

THE ROLE OF RECORD MANAGEMENT ON INSTITUTIONAL PERFORMANCE

CASE STUDY: KYAMBOGO UNIVERSITY

BY

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DEDICATION

I dedicate this work to my family and friends, especially my late father, Mr. Kwizera Kibuye Richard who instilled in me the values that have moulded me, my mother, Mrs. Kwizera Flavia, who supported and persevered with me, Kwizera Nimrod and Rodney who always advised and pushed me to the right direction, my friends Nannozi Angella and Ntende Kenneth for helping me in the course of my education.

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LIST OF ACRONYMS

ARMA	-	Association of Records Managers and Administrators
FASB	-	Financial Accounting Standards Board
IRMT	-	International Records Management Trust
ISO	-	International Organization for Standardization
KYU	-	Kyambogo University

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ABSTRACT

This research report entitled “The role of records management on institutional performance” is presented as a result of a research that was carried out at Kyambogo University. The study was based on three specific objectives: to examine the various mechanisms used to ensure effective record management; to analyze the determinants of institutional performance; and to assess the relationship between record management and institutional performance. The study took form of a case study design, with a study population constituted of records and archives managers, accounts personnel and departmental directors. A study sample of 60 respondents was chosen, using purposive sampling method. Questionnaires were used in collecting primary data and literature search was used in collecting secondary data. The collected data was analyzed using quantitative methods.

The study found out that there were various mechanisms of records management such as records control mechanisms, records management procedures, records policy framework, and safety precautions in place. It also found out that there were various determinants of institutional performance such as personnel expertise and experience on the job, conditions in the working environment, employee motivation, as well as availability of the necessary facilities and materials. Also that there is a relationship between records management and institutional performance as record management helps in proper monitoring of financial and academic performance within the institution, enables the institution to make effective and accurate budgetary forecasts, directs the policy formulation procedures in the institution, through evaluating the records of past performance, and helps management to institute measures to reduce on the amount of wastages in the institution.

The researcher drew a conclusion that there were various mechanisms used to ensure effective record management, that there are various factors that determine institutional performance, and that there is a positive relationship between records management and institutional performance as record management. He recommended that all records should be managed in electronic form to ease the process of reception, arrangement and filing in order to prevent cases of misplacement, damage and loss; the need for the management of the University to procure and install effective firewalls to ensure that the institution’s records are well secured, and secure access procedures for everyone accessing the records; as well as need for training of records and archives personnel in the modern records management procedures.

CHAPTER ONE

GENERAL INTRODUCTION

1.0 Introduction

Record management occupies a strategic position in the efficient and effective organizational management. It is central in the administration of institutions of learning because it documents the planning and implementation of appropriate course of services allowing proper monitoring of work. In the conventional based organizations such as universities, paper continues to be viewed as the material for records in administrative documentation (Igwoku 2008). The approach is for records created in the course of day- to-day business of the universities to be stored and kept in hard copies as evidence of an action, decision or process. The process of record keeping and management provides a frame work for keeping, maintaining and providing for the disposition of records and what is contained in them. This frame work is provided for by the guide lines designed to educate people on decisions regarding professional record keeping and management. (Ebele Joyce Egwunyenga, 2009).

This chapter presents the background to the study, statement of the problem, purpose of the study, research objectives, research questions, and the scope of the study, significance associated with the study, the conceptual framework and the limitations of the study.

1.1 Background of the study

It may be appropriate to indicate that, records exist to remind organizations of their previous activities. Hounsome (2001:1) noted that while records management may seem boring to many, it is hard to underestimate the role played by records in organizations. Records need to be recognized as a vital and reusable asset, context and knowledge (Sutcliffe, 2003:53). Penn, Penix and Coulson (1994:2) and King (1997:656) pointed out that many businesses depend on the proper creation and maintenance of recorded information.

The medium on which the recording of the information could be done may be paper, microfilm, audiotapes, videotapes, photographs, slides or any computer readable medium such as compact disks. Gold (1995:1) characterized an organization's management of its records as a "secret weapon" and the "winning strategy" that gives the organizations the competitive edge. Yet few organizations, including universities, pay attention to the management of this corporate resource. Despite the fact that universities are continually called upon to function in a business-like manner in order to be self-sustaining and to remain competitive, they overlook the enormous advantages that proper record management practices could contribute to the achievements of their objectives (Mnjama 2002:34; Procter 2002:49)

Institutions in Uganda are gradually realizing that there should be major changes on how they deploy their strategic resources to transform the institution into something new, totally different from what it has been before. Strategic transformation actions can however only be sustained if backed by excellent information systems including a system to manage internal records. Record management has evolved from a paper based function responsible for the storage of an institutional miscellaneous documents to one concerned with the management of specified internal records in a multitude of media, from creation to disposal through their active use as sources of information and hence to their ultimate review against retention schedules for their eventual destruction (Det Wet and Du Toit, 2000:74).

It is increasingly used as a corporate resource to improve performance. In support of the above sentiments, Penn, Pennix and Coulson (1994:) defined records as any information that is recorded in any physical medium, generated or received by a business enterprise as evidence of its organization, functions, policies, procedures, operations, internal or external transactions and valuable because of the information it contains.

Correspondence is normally conducted manually or electronically through electronic mail or intranet. Documents such as policies, procedures, contracts, regulations, minutes, circulars are often available for staff to update or familiarize themselves with the normal operation of their institution. Ignorance of such documents may affect the competitive performance of an institution. This implies that information in the form of records is used by organizations via employees as a strategic weapon to gain a competitive advantage for the organization that creates, receives and uses them effectively (Mrwebi 2000:1)

Kyambogo University is one of the public universities in Uganda. It was established in 2001 by an act of parliament. Kyambogo University was the third public university in Uganda to be established by the universities and other tertiary institution act of 2001 and the universities and other tertiary institutions instrument of 2003. It was formed after the merger of Uganda polytechnic Kyambogo (UPK), the institute of teacher's education Kyambogo and Uganda National Institute of Special Education (UNISE). It focuses on being the center of academic and professional excellence and believes in the philosophy that knowledge is as important as skills basing on its MOTTO "Knowledge and skills of service" and the VISSION "to be a center for academic and professional excellence. These different institutes had their own different records offices for keeping and managing information. In the process of merging some of this information was not sent to the accounting office so it has led to the remittance of funds to the employee retirement scheme without account numbers and different order of names (Kyambogo University website.). This poor record keeping method of KYU may lead to delays when claiming funds from the employee retirement scheme.

The university has an assortment of academic staff that was collected into one basket from the three institutions that formed the university. They are few and the institution depends on a

high number of part time staff. By mid-2012 Kyambogo University had a total academic staff of 607 of which 420 were full time staff while the rest were part time. The total of non-academic staff was 855 (Kyambogo university, 2012).

1.2 Problem statement

Records are a vital asset in ensuring that the institution is governed effectively and efficiently, and is accountable to its staff, students and the community that it serves. Records support decision making, provide evidence of policies, decisions, transactions and activities and support the university in cases of litigation. Wamukoya and Mrwebi (2000:1) indicated that information plays a very significant role in the institutional performance, furthermore in Uganda for example, according to D. Migeleko (2012) lands ministry report “government institutions are increasingly realizing the importance of effective record management in improving their performance”. Therefore, the management of records is an important element in the administration of the University. This study sought to examine the role of records management towards organizational performance with Kyambogo University as the case study.

1.3 Purpose of the study

The purpose of the study was to establish the role of effective record management on institutional performance.

1.4 Specific objectives of the study

The study was aimed at achieving the following objectives;

1. To examine the various mechanisms used to ensure effective record management.
2. To analyze the determinants of institutional performance.
3. To assess the relationship between record management and institutional performance.

1.5 Research Questions

The study attempted to find answers to the following questions;

1. What are the various mechanisms used in ensuring effective record management?
2. What are the determinants of institutional performance?
3. What is the relationship between record management and institutional performance?

1.6 Scope of the study

1.6.1 Geographical scope

The study was carried out in Kyambogo University which is in Nakawa Division, 7 kilometers from Kampala city center off Kampala-Jinja road. The study covered the registrar and finance departments of Kyambogo University.

1.6.2 Subject scope

The study focused on the role of record management and institutional performance. It explored the record control mechanisms, management procedures and policy framework, determinants of institutional performance as well as the relationship between records management and institutional performance.

