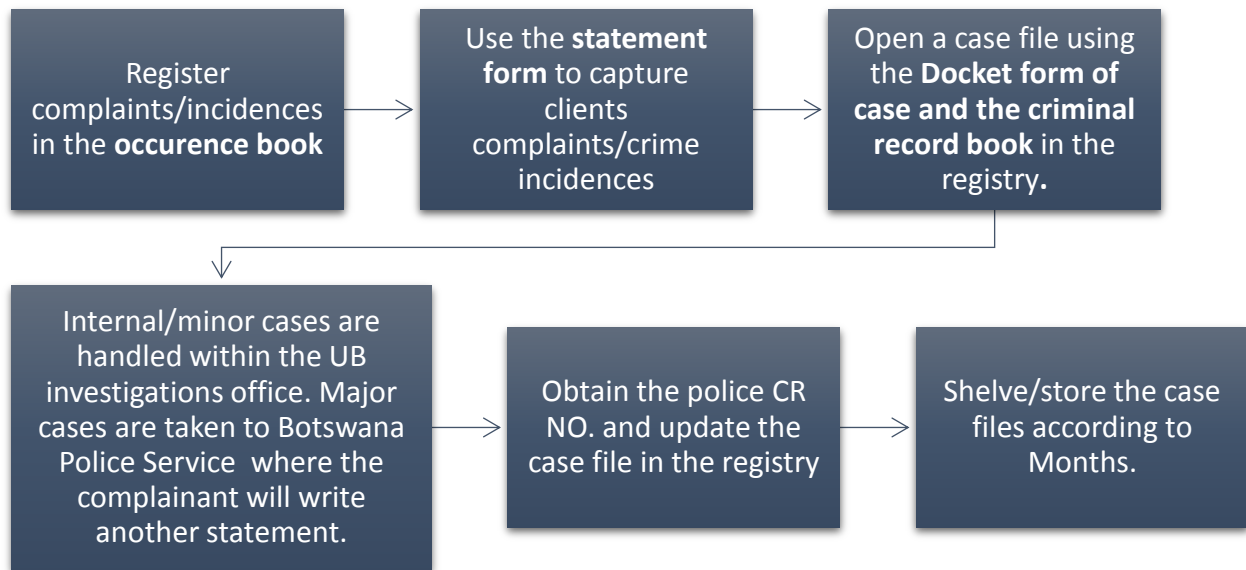


Figure 5-1: The process of creating and capturing records at the UB-PSU.

Source: Researcher’s synthesis based on field data (2018).

As shown in Figure 5.1, it is evident that the UB-PSU uses four main tools to capture records. These are; occurrence book, criminal record book, Statement form, and Docket form of case/file. The findings revealed that security staffs in various work stations records crime or various incidences in the occurrence book. Thereafter, they will take clients to the Protection Services reception (general office), where they will assist them in opening a case using the statement form. The statement will then be given to the investigation officers who are responsible for manning the registry. The investigations officers will then register the case in the criminal book and open a file by filling the docket form of case. Other cases are passed to relevant departments such as the traffic department if the case relates to car parking incidences. Major crime cases are then transferred to the Botswana Police Services for further investigation. Meanwhile, the

investigation office will file their original case statement in the registry for future reference. Study findings further revealed that the UB-PSU does not have any documented classification scheme that guides on how to name files and reference them, rather the files used in the investigations office are titled “docket form of case” and numbers formulated using the frequency of the incidence and the month are used as unique identifiers for each case.

The findings also revealed that the various data capturing tools used by the UB-PSU, have various metadata elements which assist officers in capturing the right details for each crime or incidents occurring in the university. Examples of such metadata include; UB CR NO., date and time reported, OB NO., age, sex, telephone/cell number, residence block No., nationality, ID NO., occupation, headman, court and date of trial, ward, home address, natural description of offence, full particulars of the complaint, full particulars of the accused, investigating officers (a) UB (b) CPS, police CR NO., properties involved, and results of trial. Based on the evidence provided in Chapter 4 (Figure 4-2, Table 4.2), Appendix 10 and Appendix 11, it is clear that the UB-PSU has made efforts to comply with records management procedures by providing the necessary tools with adequate metadata elements for capturing case information. These imply that adequate resources have been acquired to ensure proper creation and capturing of security records in UB.

The above findings are supported by Dikopoulou and Mihiotis (2012) who argue that organizations should establish and promote records management practices that facilitate the creation and management of authentic, reliable, complete and useable records capable to support business functions as long as required. Based on the comprehensive tools and metadata scheme employed by the UB-PSU one may conclude that indeed the records management practices meet the ISO standard on characteristics of a good record management system. According to the State Records of South Australia (2018) metadata is one of the crucial tools in capturing and controlling official records. This means UB-PSU is in a good state to search and retrieve specific individual records or groups of records in their custody.

5.2.2 Procedures Followed in Managing Record Retention and Disposal at the UB-PSU

The main purpose of Objective 2 was to establish the procedure followed in managing the record retention and disposal at the UB Protection Service Unit. According to participants UB10 and

UB12 records are kept for at least 5 years before they are destroyed. Depending on their business value, some are kept even longer than 5 years. The study findings show that, the closed files are kept in the registry for 3 years then the protection services manager decides on the files which need to be disposed. The respondents mentioned that such files are taken to the store room which is located at the UB maintenance for a minimum of 2 years. Still the protection manager decides on the period the record files should be kept in the store room before being disposed. The files are disposed by incineration. The research findings show that the UB-PSU does not have a documented records retention and disposal schedule. This was evidenced by study participants who indicated that they were not aware of the availability of a retention and disposal schedule while others did not know what it is. According to Charles Darwin University (2017), records cannot be destroyed or deleted (disposed of) if:

- They have not been identified in a records disposal schedule
- The minimum retention period has not been met
- There is a legal case which may require the university records to be retained.

As articulated by Charles Darwin University (2017), the procedures to be followed in managing the retention and disposal of records are guided by the retention and disposal schedule. This shows that there is need for the UB-PSU to develop a retention and disposal schedule that will guide the retention and destruction of security records. The findings of this study concur with the findings from a study conducted by Phiri (2016) in South Africa and Malawi Universities. Phiri (2016) revealed that universities in South Africa used university-wide retention and disposition schedules to dispose of their records and documents. This may imply that these universities did not have a retention and disposal schedule that is specific to the management of security records in the university just like the case in the University of Botswana.