1.6.3 Time scope

The study focused on record management practices in Kyambogo University over the past five years from 2010 to 2014, and was carried out in two months (60 working days). The researcher drew a study plan to ensure that this time was enough to collect all the necessary data. Proper use of time was important as it helped the researcher to minimize on the expenses during the research exercise.

1.7 Significance of the study

The findings of the study will help other researchers in conducting research by providing a reliable basis for literature review.

The empirical data can be used to put in place policies that may help public institutions in issues relating to record keeping and record management to enhance their future decision making and performance.

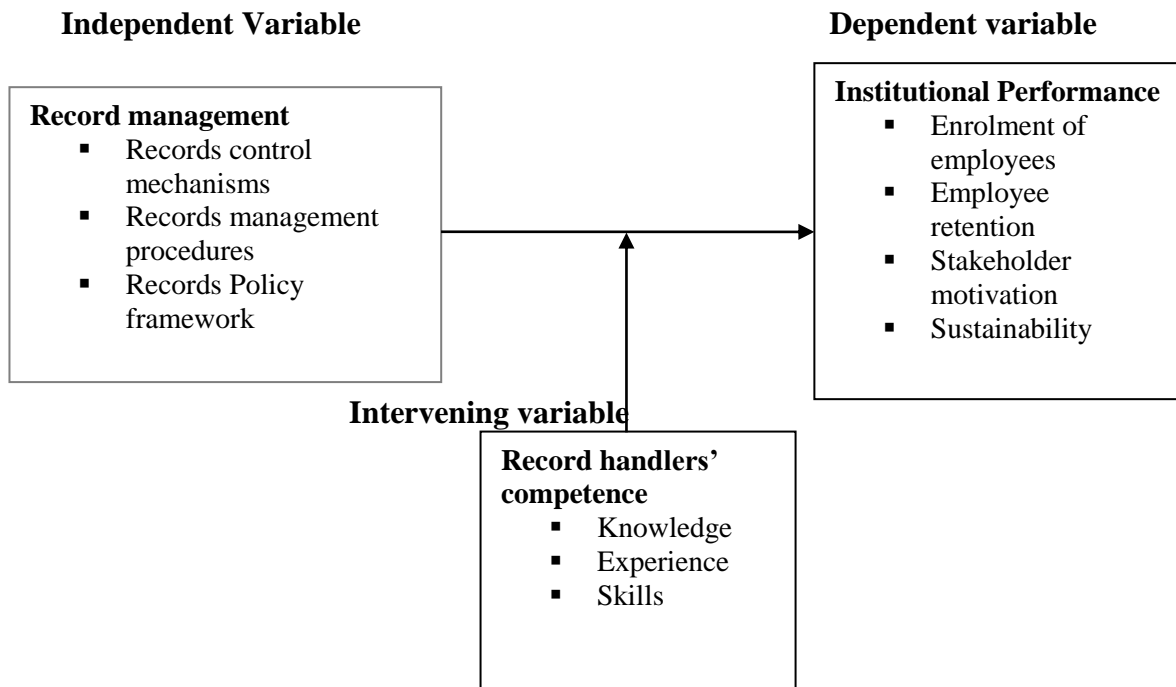
It will also inspire other researchers to undertake a study on other tools of improving record keeping and management in both public and private institutions.

It is also anticipated that the management of Kyambogo University will use the findings to improve its record management thus facilitating its overall performance.

1.8 Conceptual framework

The study was carried out basing on the interrelations between the variables in the topic of study. It explored the connection between the independent, dependent and the intervening variables.

Figure 1: Conceptual framework



Source: As modified by the researcher from the works of FASB (1980)

The relationship between the variables in this study is such that the independent variable, which is records management (records control mechanisms, records management procedures and records policy framework among others), works hand in hand with the intervening variable, which in this case are the competences of records handlers (knowledge, experience, skills), and together, they influence the dependent variable, which is institutional performance (enrolment of employees, employee retention, stakeholder motivation and sustainability among others). This implies that whereas records management has an influence on institutional performance, that influence cannot be adequately explained without the role of other factors (the intervening variable), for example, in order to know whether records management influences institutional performance either positively or negatively, we first look at the competence of the records management process. If the records are managed

competently, the influence on institutional performance is positive and vice versa if there is incompetent management of records.

1.9 Limitations of the study

- Inadequate access to information, the researcher experienced a challenge of accessing some records and information since it was considered to be highly confidential. Here the researcher assured the records officers that the information collected from them would be treated with utmost confidentiality and would be used for academic purposes only.
- Some records officers in some faculties were absent most of the time which prompted the researcher to make several trips to the university. Here, the researcher had to schedule his visits to the University in accordance with the records officers' attendance.
- Financial constraints, a substantial amount of financial resources was required to meet transport costs, stationery bills, and library fees, internet costs, photocopying and printing while carrying out the study. Here the researcher tried to mobilize more resources from relatives and well-wishers in order to cover the costs of the research.
- Time, the time frame available for submission of the research report was not long enough to enable a wide coverage of the study report. Here the researcher ensured that he is precise in his data collection process in order to minimize on time wastage.

1.10 Operational definition of Key terms

Records

Are documents created/received by an organization in routine transaction of its business or in pursuance of its legal obligations, that memorialize and provide objective evidence of activities performed, events occurred, results achieved, or statements made, regardless of its characteristics, media, physical form, and the manner it is recorded or stored. Records include accounts, agreements, books, drawings, letters, magnetic/optical disks, memos, micrographics, etc. Generally speaking, records function as evidence of activities, whereas documents function as evidence of intentions.

Records management

Is the professional practice or discipline of handling, controlling and governing important records of an organization throughout the records life-cycle, which includes from the time such records are conceived through to their eventual disposal. This includes identifying, classifying, prioritizing, storing, securing, archiving, preserving, retrieving, tracking and destroying of records.

Performance

Is the accomplishment of a given task measured against preset known standards of accuracy, completeness, cost, and speed. In a contract, performance is deemed to be the fulfillment of an obligation, in a manner that releases the performer from all liabilities under the contract.

Institutional performance

Is an analysis of an institution's performance as compared to goals and objectives. Within corporate institutions, there are three primary outcomes analyzed: financial performance,

market performance and shareholder value performance (in some cases, production capacity performance may be analyzed).

1.11 Conclusion

In a world of change, information has become the most dominant resources in the success of institutions and at the same time, institutions have to meet increasing regulatory and legal requirements. The management or recorded information, irrespective of form or format, is more vital to organizations than ever before.

CHAPTER TWO

LITERATURE REVIEW

2.0 Introduction

This chapter synthesizes the principles and concepts that have been explored and brought out by various authors in the existing literature on the role of record management on institutional performance.

2.1 Theoretical framework

According to Buckland (1990:346) some records management practitioners argue that there are well defined and established theories governing record management practice, the most well-known being the records life cycle. The records life cycle concept was founded and invented by the national Archives of the United States of America in the 1930's (Hare and Mc Leord, 1997:5; Penn, Penix and Coulson, 1994:12) in response to the ever increasing volume of records produced by public institutions. The life cycle of a record is an analogy from the life of a biological living organism which is born, live and dies. In the same way a record is created, used for as long as it has continuing value and then disposed off after its period of survival. The effective management of records throughout their life cycle is a key issue in institutions. Without it, vast quantities of inactive records would clog up expensive office space and it would virtually be impossible to retrieve important administrative, financial and legal information (Austin College, 2003:1).

2.2 Conceptualization of variables

2.2.1 Record management

A record is defined either in terms of the physical tangible format in which it appears, or in terms of the information it contains. It must be noted that records differ in format or size, and have different contents. According to Yusof and Chell (1998:97), any definition of records is

a pragmatic one. The definition changes with the passage of time and as the profession gets involved in more complex issues. Cornwell Management Consultants (2001:7) define a record as a document produced or received by a person or organization in the course of business and retained by that person or organization. Langemo (1995:415) further defines a record as the memory of the organization, the raw material for decision-making and the basis for legal defensibility.

Kallus (1991:571) further defines a record as written or oral evidence that has been collected and kept for use in making decisions. The most common records (such as forms, correspondence, reports and books) are written, printed or typed on paper. Oral records capture the human voice on tape, and are stored on cassettes or on other magnetic media. In support of Kallus's (1991:571) definition, Quible (1996:450) further defines records as informational documents such as forms, letters, memoranda, reports and manuals used to carry out various functions. A record is viewed by Penn, Pennix and Coulson (1994:3) as any information captured in reproducible form that is required for conducting business. Roberts (1998:4) states that records are information created, collected or received in the initiation, conduct or completion of an institutional or personal activity.