On the other hand, Malawi universities did not have retention and disposition schedules. This was mainly attributed to the fact that, universities in Malawi did not have records management policies to guide them on the disposition of records (Phiri, 2016). At a national level, it is disheartening to note that the majority of government registries in Tanzania lacked records retention schedules and systematic disposal of records resulting in heavy congestion of records and poor retrieval of information (Ndenje-Sichalwe, 2010). It is therefore, worth noting that *“organizations cannot retain files, irrespective of their format (paper or digital), indefinitely.*

The reason for this is the cost of storage and maintenance as well as slower and difficult access because of the high volumes” (Kalusopa & Ngulube, 2012, p.7). This clearly means that, without the retention and disposal schedule the UB-PSU is bound to lose important records, destroy records in an unlawful manner and incur unnecessary costs. Phiri (2016), concurs that universities which lack records retention and disposition schedules are at a high risk of destroying their records and documents haphazardly. This could result in losing their vital records and documents which would subsequently expose them to both legal and other business costs.

5.2.3 Challenges Faced by the UB-PSU with the Current Records Management Practices

According to the research findings, there were five major challenges identified by the participants. These are; lack of disaster preparedness measures, lack of a records management policy, lack of access control, lack of a records management unit and lack of Professionalism.

a. Lack of disaster preparedness measures

Most of the participants expressed concern that the UB Protection Services Unit does not have a backup plan for their records, which is not desirable for the department. The findings revealed that the security services records are stored in paper formats and there is no backup. Each case record is stored in a single storage area, there are no duplicates of the same record off-site apart from cases which were transferred to the Botswana Police Service. Moreover, the researcher observed that there were no water sprinklers on the ceiling to extinguish the fire in case there is an out-of-control fire. It was also noticed that the ceiling was damaged in one of the corners, there is an opening which could lead to file theft or officers hiding case files in the ceiling. This opening in the ceiling also makes records susceptible to damage by rats as files are stored on the top shelves near the ceiling. Some of these issues could have been avoided or easily resolved if there was a guideline on disaster preparedness and disaster management. Unfortunately, the UB-PSU does not have a disaster management/preparedness plan in place. These findings imply that if a disaster strikes, the UB-PSU stand a risk of losing their records. However, the researcher also observed that the protection services unit has cylinder fire extinguishers and smoke detectors.

Due to scarcity of studies in the area of records management in the university protection/security services, most empirical studies outlined the preparedness measures in different university areas such as the library and administrative unit. In contrast with the findings of this current study,

Nwokedi, Panle and Samuel (2017) in their study of disaster preparedness and management at University of Jos library, revealed that majority of the respondents were very aware of the fire-safety rules and safety measures in the Library. Furthermore, the library had a disaster management plan and fire-fighting equipment in place. On the other hand, studies conducted in Zimbabwe revealed that the institutions had no disaster management plan in place (Bigirimana, Jagero, & Chizema, 2015; Chaterera, 2013).

Ndenje-Sichalwe (2010) also revealed that, disaster preparedness and security control for records and archives did not form a significant part of the records management activities in the government ministries of Tanzania. Ayoun, Boatbil and Baada (2015) further revealed that there was absence of security policies and disaster plans in polytechnic libraries. Furthermore, the libraries were found to be not prepared with respect to disasters. The authors therefore, recommended that libraries should develop policies for disaster management, organise training programs for staff in order to increase their awareness about disasters and be involved in cooperative networks. Literature also reveals that, one of the ways to mitigate disaster is by implementing incident management systems (IMS). Perry (2003, p.405) explains that, “the IMS is a tool for marshalling pre-identified and pre-assembled resources to respond to an emergency or disaster. IMS is particularly useful when personnel and resources from many agencies and jurisdictions are required to manage large incidents successfully.” These show how important a disaster management plan is and UB-PSU is not an exception to these recommendations.

b. Lack of a records management policy

When probed to comment about the records management policy in the protection unit, some participants said they do not know whether the records management policy exists, while twenty-one participants were confident that there is no records management policy in the unit. Participants further lamented that there is lack of training in records management. This means that the protection services staff rely on the skills they acquired before joining the UB Protection Services. This has resulted in officers creating and capturing records which are incomplete. Kalusopa and Ngulube (2012) avers that to foster effective records management practices in any organization, there is need to have a comprehensive regulatory framework. This may include statutes, mandatory standard practices, codes of best practice, policies and codes of conduct and ethics. The authors’ advance that record management best practice means that organizations

should provide adequate evidence of their compliance with the regulatory environment in the record of their activities. Similar to findings at UB-PSU, several studies have also revealed that various organizations operate without a records management policy (Ndenje-Sichalwe, 2010; Otu, Bempah, & Amoako-Ohene, 2014; Phiri, 2016). A study conducted in South Africa, revealed that some criminal cases were withdrawn due to missing dockets or cases not properly registered. In some instances, records were reconstructed, resulting in the travesty of justice (Ngoepe & Makhubela, 2015). All these are only possible where there is no records management policy which provides guidelines on training and development of records staff, security measures, preservation issues and other records management procedures. Ngoepe and Makhubela (2015) conclude by arguing that if records are not accounted for, lawyers, prosecutors and magistrates could dispute the authenticity of records. As a result, justice for victims would be delayed and ultimately denied while the perpetrators are freed. Thus, UB-PSU is bound to have an ineffective records management program due to lack of a records management policy that guides the recordkeeping activities of the protection services and this will have negative effects on the clients seeking protection and justice from UB security services.

c. Lack of Access Control

The study participants expressed concern about lack of access restriction to record files. Participants noted that numerous security officers (including guards) have access to the office keys as they are kept in their custody. This gives them easy access to the registry and files in the supervisors offices. This can lead to file theft, manipulation, photocopying and destruction of evidence. The researcher observed that there were no lockable file cabinets, instead files are stored on open shelves, thus increasing the chances of access and theft. It was also noticed that the files do not have a file tracking system thus making it difficult to trace the file when stolen, misplaced or being used by an officer. Mingo and Cerrillo-i-Martínez (2018) state that in order to prevent the occurrence of any risk of corruption associated with the management of records, there is need to have strict access measures in place. This will help to avoid missing or disappearance of files, lack of evidence and modification of documents. Thus UB-PSU, need to put more security measures in place in order to protect the integrity and authenticity of security records. As a result, this will lead to transparency and good governance in the provision of protection unit services.

d. Lack of a Records Management Unit

The study findings revealed that the UB-PSU has a registry which is the size of a standard office room. The registry is not furnished to the standard of a records management unit. Thus most participants lamented that the major problem in records management at the University of Botswana Protection Services Unit was lack of a proper Records Management Unit (RMU). The available registry room does not have movable file cabinets which are approved standard for storage of records. The registry also harbours investigation officers who also have their meals on their work stations whilst working on the case files. This increases the chances of food spilling on the files thereby damaging records. Participant UB14 revealed that,

“Investigation officers are the same people who manage the records in the protection services. Their work desks are within the registry and they are bound to eat while working since sometimes it can get too busy for one to eat outside. These habits are not easy to regulate as we do not have clear guidelines on the Dos and Don’ts of managing or handling records in the registry.”

Availability of food in the registry defies the laws of preservation of records. The current registry as observed by the researcher is very small and clients are also assisted in that same registry, this makes files prone to malicious acts by clients. As revealed by Phiri (2016), universities in Malawi, which did not have records management units, faced higher risks for their records than did the universities with records management units in South Africa. Accordingly, UB-PSU need to consider the possibility of building a proper records management unit that will cater for storage of records in a separate area from the staff offices. This will help resolve risks associated with access issues and poor storage of records. Basically lack of knowledge, lack of preservation policy and a records management policy is what is causing all these problems at UB-PSU.

e. Lack of Professionalism

Study findings revealed that there is lack of professionalism in the UB-PSU due to staff who are not trained and there are high incidences of unprofessional conduct especially from the private security guards. Participants noted that there are no professional records managers in the UB-PSU as investigation officers only depend on the training they got on capturing victim’s statements and how to open case files. Respondents were also concerned with unprofessionalism

within the protection services. Participants lamented about numerous cases which are not fairly treated due to favoritism and fear of losing one's job. The study also revealed that, security staff have a tendency of concealing crimes that are committed by one of their own. This makes it difficult to investigate the crime and obtain justice for victims as certain details are not recorded.

In addition, respondents also mentioned the lack of cooperation from the victims which makes it difficult for the protection service staff to open files or create records. This delays the whole process of following up cases. It was noted that lack of cooperation is usually experienced with high ranking staff in the university, thus some security guards or officers end up not recording the required information. As supported by Kalusopa and Ngulube (2012), organizations should have comprehensive programmes to familiarize their staff members with the principal role of records in their organisations and the need to manage them properly. This could be achieved through continuous refresher courses and in house training.

5.2.4 Strategies to Address the Challenges at the UB-PSU

The fourth objective sought to explore possible strategies that can be adopted to address the current records management challenges at the UB-PSU. The following were suggestions recommended for UB-PSU by the study participants:

- ✓ The study participants stated that the Protection Services Unit should have training in records management, either in a workshop setting, formal training or have guest lectures. Participant SEN17 suggested that, *“the training should be conducted by professional records managers since they are available at the Department of Library and Information Studies. Having professional records management staff will ensure that all records are managed properly according to the international standards.”* This suggestion is also supported by Kalusopa and Ngulube (2012) who mention that organisations should employ qualified personnel to run the record and information management functions. They could also network with institutions that deal with records management practices such as the Botswana National Archives and Records Services (BNARS).

- ✓ The participants stated that there is a need for backup of records outside the protection services building so that if disaster strikes and they lose all their records, then they would

have backup copies to rely on and continue with the day to day business activities. There is a story about a US man who had been convicted on a second-degree murder charge, he got a new trial after a computer virus destroyed transcripts of court proceedings (Schneier, 2012). This scenario demonstrates the importance of backing up records as suggested by the study participants.

- ✓ The study respondents expressed a need for UB security management to introduce access cards to UB officers as a strict measure to access the buildings and offices. They mentioned that access cards can also solve a problem where by private security staff go away with the UB master keys when their contracts come to an end.
- ✓ Study participants suggested that the protection services should be guided by the UB records management policy. This will assist the protection services staff to have a better understanding of what records management is all about and how it should be practiced in order to have good quality records which are properly secured. The same suggestions are recommended by Mutero (2014) for the NUST Department of Physical Planning Works and Estates. Mutero, (2014) argues that a records management policy or procedural manual will ensure uniformity in the management of records within the department.
- ✓ The respondents mentioned a need for the UB management to minimize outsourcing private security staff but instead employ more staff to join the UB protection services as the private security staff show unprofessionalism and cannot be trusted.

5.3 Summary

This chapter is about the discussions of the research findings and the recommendations. The research questions were discussed at length and recommendations clearly articulated to help the Protection Services Unit to improve on the records management practice in their department in order to meet the International Standard on Records Management, that is, ISO 15489, and execute their duties effectively depending on reliable and trustworthy records.

Chapter 6

SUMMARY, CONCLUSION AND RECOMMENDATIONS

6.1 Introduction

In order to attempt resolution of the problems cited in chapter one the study used the interpretive research paradigm and also adopted a deductive qualitative approach. Face to face interview and observation techniques were used to gather the data. Convenience sampling was used to collect data from security officers working at the UB-PSU, Sentinel Security Company and Intap Security Services, therefore data was collected from 32 participants as per the data saturation point. This chapter presents the summary and conclusions of the records management practice in the Protection Services Unit (PSU) of the University of Botswana (UB). Recommendations and future research areas are also identified in this chapter.

6.2 Summary of Findings

Having adopted the ISO 15489 standard for records management, this section gives a clear summary of the areas where UB-PSU complied with the standard and where they failed (see Table 6.1).

Table 6-1: *Summary of Findings*

Research Question	Theoretical Framework (Constructs)	Research Findings
What procedures are followed in managing the creation and use of records at the UB Protection service Unit?	Creation, Capturing, Access control, Use and reuse, Reliability Integrity Compliance, Comprehensiveness, Systematic	-Availability of a registry. -Creation capturing of records achieved through the use of: occurrence book, criminal record book, Statement form, and Docket form of case/file. -Comprehensive metadata scheme -Unavailability of a documented classification scheme. -Availability of smoke detectors and fire extinguishers - Records management staff: protection supervisor (head of the records in the registry), assistant supervisor and three UB protection assistants.

		-Weak access control measures.
What procedures are followed in managing record retention and disposal at the UB Protection service Unit?	Retention & Disposition Reliability Integrity Compliance, Systematic	-Lack of a retention and disposal schedule specific to security records.
What challenges are being faced with the way records are currently being managed		<ul style="list-style-type: none"> • Lack of disaster preparedness measures: no disaster management plan in place. • Lack of a records management policy. • Lack of access control: records are facing high security risk. • Lack of a records management unit • Lack of Professionalism: Unprofessional conduct from security officers and lack of trained records managers.
What strategies can be used to address records management challenges in the department		<ul style="list-style-type: none"> ✓ Need for trained records personnel ✓ Need for records management unit ✓ UB management should stop out sourcing security services ✓ Need to back up records ✓ Need to implement electronic access cards instead of manual keys.

Source: Field data (2018)

6.3 Conclusions

Based on the findings of this study, the researcher draws the following conclusions:

Objective 1: As shown in section 6.2 above, the UB-PSU complies with the ISO standard to a certain degree. The Protection Services Unit has done well in providing the necessary resources/tools for capturing data, the metadata scheme is comprehensive enough to capture all the details needed to trace a crime event and there is a small registry to keep case files. But management has failed to implement records management policy and procedures, classification scheme and a records management unit which will ensure efficient and effective records management activities in the Protection Services Unit. The records storage standards are not met as there are no file cabinets and no trained records managers, thus inhibiting proper use,

integrity, reliability, access control and comprehensive management of records as mandated by ISO 15489.