Through the centuries, the following three factors have shaped the concepts, principles and techniques which records/archives managers use to carry out their responsibilities:

The Inter-relatedness of records; Because records are the documentary by-products of work or life processes, they are organic bodies of related material which cannot be used in isolation or separation from one another without loss of integrity and meaning (Quible (1996:456). They are unselfconscious in that they are naturally occurring contemporaneous and candid

documents, as opposed to individual documents created intentionally for the purpose of 'history'.

The central importance of context; Records draw their significance from their context. That is, they are valued or useful only in groups and only in relation to the activities and purposes for which they were created and used. Thus records/archives managers must accurately identify and explain both the context of origin/creation and the context of use/custody and maintain the records in a way that preserves their original character and relationships as 'bounded entities comprising content, structure and context' (Quible (1996:459).

The function of records as evidence; Records represent or stand for human experiences, transactions, activities or accomplishments. The records designated as the 'official' or 'record copies' of documents have been selected to endure as unique testaments, all other duplicates, whether exact copies and different formats having been destroyed. They provide objective 'proof' that something has happened or been agreed to by consenting parties and as such have an integrity that must be protected and preserved by responsible and continuous custody and properly authenticated if that chain of responsible management is questioned.

What distinguishes records from other information entities is summed up in the term 'recordness'- an elusive quality usually represented by the six characteristics described below. Recordness requires that records are:

Complete; A record is considered complete when it is a finished, bounded entity comprising structure, content and context and when it has the following elements: date(time and place of creation, transmission and/or receipt); originating address, an author/compiler, an addressee/recipient, title or subject accompanying its content/message.

Fixed; Records are information presented in a static form. The act of recording 'freezes' the relationships among the information elements and embeds them in a structure, which can be replicated or re-constituted (Wamukoya, 2000:20). For example: data elements within a dynamic or 'live' database are not records until a transaction incorporates such data elements (content) into a meaningful and re-creatable format (structure) along with essential specific contextual information (context). The resulting record is a 'bounded entity' - a metadata encapsulated object (MEO) which may be retrieved and re-presented for human use in electronic form (screen display) or hard-copy printout (paper or film). Although a record is a 'fixed' object, its role is dynamic, not static. Subsequent records and business activities change its relationships, significance and meaning as time passes.

Organic; Records are the natural output of work processed; therefore records are only meaningful as a sequence of transactions. Each record is related to or is a consequence of some preceding document, with the matters documented by the former further explained or dealt with in the latter.

Contextual; Records derive their meaning, and therefore their usefulness or value, from their context. Because they are created, organized and used in the conduct of normal business by a particular entity, they reflect the purposes and the activities of that entity over time. Thus, to use/appreciate the records one must understand their function, control system, relationships and pattern of use in the workplace; correspondingly the records comprise the evidence of the policies, activities and transactions of that creating entity (Wamukoya, 2000:22). For this reason, records are managed not as individual items, but in aggregates known as series, which are organic 'flows' of material created and structured by the normal course of work activity.

Authoritative/'Official'; Records created as documentation to support ongoing work or business activity have a status as 'official' evidence of those decisions and actions undertaken 'in the normal course of business', whether that 'business' is commerce or art or literature or just living. That is, they embody the full and unchallengeable authority of the author - be it an individual or an organization and its officers.

Unique; Unlike books, journals and other published material, records appropriately maintained in context are always one-of-a-kind. That is, any record or group of records with its sequences and interrelationships is unique, despite the fact that there may be duplicate copies of some or even all individual records held elsewhere (Raynolds, 2010:39). The point is that each copy will have a different relationship to the conduct of business and to those who authorized or participated in it. However, in cases where duplication is extensive, it is usual for record-keepers to minimize the number of duplicate series of records in their care by designating the most authoritative set as the 'official record' for retention and directing those of lesser importance to be destroyed.

According to Sanderson and Ward (2003:1) the importance of record management is increasingly being recognized in organizations. It is therefore the responsibility of record managers to ensure that they gain the attention of the decision makers in their organizations. Gaining recognition is all about convincing administration of the role of records as enabling unit in an institution. Staffs require information to carry out their official duties and responsibilities efficiently and effectively in a transparent manner. Records represent major sources of information ^ are almost the only reliable and legally verifiable source of data that can serve as evidence of decisions, actions and transactions in an organization (Wamukoya, 2000:24).

According to Palmer (2000:65) the role of records management system is that it acts as a control system that reinforces other control systems such as internal and external auditing. The records themselves can serve to detect fraud and recover the loss. Since corruption creates an environment that allows opportunities to commit fraud, once fraud is detected records can provide a trail for investigators to track the root of corruption. However for records to be useful in this capacity, they must be accessible. According to Hare and McLeod (1979:8) organizations kept records for the following reasons; information retrieval, evidence of organization's activities, and compliance with regulations

Properly kept records are vital in determining the successful operation of an organization as Reynolds (2010) states that "a company cannot afford to underestimate the importance and need for complete and proper record retention". This is further portrayed by David Muwanga (2008) who stated that record keeping is one of the major reasons why companies collapse. Trustworthy records contain reliable evidence of decisions taken, rights acquired and commitments made. Without records, no assessment can be made of whether individuals and public organizations have actually carried out the actions and transactions that they had to execute, whether they have performed these actions and whether they have done the things which they were not supposed to do (Thomassen, 2006:141).

Wamukoya (2007:19) points out that bad records management is compounded by a number of factors such as the lack of national policy on record management, lack of record management standards, lack of records management guides/ manuals and lack of trained staff in records management who should provide guidance or assistance to institutions. As the quality of the information improves, the probability of making a good decision increases. Information must be made available to the decision maker when it is needed and in a required and useful format (Homer, 1999:76).

The management of records after their creation is just as important as ensuring that the right records have been captured. If the basic premise of record management (managing organization information so that it is timely, accurate, complete, cost effective, accessible and usable) is to be realized then proper controls must be applied to records during the different stages they pass through from creation to disposal (Robek et al., 1995:7). This ensures that records maintain their value as authentic evidence of activity throughout their life cycle. It may be argued that the quality of any records management program is directly related to the quality of the staff responsible for records management (World Bank 2009:3).

2.2.2 Institutional performance

High performance is the objective of any institution because only through performance, institutions are able to grow and progress. Knowing the determinants of institutional performance is important especially in the context of the current economic crises because it enables the identification of those factors that should be treated with an increased interest in order to improve the institutional performance (Thomassen, 2006:144). Institutions have an important role in our daily lives and therefore, successful institutions represent a key ingredient for developing nations. Thus, many economists consider institutions similar to an engine in determining the economic, social and political progress.

Continuous performance is the focus of any institution because only through performance institutions are able to grow and progress. Thus, institutional performance is one of the most important variables in management. Institutional performance is a concept that describes how effective an institution is in achieving the outcome it intends to produce (Ivancevich, 2001:219). The institution determines proxy measures which will be used to represent performance. It may include such things as efficiency of management, performance of

employees, core competencies, number of people served, types and sizes of population segments served and so on.

Performance basically depends on many factors like employee performance appraisal, employee motivation, employee satisfaction, compensation, training and development, job security, organizational structure, among others. Motivation is an important determinant of human behavior. It is the force that moves one towards a goal i.e. motivation behaviour = performance. Motivation is the psychological process that gives behavior purpose and direction (Kreiter, 1995). Burford, Bedian & Lindner, (1995) see it to mean a predisposition to behave in a purposive manner to achieve specific and unmet needs.

2.3 The various mechanisms used to ensure effective records management

Good records management is essential for any corporate body to function effectively. Records management is the systematic control of an institution's records, throughout their life cycle, in order to meet operational needs, statutory and fiscal requirements, and expectations (Horngre et al 2002). Effective management of records allows fast, accurate and reliable access, ensuring the timely destruction of redundant information and the identification and protection of vital and historically important records. Information is every institution's most basic and essential asset, and in common with any other business assets, recorded information requires effective management (Everad-Burrow, 2000). Records management ensures information can be accessed easily, can be destroyed routinely when no longer needed, and enables institutions not only to function on a day to day basis, but also to fulfill legal and financial requirements.