Objective 2: based on the findings of the study, UB-PSU is at risk of losing valuable records due to lack of a retention and disposal schedule. Records are disposed after 5 years at the discretion of the Protection Services Manager. This defies the provisions of the ISO records management standard. Without the retention and disposition schedule there would be no compliance with regulatory frameworks for destroying certain records and there would be no systematic destruction of records. In addition, in the absence of a retention and disposal schedule it will be very difficult to ascertain the integrity and reliability of available records as there is no evidence to prove that the right records were destroyed and no legally binding records were destroyed to hide evidence.

Objective 3: The challenges as shown in Section 6.2 above certainly inhibit the effectiveness of recordkeeping practices at the UB-PSU. As a result, UB-PSU is not able to meet the standards set by ISO due to these numerous challenges. Lack of a records management policy, lack of professionalism and lack of a records management unit inhibit the reliability and integrity of records; systematic creation and capture of information, comprehensive implementation of access control measures and compliance to regulatory laws. Thus UB-PSU needs to consider dealing with these challenges in order to improve the records management status in the protection services.

Objective 4: UB-PSU should consider adopting the strategies suggested by the participants as they will help the unit to comply with ISO 15489. In addition, there is need for UB-PSU to adopt the Botswana National Archives Act to guide their records management practices.

6.4 Summary Implications of the Study

The implications of this study are summarized as follows:

Implication to Research and Theory

This study adopted the ISO 15489 standard to assess the records management procedures at UB-PSU. Thus, contributing to the various studies that have been conducted on security records but did not actually measure the recordkeeping practices according to the international records

management standards. Furthermore, this study has proved that indeed it is essential to assess the records management practices in conjunction with the ISO systems characters (Reliability, Integrity, Compliance, and Systematic). This allows researchers and managers to use a comprehensive assessment framework to investigate if the records management procedures and practices are comprehensive, produce reliable and quality records/information, and conducted in a systematic manner as required by international records management standards. Should researchers fail to benchmark records management practices against international standards, organizations are likely going to continue failing to comply and therefore putting records at risk. As a result, there would be loss of accountability, transparency and lack of evidence for business transactions.

Implication to Practice and Policy

Based on the findings of this study, it is evident that security records at UB-PSU are well managed to a certain extent. However, there is risk to loss of records due to improper storage and poor access controls. Thus, the investigations personnel should be accountable should there be any loss of records. Should the UB-PSU fail to implement the necessary records management tools such as the records management policy, classification scheme and trained records management personnel, security unit is likely going to face challenges in terms of unauthorized access and loss of records. Quality and timely decision making will also be hindered if records are missing or not well kept as according to professional standards.

6.5 Contribution to Knowledge

A gap in literature was identified as there is little research done in the management of records in law enforcement agencies especially in developing countries, thus there is need to implement a comprehensive framework for managing records. Figure 6.1 depicts that an effective records management program should have legislative and regulatory frameworks as its foundation. Whatever actions that are taken in the records management unit should comply with the relevant regulatory frameworks stated in the records management policy. Examples of legislative frameworks that affect records management may include: Data Protection Act, National

Archives Act, Criminal Procedure Act, Freedom of Information Act, records management policy and procedures, preservation policy and many more.

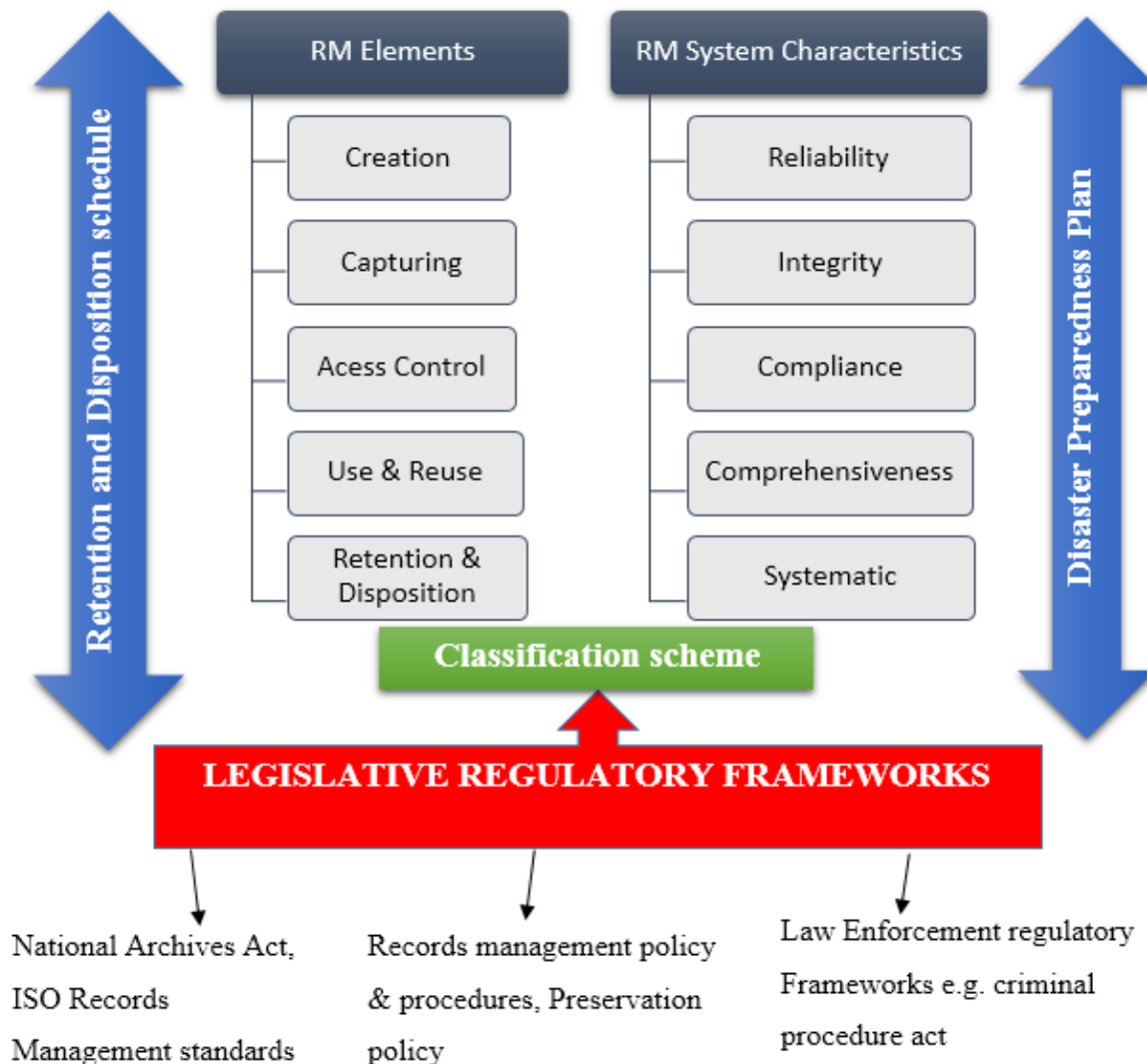


Figure 6-1: Proposed framework for effective records management in law enforcement agencies. **Source:** Researcher’s synthesis based on Field data (2018)