Institutions are producing increasingly larger amounts of information and consequently greater volumes of records, in both paper and electronic form. It is essential that information

is captured, managed and preserved in an organized system that maintains its integrity and authenticity. Records management facilitates control over the volume of records produced through the use of disposal schedules, which detail the time period for which different types of record should be retained by an institution (Greenberg and Bran, 1997). Sound records management is also an essential basis for the transition to Electronic Document and Records Management (EDRM) that many institutions are embracing. In the public sector this has been driven in part by E-government targets, where public services are to be made available electronically. Where existing paper based systems are poorly managed, current problems will simply be migrated to a new electronic system unless they are addressed in the preparations for EDRM.

Modern society has rising expectations concerning the accessibility of information. People now expect efficient and speedy responses to requests for information, and a policy of ‘access to information’ open government has been followed and developed by many institutions and governments (Kanzi 2010:42). Systematic management of records allows institutions to: know what records they have, and locate them easily; increase efficiency and effectiveness; make savings in administration costs, both in staff time and storage; support decision making; be accountable; achieve business objectives and targets; provide continuity in the event of a disaster; meet legislative and regulatory requirements; and protect the interests of employees, clients and stakeholders. Some of the basic effective records management mechanisms used to ensure sound information governance include;

Accountability - This is where a competent person is assigned to oversee and be accountable for record keeping program and delegate responsibility to appropriate individuals; adopt policies and procedures to guide personnel, and ensure program auditability. All managers

have to be accountable for information governance and the records management principles, policies, and costs.

Integrity - Records generated or managed by or for the institution have a reasonable and suitable guarantee of authenticity and reliability. Technologies and processes that can provide suitable and reasonable guarantees should be put in place. This requires an institution to first define and classify the difference between official records and business information.

Protection - Ensure a reasonable level of protection to records and information that are private, confidential, privileged, secret, or essential to business continuity. These attributes are the core differentiators when comparing content management to records management systems.

Compliance - There must be compliance with applicable and jurisdictional laws, regulations, and the organization's policies in the records management practice. The challenge for most institutions is not developing policies but instead enforcing these policies across a vast number of information repositories and file systems.

Availability - Must maintain records in a manner that ensures timely, efficient, and accurate retrieval of needed information, as more and more institutions are turning to information governance and IGP to do more than meet compliance regulations.

Retention - Maintain records and other information for an appropriate time (and for no longer), taking into account business, legal, regulatory, fiscal, operational, and historical requirements, and those of all relevant binding authorities.

Disposition - An institution should provide secure and appropriate disposition/deletion for records that have no incremental business value or that create liability for the institution, in accordance with its policies, and, applicable laws, regulations and other binding authorities.

Transparency - An organization should document its policies, processes and activities, including its information governance program, in a defensible, understandable, and efficient manner and be available and understood by staff and appropriate interested parties.

2.4 The determinants of institutional performance

Fundamental purpose behind performance measures is to improve institutional performance. Measures that are not directly connected to improving performance (like measures that are directed at communicating better with the public to build trust) are measures that are means to achieving that ultimate purpose (Ivancevich, 2001).

To evaluate performance, managers need to determine what an institution is supposed to accomplish, to formulate a clear, coherent mission, strategy, and objective. Then based on this information choose how you will measure those activities. In order for an institution to evaluate performance it requires standards (benchmark) to compare its actual performance against past performance/ from performance of similar agencies/ industry standard/political expectations (Greenberg and Bran, 1997).

Today managers do not control their workforce mechanically (measurement of time-and-motion for control). However, managers still use measures to control, while allowing some space for freedom in the workforce. Because traditional measurement system sprung from finance function, the system has a control bias (Everad-Burrow, 2000). Institutions create measurement systems that specify particular actions they want execute- for branch employees

to take a particular ways to execute what they want- branch to spend money. Then they want to measure to see whether the employees have in fact taken those actions.

Budgets are crude tools in improving institutional performance. Poor performance not always may change after applying budgets cuts as disciplinary actions. Sometimes budgets increase could be the answer to improving performance (Ivancevich, 2001). Like purchasing better technology because the current ones are outdated and harm operational processes. So decision highly influenced by circumstance, you need measures to better understand the situation. At the macro level, elected officials deciding which purpose of government actions are primary or secondary (Everad-Burrow, 2000).

Giving people significant goals to achieve and then use performance measures to focus people's thinking and work, and to provide periodic sense of accomplishment. Performance targets may also encourage creativity in developing better ways to achieve the goal (Everad-Burrow, 2000). Thus measure to motivate improvements may also motivate learning. Almost-real-time output (faster, the better) compared with production targets. Quick response required to provide fast feed-back so workforce could improve and adapt. Also it is able to provide how workforce currently performing. Primarily, the aim behind the measures should be output, managers cannot motivate people to affect something over which they have little or no influence. (Ivancevich, 2001) Once an agency's leaders have motivated significant improvements using output targets, they can create some outcomes targets.

Institutions need to commemorate their accomplishments, such ritual tie their people together, give them a sense of their individual and collective relevance (Horngre et al 2002). Moreover, by achieving specific goals, people gain sense of personal accomplishment and self-worth. Links from measurement to celebration to improvement is indirect, because it has

to work through one of the likes- motivation. Celebration helps to improve performance because it brings attention to the agency, and thus promotes its competence- it attracts resources, significant performance targets that provide sense of personal and collective accomplishment. Targets could ones used to motivate (Everad-Burrow, 2000). In order for celebration to be a success and benefits to be a reality, managers need to ensure that celebration creates motivation and thus improvements.

Learning is involved with some process, of analysis information provided from evaluating institutional performance (identifying what works and what does not). By analyzing that information, institutions are able to learn reasons behind its poor or good performance (Horngre et al 2002). However if there is too many performance measures, managers might not be able to learn anything. Also there is an issue of “black box” enigma (data can reveal that organization is performing well or poorly, but they don’t necessarily reveal why). Performance measures can describe what is coming out of “black box” as well as what is going in, but they do not reveal what is happening inside.

2.5 The relationship between record management and institutional performance

Pemberton (1991:74) and Ngoepe (2008:119) assert that better institutional performance always begins with better records management practices. This is because organizations and institutions can only take appropriate action and make correct decisions if they have sufficient information at their fingertips. Hence, proper records management supports efficiency and effectiveness in institutional performance in a variety of ways. These could include, among others, documentation of policies and procedures that inform institutional performance such as; the type of services provided; who are to be responsible for carrying out the work; and what costs involved.

Kemoni, Ngulube and Stilwell (2007:22) have also affirmed that proper records management is significant to institutions' realization and achievement of their goals such as accountability, proper management of resources, as well as enhancing relations with suppliers and customers. Nandain (2006:4) expands on Kemoni, Ngulube and Stilwell's (2007:5) argument and observes that "effective information and records management provides the foundation for accountability and financial performance. Thus it is imperative for institutions to continue improving their records management programmes in order to achieve greater performance, bearing in mind that the customers' needs are diverse.

Ngoepe (2010:29) has underscored that sound records management is crucial to the conduct of operations and makes institutional administration more efficient and effective. Without effective records management program, projects for instance are difficult to implement in the absence of well managed records (Kanzi 2010:48). Shepherd and Yeo (2003:71) posit that an effective records management programme ensures that records are available for users when needed. Therefore, it is imperative that institutions should have an effective records management programmes that would make available records and information contained therein when required. According to the Kanzi (2010:51) records management manual, timely processing of outgoing and incoming correspondence will lead to operational efficiency and effectiveness within an institution.

Dikopoulou and Mihiotis (2010:262) observed that information created during the activities of an institution is a critical resource not only to the institution itself but also for the society in which the institution operates. They further argue that, to "achieve an efficient use of information assets we must control their production, transfer, retention, and use". While Kanzi (2010:51) opines that sound records management programme is the foundation for managing resources and the performance of institutions. It also allows for an institution to

find information easily and the orderly and efficient flow of information enables the institution to perform its functions successfully and efficiently.

In addition, the inadequacy in providing to access, use and preserve records by the records management programme means that institutional performance could be affected. For example, the human resources division would not be able to process recruitments on time; the accounting division would also not be able to provide payments on and supply would not be able to acquire the necessary materials and equipment required for the institution's operations. Records management is a business process that is required to support business activity of an institution. It therefore comes as no surprise that institutions should adopt regulatory frameworks that will ensure the best practices in records management.