The records management elements outlined by ISO 15489 cannot be carried out without any reference. These elements and the systems characteristics can only be achieved if managed in parallel with the disaster management plan and the retention and disposal schedule. At every stage of records life cycle, records managers need to ensure that they cross check with the disaster management plan to ensure that records are secured and preserved for future use. There is also need to go through the appraisal process in order to determine records which are due for

destruction and those that need to be transferred to an offsite area. By implementing the retention and disposal schedule the unit will be able to achieve a certain degree of records integrity, reliability and compliance as records are disposed and retained based on the regulatory laws. In addition, the records management activities such as creation and capturing of records should be guided by a records management classification which ensures that files are named and numbered appropriately. This will enhance access and speed up the retrieval process of case files. The classification system also ensures that there is a systematic and consistent way of referencing correspondences or naming files.

6.6 Recommendations

Based on the findings of this study, the researcher recommends the following:

Long term

These are suggestions that may take longer to implement but they are key to the success of the records management program. They involve several processes before they can be fully implemented.

- ***Building of Proper Records Management Unit***

The Protection Services Unit should consider redesigning the registry room so that it can meet the standards of a proper records management unit. This would help the UB-PSU to prevent files theft and preserve files. For example, the records management unit should have, windows on high level, there should be no cracks on the walls and openings on the ceiling, and lighting should also be very good and not directly on the record files in order to protect the ink used in records as a way of record preservation. Burglar bars should be available in all the windows and doors and access cards should be provided only to those who have access to the RMU. Smoke detectors and water sprinklers should be installed on the ceiling; fire extinguishers should also be available in the RMU or the current Registry as well as cameras.

- ***Implementation of Records Management Policy, Preservation Policy, Disaster Management Plan and Classification Scheme***

The University of Botswana should develop policies and procedures to guide the UB-PSU staff on how to protect and take care of their records, how to use and how to preserve them for future

use. The protection services manager should also ensure that a preservation policy, disaster management plan and a classification scheme are implemented so as to guide the activities of the records management unit.

- ***Implementation of Retention and Disposal Schedule***

UB-PSU needs to implement a retention and disposal schedule which is specific to management of security records. This will also require training of all security officers responsible for records management so that they may be aware of the types of records that need to be kept and protected for longer period and the ones that need to be destroyed. Training may also include appraisal skills so that officers gain knowledge of how to select records which are due for destruction. By so doing, UB-PSU will reduce costs of storing unusable records, create more space for storing records and protect records of high value.

- ***Implementation of an electronic records management system***

The Protection Services Unit should implement an electronic records management system which will ensure effective records management. Implementing such a system will ensure compliance with international standards and regulatory frameworks.

Short term

These are suggestions that are easy to implement, more so that they have a shorter turn-around time.

- ***Professional Records Manager***

The UB-PSU should have a qualified Professional Records Manager who understands what records management is all about. The Records Manager should make sure that all records are kept in the RMU and not in the offices as it is the case currently. The Manager is the one who should give permission for the record files to be taken out of the RMU and when files should be returned to the RMU.

- ***Access Control***

The researcher recommends that the UB-PSU should have devices for access cards and be provided only to those who have access to the RMU that is, the Records Manager and his

assistants. Protection services staff who need the files should request them through the proper channels and return the files back to the RMU within the stipulated time frame, the extension for using record files should be requested if there is a need to do so.

- ***Training***

The UB-PSU should consider training its staff on records management since their work involves records all the time, from record creation to record disposal. Training can be done in the form of workshops for UB-PSU and police services records managers and the training can be conducted by academic records professionals. In house trainings can be organized with personnel from the Botswana National Archives and Services and the Department of Library and Information Studies (DLIS). Training of all security guards and other officers involved in creation and capturing of records will ensure that complete and reliable records are captured.

6.7 Further Research

Future research areas are suggested as follows:

- This current study only used interviews and observation to collect data, hence the methodology could have limited the research findings. Therefore, it is suggested that another study should adopt a pragmatist paradigm and employ the mixed methods approach to comprehensively assess the status of records management in the UB protection service. The use of questionnaires where participants are free to state their answers without the researcher's influence may give another perspective to the research findings.
- Further research need to be conducted in private universities or colleges in Botswana so as to assess how the campus security services manages records. This will contribute to the body of knowledge by giving an overview of the status of security records in law enforcement agencies in Botswana.

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APPENDICES

Appendix 1: Interview guide for the University of Botswana Protection Services Manager.

I am a Master in Archives and Records Management (MARM) student from the Department of Library and Information Studies, Faculty of Humanities at the University of Botswana. I am conducting a research project titled “**Contribution of Records Management to the Discharge of Security and Protection Services at the University of Botswana**”.The study is in partial fulfilment of the Master in Archives and Records Management. The aim of the proposed study is to assess records management practice in the Protection Service Unit of the University of Botswana through observation and interviewing subjects, with a view to offer possible solution that will enable the unit to effectively discharge protection services on campus. Confidentiality is guaranteed.

1. What is your designation at work?
2. For how long have you been in this position?
3. Does the University of Botswana have an approved policy in Records Management to guide the Protection Services in managing their records?
4. If there is nothing what does the Protection Services use as a guide in managing the records?
5. Does the Protection Services Unit have a designated building/room (RMU) for housing Records?
6. Who manages/takes care of the records in the Protection Services?
7. How is access to records managed?
8. Is the person taking care of the records qualified or a professional in Records Management?
9. What procedures are followed in managing the creation and use of records at the UB Protection service Unit?
10. What procedures are followed in managing record retention and disposal at the UB Protection service Unit?
11. What challenges does UB Protection Service Unit face with current records management practice?
12. What do you think the Protection Services should do to improve on their Records Management?

Thank you.

Appendix 2: Interview guide for the University of Botswana Protection Services Supervisors, Assistant Supervisors and Private Security Supervisors.

I am a Master in Archives and Records Management (MARM) student from the Department of Library and Information Studies, Faculty of Humanities at the University of Botswana. I am conducting a research project titled **“Contribution of Records Management to the Discharge of Security and Protection Services at the University of Botswana”**. The study is in partial fulfilment of the Master in Archives and Records Management. The aim of the proposed study is to assess records management practice in the Protection Service Unit of the University of Botswana through observation and interviewing subjects with a view to offer possible solution that will enable the unit to effectively discharge protection services on campus. Confidentiality is guaranteed.

1. What is your designation at work?
2. For how long have you been in this position?
3. Does the Protection Services Unit have a designated building/room (RMU) for housing Records?
4. Who manages/takes care of the records in the Protection Services?
5. How is access to records managed?
6. Is the person taking care of the records qualified or a professional in Records Management?
7. What procedures are followed in managing the creation and use of records at the UB Protection service Unit?
8. What procedures are followed in managing record retention and disposal at the UB Protection service Unit?
9. What challenges does UB Protection Service Unit face with current records management practice?

Thank you.

Appendix 3: Interview guide for the University of Botswana Protection Services Assistants and Private Security Guards.

I am a Master in Archives and Records Management (MARM) student from the Department of Library and Information Studies, Faculty of Humanities at the University of Botswana. I am conducting a research project titled “**Contribution of Records Management to the Discharge of Security and Protection Services at the University of Botswana**”. The study is in partial fulfilment of the Master in Archives and Records Management. The aim of the proposed study is to assess records management practice in the Protection Service Unit of the University of Botswana through observation and interviewing subjects with a view to offer possible solution that will enable the unit to effectively discharge protection services on campus. Confidentiality is guaranteed.

1. What is your designation at work?
2. For how long have you been in this position?
3. Does the Protection Services Unit have a designated building/room (RMU) for housing Records?
4. Who manages/takes care of the records in the Protection Services?
5. What procedures are followed in managing the creation and use of records at the UB Protection service Unit?
6. What procedures are followed in managing the record retention and disposal at the UB Protection service Unit?
7. What challenges does UB Protection Service Unit face with current records management practice?
8. What do you think the UB Protection Service should do to improve on the Records Management?

Thank you.

Appendix 4: Observation Guide Checklist

Proposed observation guide checklist (Irvall and Nielsen, 2005).

The University of Botswana Protection Services Unit will be assessed on whether:

- | | | |
|---|-----|-----|
| 1. There is a designated building/room for RMU. | Yes | No. |
| 2. There are fire extinguishers in the Protection Service Unit. | Yes | No |
| 3. There are water sprinklers in the Protection Service Unit. | Yes | No |
| 4. Windows on the building are high. | Yes | No |
| 5. There are burglar bars on windows and doors. | Yes | No |
| 6. There is an automated security alarm system in the RMU. | Yes | No |
| 7. Access to records is restricted. | Yes | No |
| 8. There is a file tracking system that monitors the movement of records in and out of the RMU. | Yes | No |
| 9. There is a records backup system | | |
| 10. There are lockable file cabinets for proper storage of record files | Yes | No |
| 11. There are shelves for proper storage of records. | Yes | No |
| 12. There is a records Manager. | Yes | No |
| 13. There are ownership indicators like ownership stamps | Yes | No |
| 14. The RMU is clean | Yes | No |

Appendix 5: Informed Consent Form

ORD No.

IRB/



INFORMED CONSENT FORM

Project Title: “**Contribution of Records Management to the Discharge of Security and Protection Services at the University of Botswana**”.

Principal Investigator: [Charlotte Motau](#)

Phone number(s): [3555571 / 71575366](#)

What you should know about this research study:

- We give you this informed consent document so that you may read about the purpose, risks, and benefits of this research study.
- You have the right to refuse to take part, or agree to take part now and change your mind later.
- Please review this consent form carefully. Ask any questions before you make a decision.
- Your participation is voluntary.

PURPOSE

You are being asked to participate in a research study of the assessment of records management practices in the Protection Services at the University of Botswana”.

The purpose of the study is to contribute to the improvements of the services provided by the Protection Services. You were selected as a possible participant in this study because you are one of the University of Botswana Protection Service/ University of Botswana Protection Service provider. Before you sign this form, please ask any questions on any aspect of this study that is unclear to you. You may take as much time as necessary to think it over.

PROCEDURES AND DURATION

If you decide to participate, you will be invited to take part in the interview that assesses records management practices in the Protection Services at the University of Botswana.

RISKS AND DISCOMFORTS

There are no risks and discomforts that can affect you in taking part in the research project.

BENEFITS AND/OR COMPENSATION

Though no benefits will be offered through this study, you will be paid a token payment in appreciation of your time and effort involved in the tasks you will perform.

CONFIDENTIALITY

The data from this investigation will be confidential. None of these will be used for commercial use.

VOLUNTARY PARTICIPATION

Participation in this study is voluntary. If you decide not to participate in this study, your decision will not affect your future relations with the University of Botswana, its personnel, and associated institutions. If you decide to participate, you are free to withdraw your consent and to discontinue participation at any time without penalty. Any refusal to observe and meet appointments agreed upon with the central investigator will be considered as implicit withdrawal and therefore will terminate the subject's participation in the investigation without his/her prior request. In this event the subject will be paid what is owed to him/her or forfeit a proportionate amount of relative payment mentioned earlier in this document. In the event of incapacity to fulfill the duties agreed upon the subject's participation to this investigation will be terminate without his/her consent and no compensation will be offered under these circumstances.

AUTHORIZATION

You are making a decision whether or not to participate in this study. Your signature indicates that you have read and understood the information provided above, have had all your questions answered, and have decided to participate.

Name of Research Participant (please print)

Date

Signature of Staff Obtaining Consent

Signature of Witness

(Optional)

YOU WILL BE GIVEN A COPY OF THIS CONSENT FORM TO KEEP.

If you have any questions concerning this study or consent form beyond those answered by the investigator, including questions about the research, your rights as a research participant; or if you feel that you have been treated unfairly and would like to talk to someone other than a member of the research team, please feel free to contact the Office of Research and Development, University of Botswana, Phone: Ms Dimpho Njadingwe on 355-2900, E-mail: research@mopipi.ub.bw, Telefax: [0267] 395-7573.

Appendix 6: Research Permit



Office of the Deputy Vice Chancellor (Academic Affairs)

Office of Research and Development

Corner of Notwane and Mobuto Road, Gaborone, Botswana
Pvt Bag 00708, Gaborone, Botswana
Tel: [267] 355 2900
Fax: [267] 395 7573
E-mail: research@mopipi.ub.bw

Ref: UBR/RES/IRB/SOC/GRAD/118

17th April 2018

University of Botswana
P/Bag 0022
Gaborone, Botswana

RE: PERMISSION TO CONDUCT RESEARCH

Project Title: "An Assessment of Records Management Practices in Protection Services at the University of Botswana".