It has been established that lack of records management regulatory framework has negative implications for institutional performance. According to Kemoni (2007:11) without a records management policy for instance, it is difficult to establish efficient records management systems that supports decision-making. Kemoni (2007:12) further posits that the absence of a records management policy has the ability to obstruct the role of staff. Thus the lack of records management procedures would have implications such as records management personnel not having the necessary guidelines for managing records during the continuum of activities that would make the management of records throughout their life-cycle easier.

Kennedy and Schauder (1998) have also pointed out that the ability to effectively locate and retrieve records required in the course of a business is a key component of any records management programme. They further posit that records classification allows for certain actions such as grouping, naming, user permission, security protection and retrieval of records to be done with easy. It has also been noted that classification schemes are “based on

an analysis of functions, processes and activities.” They are useful for documenting the structure of records management system and for establishing the relationships between records and actions that generated them (Shepherd & Yeo 2003:73). Shepherd and Yeo (2003:75) further posit that “every record should have a known place” in the classification scheme and its “relation to other records within the scheme should be fully documented.”

Conclusion

Records management is a crucial part of any successful organizational management. All information created, sent and received in the course of your job is potentially a record. Records provide evidence of an institution’s operations. Whether something is a record depends on the information it contains and the context. Records can be in paper, digital or other formats. Records management ensures that records are systematically and efficiently: created, captured and described; secured, stored and preserved for as long as they are needed; and destroyed or transferred once they no longer have any residual business value. Effective records management makes it easier to: locate emails, documents or information when needed; reuse valuable work that you or someone has done in the past; determine the most recent version of a document; produce evidence as to why a particular decision was made; and to support cultural, social and historical values, helping future generations understand history, society, culture and people. Efficient records management reduces risk increases accountability and improves operational efficiencies. A effective approach to records management means: focusing on an effective information governance framework, adhering to standards and legislation, allocating roles and responsibilities, and linking business to records. Information governance includes implementing policies, procedures, processes and controls, and allocating roles and responsibilities to ensure corporate information is managed as a valuable business asset.

CHAPTER THREE

METHODOLOGY

3.0 Introduction

This chapter is a presentation of the description of the research methods and instruments used in this study. It specifically covers the research design, study population, Area of the study, Sample size and selection and sampling techniques.

3.1 Research Design

Bless, Smith and Kagee (2006:71) define a research design as “the specification of the most adequate operations” conducted with the aim to test a particular hypothesis under the study or to answer the research questions. In this study, a descriptive survey design approach was adopted, since the study was aimed at describing the current records management situation within Kyambogo University.

3.2 Area of study

The area of study was the main Campus of Kyambogo University. The University was established in 2003 by merging the Uganda Polytechnic Kyambogo (UPK), the Institute of Teacher Education, Kyambogo (ITEK) and the Uganda National Institute of Special Education (UNISE). Its located on Kyambogo Hill, approximately 10 kilometers east of the Kampala city central business district, along the Kampala-Jinja highway.

3.3 Study population

One of the major steps in case study designs is to define the population before collecting the sample” (Ngulube 2005a:46). The population is a group of elements sharing the same

sentiment. It is a large pool from which our sampling elements are drawn and to which the researcher generalizes the findings.

Lewis and Ritchie (2003:49) argue that in selecting a research setting and population, the researcher depends on the research question and existing literature to identify a population which is in a position to provide relevant, rich and comprehensive information.

The population of this study comprised of 70 people, drawn from the records and archive management section and the information management unit of Kyambogo University and the general users of these records. These units were relevant because they use students' files on a daily basis to discharge their duties.

3.4 Sample size and selection

The study used a sample of 60 respondents, basing on Sloven (1980) formula for determination of sample size from a given population. This formula is as follows:

$$n = (N/1+Ne^2)$$

Where: n – sample size

N – Population

e – margin of error (0.05)

$$n = (N/1+Ne^2)$$

$$n = 70 \div [1+(70 \times 0.05^2)]$$

$$n = 70 \div [1+(70 \times 0.0025)]$$

$$n = 70 \div [1+0.175]$$

$$n = 70 \div 1.175$$

$$n = 59.5744$$

Therefore the sample size (n) = 60 respondents

3.5 Sampling Techniques

Sampling is “the selection of research participants from an entire population, and involves decision about which people, setting, events, behavior, and/or social process to observe” Terre Blanche, Durrheim and Painter (2006:49).

The researcher used purposive sampling to selected respondents who were best suited to provide relevant information about the topic of study. These included employees of Kyambogo University and specifically, those handling records, which is in line with Terre Blanche, Durrheim and Painter (2006:49) who underline that in a research where the number of sampled participants is too little; it is not advisable to use random sampling because that sample may not be representative enough for the entire population of the study.

3.6 Sources of data

The data was collected from primary and secondary sources. The primary sources of data included information obtained from answers to questionnaires and through interviews with key informants, which provided first-hand information about the study. Secondary sources included information obtained from records, archives and reports within the University.

3.7 Methods of data collection

The main methods of data collection were questionnaires. Structured questionnaires for qualitative research were used. Also interviews were prepared specifically to record first-hand information during interview with the respondents.

3.7.1 Questionnaire

These are questions relating to the topic of study. Questionnaires with open-ended and close-ended questions were used because they can be answered in one's convenience and returned at any time. During the course of the study, the researcher printed the questions and distributed them to selected respondents, the respondents answered the questions and returned them to the researcher.

3.7.2 Interviews

This involved the use of interview guides. The researcher had interview sessions with various selected respondents, he asked them direct questions and while recording their responses. Interviews were used because they helped to facilitate a one-on-one interaction between the researcher and his respondents, and also helped him to gauge the respondents' facial expressions during the interviews.

3.8 Validity and reliability

3.8.1 Validity

To improve the validity of the data collection instruments, (mainly the questionnaire), the questions were divided into categories of 'essential' and 'relevant'. The number of relevant questions was divided by the total number of questions, and the numbers of questions on the questionnaire have to be above the required 0.5 scores, in order for the instrument to be valid.

3.8.2 Reliability

The researcher carried out a pre-test of the questionnaire to ensure its reliability before using it in the research. The other instruments were also cross examined for approval by a research expert, to ensure that the information they would generate was appropriate and consistent.

Before going out to carry out the study, the researcher first consulted his supervisor, to ensure the reliability of these instruments in generating relevant information during the study.

3.9 Data Processing and Analysis

After collection, data was edited, coded and tabulated, and then analyzed in frequency counts and percentages. The analyzed data was presented in frequencies and percentages using figures such as graphs and charts generated with the use of Microsoft Excel statistical computer program. The data on the relationship between records management and institutional performance was analyzed using the SPSS 16 data analysis software package, which helped in establishing the relationship (correlation) between variables in the study.

3.10 Ethical procedures

This involved seeking permission by the researcher from the officials of the selected departments. Permission was also sought from the relevant authorities with respect to the respondents' views. This was important for the protection of the respondents from harm or harassment and the confidentiality of the respondents and their superiors' sensitive information.

The researcher interpreted the data according to general methodological standard and that elements that were irrelevant to data interpretation were excluded from the report.

The researcher kept all the information given to him very confidential and pledged to use it for academic purposes only.

3.11 Study Limitations

In the course of carrying out this study, the researcher encountered several constraints, which threatened in one way or the other, to limit the findings of the research. They included among others the following;

Scheduling problems affected the researcher's ability to gather relevant information, since all respondents had other responsibilities so it was hard to make appropriate schedules for proper information gathering. In addressing this problem, the researcher sought the help of research assistants in order to attend to simultaneous interview time schedules.

The researcher was constrained by financial limitations since there were many items to purchase. In trying to address this problem, the researcher solicited for sponsorship and donations to cover the costs.

The study was limited by the reluctance of some respondents in providing information which they deemed to be sensitive, due to suspicion. Here, the researcher tried to inspire confidence by explaining the reasons for carrying out the research and also assured them that the information provided would be used for academic purposes only.

Therefore, despite the above challenges, the researcher made efforts to adequately address them and is thus sure that the findings of the study were not compromised in any way, and that the outcome reflects the majority view of the entire population.

Conclusion

The methodology spells out the logical way in which the data was gathered in the field, organized, analyzed and presented. The study was in form of a case study, with the population constituted of the staff of the records and archive management section and the information management unit of Kyambogo University. A sample of 60 respondents was used in the study, selected using purposive sampling. Data was collected using questionnaires and interviews, the data was measured for reliability and authenticity, and was analyzed using

Microsoft Excel program and SPSS 16, while making the various ethical considerations, and addressing the various limitations that were faced during the study.