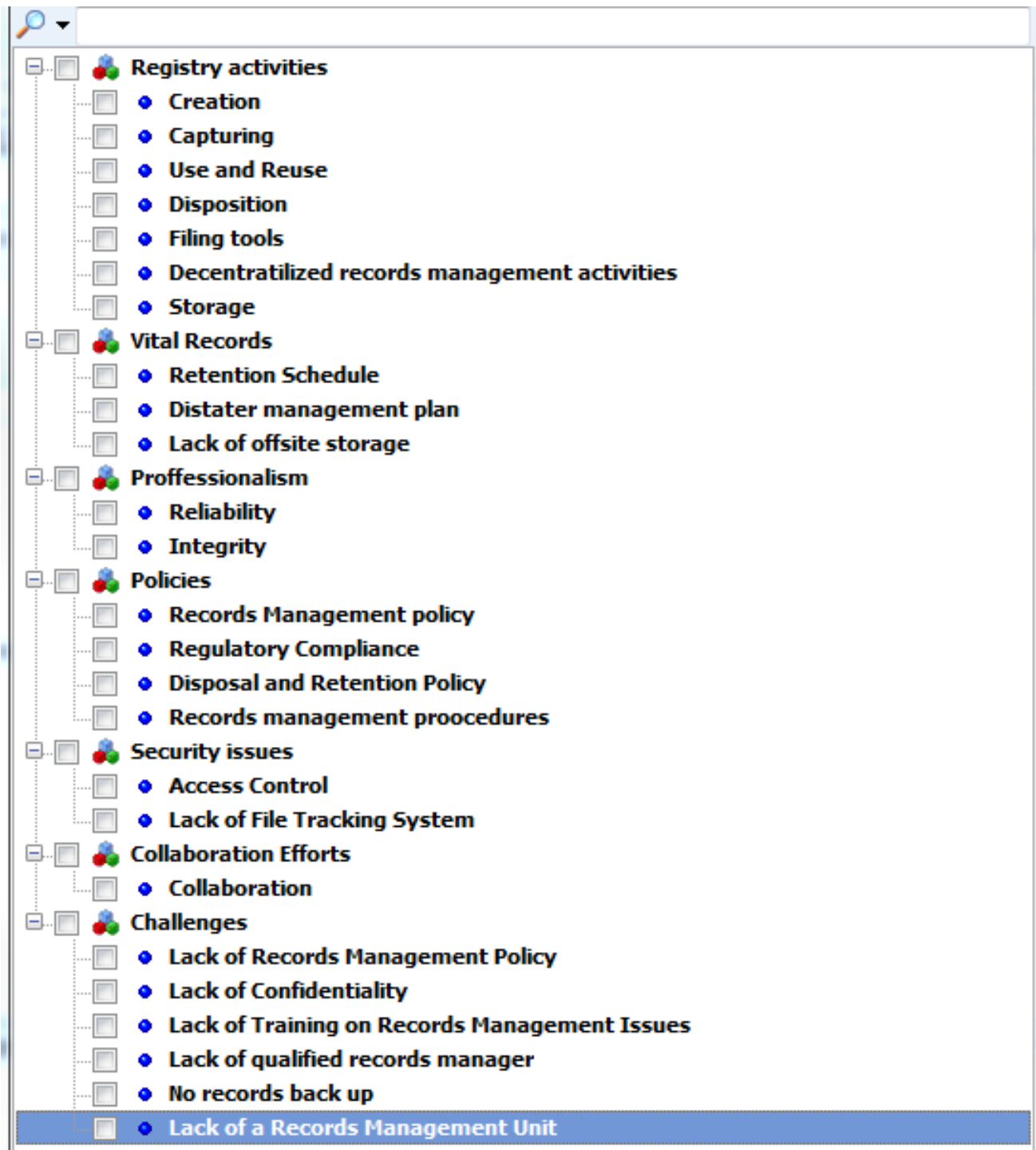
Researcher(s): Ms Charlotte Motau (9800304)

Since it is a requirement that everyone undertaking research in Botswana should obtain a Research Permit from the relevant arm of Government. The Office of Research and Development at the University of Botswana has been tasked with the responsibility of overseeing research at UB including facilitating the issuance of Research permits for all UB Researchers inclusive of students and staff.

I am glad to advise that approval has been granted for the above study to be conducted at the University of Botswana. Since the study is to be conducted within the confines of UB, the study has accordingly been exempted from Government Research Permit requirements. In reaching the above decisions, it was noted that the above study involves minimal risk. Before proceeding with the study, the researcher is required to ensure the following:

- **The study will only be conducted within the confines of UB following the approved proposal version.**
- **No investigations will be conducted outside UB as part of the study before permission is sought from UB authorities as necessary.**
- **APPROVAL DATE** : 17th April 2018
- **EXPIRATION DATE** : 16th April 2019
After this date, this project may only continue upon renewal. For purposes of renewal, a progress report should be submitted to ORD one month before the expiration date.
- **MODIFICATIONS:** Prior approval is required before implementing any significant changes to the protocol.
- **TERMINATION OF STUDY:** On termination of this study, a report has to be submitted to ORD.

Appendix 7: Thematic Grouping in QDA Miner Lite Software



Appendix 8: Table for Determining Sample Size from a Given Population

<i>N</i>	<i>S</i>	<i>N</i>	<i>S</i>	<i>N</i>	<i>S</i>
10	10	220	140	1200	291
15	14	230	144	1300	297
20	19	240	148	1400	302
25	24	250	152	1500	306
30	28	260	155	1600	310
35	32	270	159	1700	313
40	36	280	162	1800	317
45	40	290	165	1900	320
50	44	300	169	2000	322
55	48	320	175	2200	327
60	52	340	181	2400	331
65	56	360	186	2600	335
70	59	380	191	2800	338
75	63	400	196	3000	341
80	66	420	201	3500	346
85	70	440	205	4000	351
90	73	460	210	4500	354
95	76	480	214	5000	357
100	80	500	217	6000	361
110	86	550	226	7000	364
120	92	600	234	8000	367
130	97	650	242	9000	368
140	103	700	248	10000	370
150	108	750	254	15000	375
160	113	800	260	20000	377
170	118	850	265	30000	379
180	123	900	269	40000	380
190	127	950	274	50000	381
200	132	1000	278	75000	382
210	136	1100	285	100000	384

Note.—*N* is population size.
S is sample size.