CHAPTER FOUR

DATA PRESENTATION, INTERPRETATION AND ANALYSIS

4.0 Introduction

This chapter is a presentation, interpretation and discussion of the data collected from the field on the role of records management on institutional performance. Efforts were taken to sort and present findings based on study objectives. However, for more systematic presentation and discussions, the first section points to the demographic characteristics. The results are analyzed in form of frequency counts and percentages and presented in tables, charts and graphs as follows;

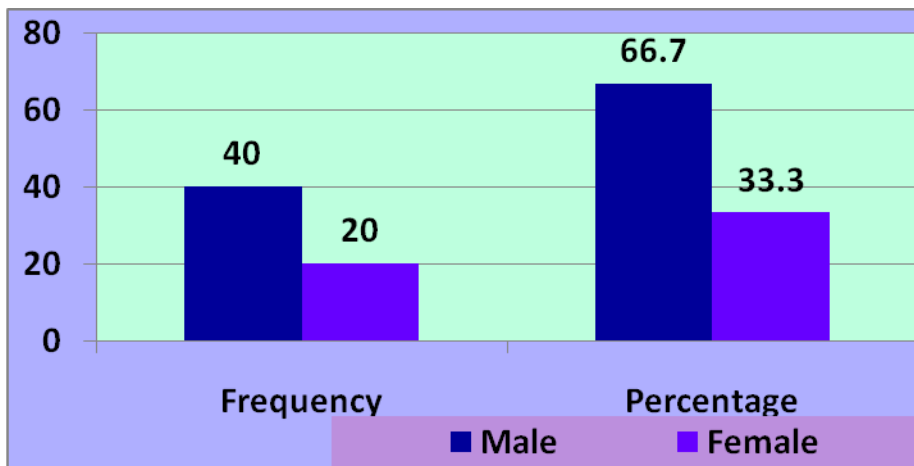
4.1 Characteristics or profiles of Respondents

This presents the categorization of respondents on aspects such as gender, age and education levels of respondents, in their respective frequencies and percentages. The findings are shown as follows;

4.1.1 Respondents' gender

The study covered 60 respondents purposively and randomly selected from among the employees of Kyambogo University. Of all the respondents involved in this study, 40 were males (which represented 67%) and 20 females (which represented 33%). This implied that there were more males willing to participate in the study than females in the selected departments, which signifies the paternalistic society in Uganda.

Figure 4.1: Gender of respondents

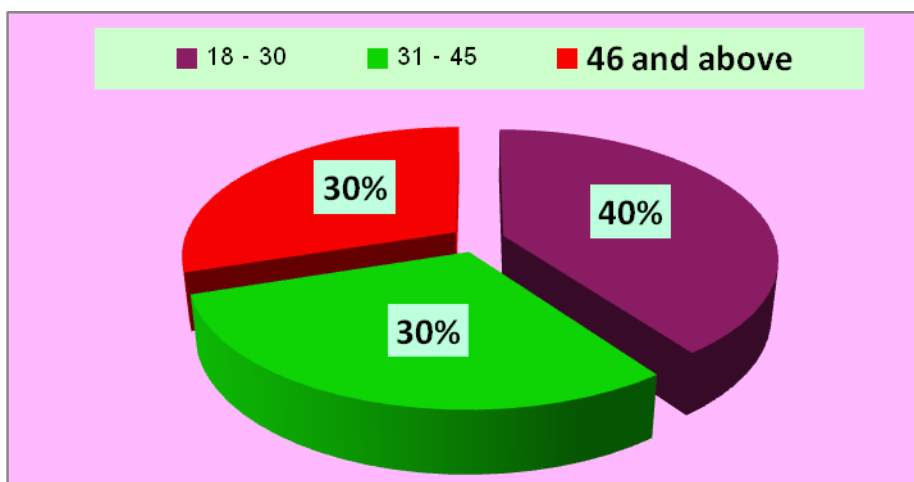


Source: Primary data, 2015

4.1.2 Respondents' age categories

The age categories of the respondents were divided into three groups as follows; 24 respondents (representing 40%) were aged 18 - 30 years old. 18 respondents were aged 31 – 45 years old (representing 30%), and the remaining 18 respondents (representing 30%) were those aged 46yrs and above. This ensured that the information obtained was generated from views of all age groups and not just one group.

Figure 4.2: Age categorization of respondents

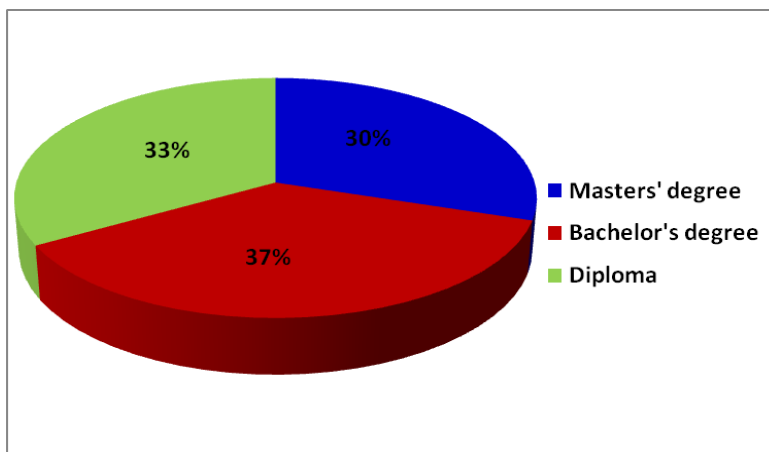


Source: Primary data, 2015

4.1.3 Education levels of Respondents

Also, from the information obtained in the field, most of the people involved in the study were well educated. Among the respondents, 18 respondents were Masters' degree holders (representing 30%). 22 respondents (representing 37%) were Bachelor's degree holders, 20 respondents (representing 33%) were Diploma holders. This indicates that respondents were drawn from all educational backgrounds.

Figure 4.3: Education levels of respondents

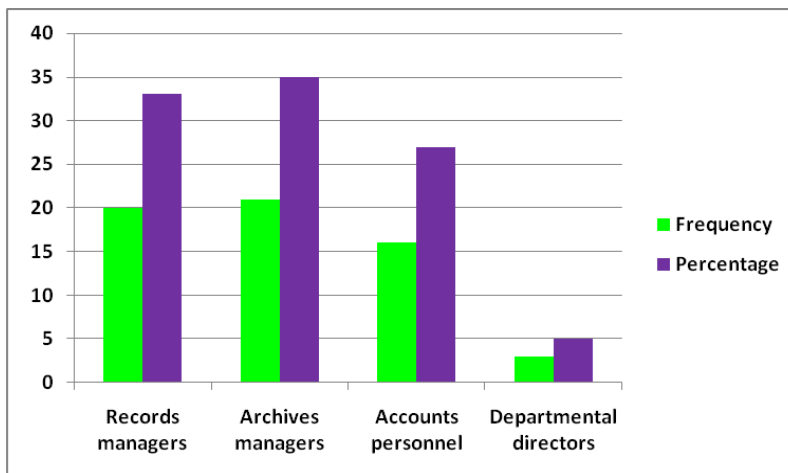


Source: Primary data, 2015

4.1.4 Designation of respondents

The study also established the positions or designation of the various respondents, and here, out of the 60 respondents involved in the study, 20 (33%) were records managers, 21 respondents (35%) were archives managers, 16 (27%) were accounts personnel and 3 respondents (5%) were departmental directors. This implied that respondents were selected from various departments, thus giving a wide range of opinions from various departments.