Source: Krejcie & Morgan (1970)

Appendix 9: Coding Frequency

Code	Count	% Codes	Cases	% Cases
Capturing	26	8.00%	18	56.30%
Creation	14	4.30%	13	40.60%
Decentralized records management activities	8	2.50%	7	21.90%
Disposition	4	1.20%	3	9.40%
Filing tools	19	5.90%	15	46.90%
Storage	14	4.30%	11	34.40%
Use and Reuse	3	0.90%	3	9.40%
Disaster management plan	18	5.60%	12	37.50%
Retention Schedule	6	1.90%	6	18.80%
Integrity	18	5.60%	13	40.60%
Reliability	29	9.00%	22	68.80%
Disposal and Retention Policy	2	0.60%	2	6.30%
Records Management policy	1	0.30%	1	3.10%
Records management procedures	10	3.10%	10	31.30%
Access Control	27	8.40%	21	65.60%
Lack of File Tracking System	6	1.90%	5	15.60%
Collaboration	15	4.60%	10	31.30%
Lack of a Records Management Unit	20	6.20%	16	50.00%
Lack of Confidentiality	10	3.10%	9	28.10%
Lack of qualified records manager	23	7.10%	20	62.50%
Lack of Records Management Policy	21	6.50%	17	53.10%
Lack of Training on Records Management Issues	26	8.00%	22	68.80%
No records back up	3	0.90%	3	9.40%

Appendix 12: Coding Table From QDA Miner Lite Software

Coding Table - 296 rows

	Text	Codes
Registry activities	For old records that are no longer used, the Protection Service book the incinerator at the UB maintenance for destroying the records. Records are transported by the UB vehicle accompanied by the Protection Services staff, who hand over the records to the person responsible for operating the incinerator to burn the records.	Disposition
	Protection Services does not have a RM Policy to guide them on Records Management	Lack of Records Management Policy
	No confidentiality	Lack of Confidentiality
	some staff can access information that they are not supposed to access. e.g. Protection Services staff asked for transfer from Main Campus to Maun Campus.. The request was declined and the staff was not given any reasons as to why it was declined because the reasons were confidential between Protection services and HR, but HR disclosed the confidential information to the applicant.	Lack of Confidentiality
	Private Guards (Security) can sneak in offices and get the information	Access Control
	Protection Services needs a proper RMU.	Lack of a Records Management Unit
	No records backup	No records backup

Appendix 13: ARMA International Information Governance Maturity Model

Principle	Level 1 (Sub-Standard)	Level 2 (In Development)	Level 3 (Essential)	Level 4 (Proactive)	Level 5 (Transformational)
<p>Accountability</p> <p>A senior executive (or person of comparable authority) shall oversee the information governance program and delegate responsibility for records and information management to appropriate individuals. The organization adopts policies and procedures to guide personnel and ensure that the program can be audited.</p>	<p>No senior executive (or person of comparable authority) is responsible for records or information.</p> <p>The records manager role is largely non-existent, or it is an administrative and/or clerical role distributed among general staff.</p> <p>Information assets are managed in a disparate fashion or not at all.</p>	<p>No senior executive (or person of comparable authority) is involved in or responsible for records or information.</p> <p>The records manager role is recognized, although the person in that role is responsible only for tactical operation of the existing records management program, which is concerned primarily with managing records rather than <i>all</i> information assets.</p> <p>In many cases, the existing records management program covers paper records only.</p> <p>The information technology function or department is the <i>de facto</i> lead for storing electronic information, and the records manager is not involved in discussions about electronic systems.</p> <p>Information is not stored in a systematic fashion.</p> <p>The organization is aware that it needs to govern its broader information assets.</p>	<p>The records manager role is recognized within the organization, and the person in that role is responsible for the tactical operation of the established records management program on an organization-wide basis.</p> <p>The organization includes electronic records as part of the records management program.</p> <p>The records manager is actively engaged in strategic information and records management initiatives with other officers of the organization.</p> <p>Senior management is aware of the records management program.</p> <p>The organization envisions establishing a broader-based information governance program to direct various information-driven processes throughout the enterprise.</p> <p>The organization has defined specific goals related to accountability.</p>	<p>The organization has appointed an information governance professional, who also oversees the records management program.</p> <p>The records manager is a senior officer responsible for all tactical and strategic aspects of the records management program, which is an element of an information governance program.</p> <p>A stakeholder committee representing all functional areas meets on a periodic basis to review disposition policy and other records management-related issues.</p>	<p>The organization's senior management and its governing board place great emphasis on the importance of information governance.</p> <p>The records manager directs the records management program and reports to an individual in the senior level of management, (e.g., chief information governance officer)</p> <p>The chief information governance officer and the records manager are essential members of the organization's governing body.</p> <p>The organization's initial goals related to accountability have been met, and it has an established process to ensure its goals for accountability are routinely reviewed and revised.</p>
<p>Transparency</p> <p>An organization's business processes and activities, including its information governance program, shall be documented in an open and verifiable manner, and the documentation shall be available to all personnel and appropriate interested parties.</p>	<p>It is difficult to obtain timely information about the organization, its business, or its records management program.</p> <p>Business and records and information management processes are not well-defined, and no clear documentation regarding these processes is readily available.</p> <p>There is no emphasis on transparency.</p> <p>The organization cannot readily accommodate requests for information, discovery for litigation, regulatory responses, freedom of information, or other requests (e.g., from potential business partners, investors, or buyers).</p> <p>The organization has not established controls to ensure the consistency of information disclosure.</p>	<p>The organization realizes that some degree of transparency is important in its business processes and records and information management program for business or regulatory needs.</p> <p>Although a limited amount of transparency exists in areas where regulations demand it, there is no systematic or organization-wide drive to transparency.</p> <p>The organization has begun to document its business and records and information management processes.</p>	<p>Transparency in business and records and information management is taken seriously, and information is readily and systematically available when needed.</p> <p>There is a written policy regarding transparency in business and records and information management.</p> <p>Employees are educated on the importance of transparency and the specifics of the organization's commitment to transparency.</p> <p>The organization has defined specific goals related to information governance transparency.</p> <p>Business and records and information management processes are documented.</p> <p>The organization can accommodate most requests for information, discovery for litigation, regulatory responses, freedom of information, or other requests (e.g., from potential business partners, investors, or buyers).</p>	<p>Transparency is an essential part of the corporate culture and is emphasized in training.</p> <p>The organization monitors compliance on a regular basis.</p> <p>Business and records and information management process documentation is monitored and updated consistently.</p> <p>Requests for information, discovery for litigation, regulatory responses, freedom of information, or other requests (e.g., from potential business partners, investors, or buyers) are managed through routine business processes.</p>	<p>The organization's senior management considers transparency as a key component of information governance.</p> <p>The software tools that are in place assist in transparency.</p> <p>Requestors, courts, and other legitimately interested parties are consistently satisfied with the transparency of the processes and the organization's responses.</p> <p>The organization's initial goals related to transparency have been met, and it has an established process to ensure its goals for transparency are routinely reviewed and revised.</p>