Figure 4.4: Designation of respondents

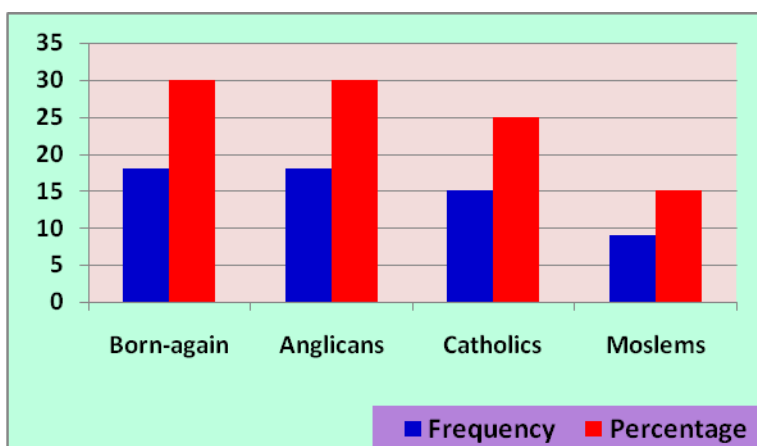


Source: Primary data, 2015

4.1.5 Respondents' religious affiliation

According to the findings of the study, respondents had various religious backgrounds. 18 respondents (30%) were born-again Christians, 18 respondents (30%) were Anglicans (Protestants), 15 respondents (25%) were Catholics and 9 respondents (15%) were Moslems. This indicates that the employment policy in Kyambogo University was not segregative of any religious affiliation.

Figure 4.5: Religious affiliation of respondents

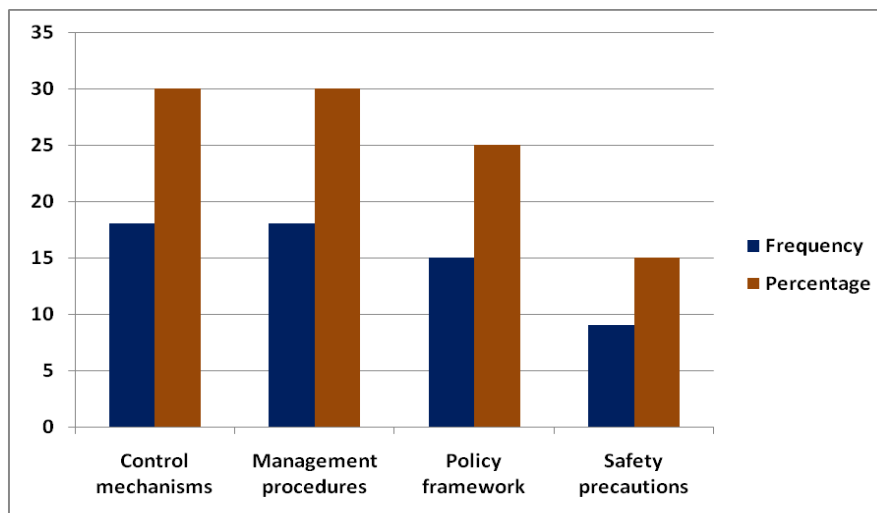


Source: Primary data, 2015

4.2 Mechanisms of effective records management

The first specific objective in the study was to examine the various mechanisms used to ensure effective record management. And to achieve this objective, respondents were asked to mention some of the procedures followed in the various mechanisms used to ensure effective record management in Kyambogo University. Their responses are presented as follows;

Figure 4.6: Mechanisms of effective records management



Source: Primary data, 2015

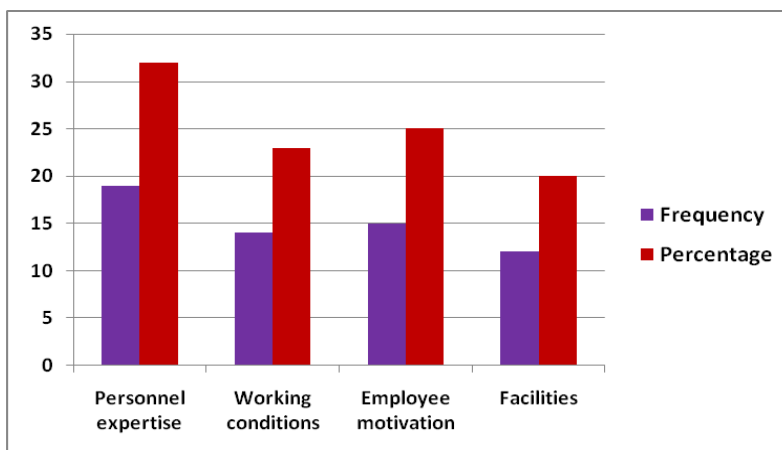
From the information presented in the figure 6 above, when asked about the mechanisms used to ensure effective record management in Kyambogo University, respondents had various responses. Of all the 60 respondents, 18 (30%) of the respondents said that there were records control mechanisms such as orderly filing and arrangement that enabled effective management of the records in place. 18 (30%) of the respondents said that there were records management procedures such as access and retrieval authorization procedures to streamline the management and access to the records. 15 (25%) of the respondents said that there were records policy framework, which specified what type of records are to be filed, in what form

and at what time, which eased the process of record management. And 9 (15%) of the respondents said that there were safety precautions in place such as access controls, locking mechanisms for manual/paper records as well as firewalls and access codes for electronic records, which ensured safety of the records on file. These findings are in line with the writings of Cook (1999) who said that there are certain standards that should be followed in managing records, arguing that good record management begins with establishing policies, procedures and priorities before records are even created. Wamukoya (2007) also stipulated that records management constitute a form of management policy which ensures that records are part of a system in which information flows logically and systematically within the organization satisfying the needs of creators, users and custodians.

4.3 Determinants of institutional performance

The second specific objective in the study was to examine the various determinants of institutional performance in Kyambogo University. And to achieve this objective, respondents were asked to mention some of the various determinants of institutional performance in Kyambogo University. Their responses are presented as follows;

Figure 4.7: Determinants of institutional performance



Source: Primary data, 2015

The information presented in figure 4.7 above shows that when asked about the various determinants of institutional performance in Kyambogo University, of all the 60 respondents involved in the study, 19 respondents (32%) said that personnel expertise and experience on the job was one of the major determinants of institutional performance, as it ensured effective job performance in individual departments, thus leading to high overall performance at institutional level. 14 respondents (23%) said that the conditions in the working environment such as working hours, training, monitoring and evaluation, among others, was also another major factor that determines institutional performance. 15 respondents (25%) said that the level of employee motivation, in terms of wages and salaries, non-monetary rewards and benefits, job security among others, was also a major factor that determines the performance of the institution. Also, 12 respondents (20%) said that the facilities and materials availability was another determinant of performance in the institution, given the fact that if these facilities enable the employees to do their jobs effectively. These findings are further illustrated by Wamukoya (2007), who pointed out that bad records management is compounded by a number of factors such as the lack of national policy on record management, lack of record management standards, lack of records management guides/ manuals and lack of trained staff in records management who should provide guidance or assistance to institutions. He (Wamukoya, 2007) added that as the quality of the information improves the probability of making a good decision increases. Information must be made available to the decision maker when it is needed and in a required and useful format.

4.4 Relationship between records management and institutional performance

The third and last specific objective in the study was to examine the relationship between records management and institutional performance. And to achieve this objective, Pearson's

correlation was used to test the relationship between the variables. Results are presented as follows;

4.4.1 The relationship between variables using Pearson’s Correlation

Table 4.1: shows Pearson’s correlation on the relationship between variables

Correlation between records management and institutional performance	1	2	3	4
Performance monitoring (1)	1			
Budget forecasting (2)	.396	1		
Policy formulation (3)	.399	.474	1	
Minimal wastages (4)	.616**	.673	.650**	1

** Correlation is significant at the 0.01 level (2-tailed).

Source: Primary Data, 2015

The results in table 4.1 above show a positive relationship between records management and institutional performance ($r = 0.616$, P-value <0.01). It shows a positive relationship between records management and performance monitoring ($r = 0.474$, P-value <0.01), a positive relationship between records management and budget forecasting ($r = 0.396$, P-value <0.01), a positive relationship between records management and policy formulation ($r = 0.673$, P-value <0.01), and a positive relationship between records management and minimal wastages ($r = 0.650$, P-value <0.01), all of which enhance institutional performance.

4.5 Regression Model

To further confirm the relationships obtained in the relationship analysis using Pearson correlation given in Table 4.1, the researcher carried out a regression analysis not only to

determine the relationships between the variables, but also predict the influence/effect of one variable on another.

4.5.1 Model Fit for records management and institutional performance

The regression fit model analysis results used to determine the degree to which records management influences institutional performance is given in Table 4.2

Table 4.2: Regression model Analysis for records management and institutional performance

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate	Change Statistics				
					R Square Change	F Change	df1	df2	Sig. F Change
1	.793(a)	.763	.777	.178	.263	44.632	1	115	.000

Source: Primary Data, 2015

Table 4.2 provides the value of adjusted R^2 for the model that has been derived for how records management influences institutional performance for these data. This value represents a simple correlation between records management influences institutional performance. This finding confirms the findings obtained in Table 4.1. This study, therefore, established that records management influences institutional performance. This means that institutional performance is based on performance monitoring, budget forecasting, policy formulation and minimization of wastage, which are all elements of effective records management. The value of adjusted R^2 (0.777), shows that records management accounts for about 77.7% of the variation in institutional performance.

CHAPTER FIVE

SUMMARY OF FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

5.0 Introduction

This chapter gives a presentation of the summary of the major findings in the study, the conclusions reached, as well as the recommendations made by the researcher.

5.1 Summary of findings

The study was aimed at examining the role of records management on institutional performance, with specific reference to Kyambogo University as the case study.

5.1.1 Summary of findings on demographic characteristics of respondents

The findings showed that 66.7% of the respondents were males and 33.3% were females. The age categories of the respondents were divided into three groups and here; 24 respondents (40%) were aged 18 - 30 yrs old, 18 respondents were aged 31 – 45 years old (30%), and the remaining 18 respondents (30%) were those aged 46yrs and above. Regarding education levels, 18 respondents (30%) were Masters' degree holders. 22 respondents (36.7%) were Bachelor's degree holders, and 20 respondents (33.3%) were Diploma holders. On the positions or designation of the respondents, 33% of the respondents were records managers, 35% were archives managers, 27% were accounts personnel and 5% were departmental directors. The religious affiliation of respondents was such that 18 respondents (30%) were born-again Christians, 18 respondents (30%) were Catholics, 15 respondents (25%) were Anglicans (Protestants) and 9 respondents (15%) were Moslems.

5.1.2 Summary of findings on the mechanisms of effective records management

The findings of the study revealed that 30% of the respondents said that there were records control mechanisms such as orderly filing and arrangement that enabled effective

management of the records in place, 30% of the respondents said that there were records management procedures such as access and retrieval authorization procedures to streamline the management and access to the records, 25% of the respondents said that there were records policy framework, which specified what type of records are to be filed, in what form and at what time, which eased the process of record management, and 15% of the respondents said that there were safety precautions in place such as access controls, locking mechanisms for manual/paper records as well as firewalls and access codes for electronic records, which ensured safety of the records on file.

5.1.3 Summary of findings on the determinants of institutional performance

The findings of the study revealed that 32% of the respondents said that personnel expertise and experience on the job was one of the major determinants of institutional performance, as it ensured effective job performance in individual departments, thus leading to high overall performance at institutional level; 23% said that the conditions in the working environment such as working hours, training, monitoring and evaluation, among others, was also another major factor that determines institutional performance; 25% said that the level of employee motivation, in terms of wages and salaries, non-monetary rewards and benefits, job security among others, was also a major factor that determines the performance of the institution; and 20% said that the facilities and materials availability was another determinant of performance in the institution, given the fact that if these facilities enable the employees to do their jobs effectively.

5.1.4 Summary of findings on the relationship between records management and institutional performance

The findings of the study showed a positive relationship between records management and institutional performance ($r = 0.616$, $P\text{-value} < 0.01$). It shows a positive relationship between

records management and performance monitoring ($r = 0.474$, P-value <0.01), a positive relationship between records management and budget forecasting ($r = 0.396$, P-value <0.01), a positive relationship between records management and policy formulation ($r = 0.673$, P-value <0.01), and a positive relationship between records management and minimal wastages ($r = 0.650$, P-value <0.01), all of which enhance institutional performance. The value of adjusted R^2 represents a simple correlation between records management influences institutional performance. This study, therefore, established that records management influences institutional performance. This means that institutional performance is based on performance monitoring, budget forecasting, policy formulation and minimization of wastage, which are all elements of effective records management. The value of adjusted R^2 (0.777), shows that records management accounts for about 77.7% of the variation in institutional performance.

5.2 Conclusions

From the study findings presented, analyzed and interpretation in chapter four, summarized and discussed in chapter five, the researcher drew a conclusion that there were various mechanisms used to ensure effective record management in institutions, that there are various factors that determine institutional performance. It was also concluded that there was a relationship between record management and institutional performance since records management helps in proper monitoring of financial performance within the institution, enables the institution to make effective and accurate budgetary forecasts, directs the policy formulation procedures in the institution through evaluating the records of past performance, and also help in the institution of measures to reduce on the amount of wastage of resources in the institution, which improves performance.

5.3 Recommendations

Based on the various findings uncovered in the study and the conclusions reached, the researcher made various recommendations, which he believes that if properly considered, they can guide all stakeholders in better understanding of the aspects of records management and institutional performance;

There is need for the management of the University to procure and install effective firewalls to ensure that the institution's records are well secured. Also, there should be secure access procedures for everyone accessing the records.

There is also need for training of records and archives personnel in the modern records management procedures. This will ensure that the records and archives personnel are familiarized with the new methods so as to ease their work and improve on the management process as a whole.

5.4 Areas for further research

In the view of limited scope and limitations of the study, the researcher found out that there are other areas that need more attention. Further research should also be directed towards examining performance measures such as employee evaluation on the overall performance of the institution.

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APPENDICES

APPENDIX I

Questionnaires for selected respondents

Dear Respondent,

My name is Kwesiga Jonathan, a student of Uganda Martyrs' University; am conducting a study on records management and institutional performance, as a partial fulfillment of the requirements for the award of a Bachelor of Business Administration of Uganda Martyrs' University. I request you to participate in this study by answering this questionnaire. Your contribution, opinions and experience are highly appreciated, and the information you provide shall be used for academic purposes only, and will be handled with utmost confidentiality.

Thanks for your cooperation.

1. Gender

Male

Female

2. Age in years

20 – 24

25 – 29

30 – 34

35 – 39

40 - above

3. The highest academic level

Masters Degree

Bachelor's degree

Diploma

Others-----

4. Designation

Records manager

Archives manager

Accounts personnel

Departmental director

Other, please specify.....

5. Do you understand what is meant by records management?

Yes

No

6. What types of records do you keep in your organization?

Financial records

Student academic records

Personnel records

Performance records

Other, please specify.....

7. What forms of record management do you have in place?

- Electronic record management
- Manual/paper record management

8. Of what use is record management to your organization?

- Helps in monitoring financial performance
- Helps in budgeting forecasts
- Helps in policy formulation
- Helps in minimizing wastages
- Other, please specify.....

9. Do you face any challenges in record management?

- Yes
- No

10. If yes, what are these challenges?

- Limited capacity to maintain huge volume of records
- Misplacement or loss of records especially paper records
- Vulnerability to damage or loss
- Inadequate handling capacity
- Electronic theft (hacking)
- Other, please specify.....

11. How do you address the above challenges?

- Replacing manual records with electronic record management
- Building and maintaining firewalls

- Increasing records management personnel
- Other, please specify.....

12. Do you have any performance measures in your institution?

- Yes
- No

13. What are the determinants of performance in your institution?

- Personnel expertise
- Conducive working environment
- Employee motivation
- Adequate facilitation and materials

14. Is there any relationship between records management and performance in your institution?

- Yes
- No

15. If yes, what is the relationship?

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APPENDIX II

Interview Guide

1. What is your designation?
2. Do you understand what is meant by records management?
3. What types of records do you keep in your organization?
4. What forms of record management do you have in place?
5. Of what use is record management to your organization?
6. Do you face any challenges in record management?
7. If yes, what are these challenges?
8. How do you address the above challenges?
9. Do you have any performance measures in your institution?
10. What are the determinants of performance in your institution?
11. Is there any relationship between records management and performance in your institution?
12. If yes, what is the relationship?

APPENDIX III

Proposed budget for proposal and report writing

ITEM	QUANTITY	RATE	TOTAL COST
Stationery items			53,000/=
Transport	-	-	570,000/=
Research Assistants	6	20,000/=	120,000/=
Dissertation typing, printing and binding	4	40,000/=	160,000/=
Miscellaneous	-	50,000/=	50,000/=
TOTAL			953,000/=

APPENDIX IV

Time Frame/Work plan

TIME FRAME FOR RESEARCH REPORT	
DURATION	ACTIVITY
May 2014	Proposal writing and presentation (Literature and methodology)
June 2014	Data collection
June – July 2014	Data editing and coding
July – August 2014	Data analysis and presentation
September 2014	Report writing and submission