



**RECORDS MANAGEMENT FOR AN INTELLIGENT UNIVERSITY: THE CASE OF
THE UNIVERSITY OF THE WESTERN CAPE**

BY

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ABSTRACT

Universities face complex changes such as mergers; new competitors; socio-economic; political and technological changes. In order to survive and preserve competitive advantage, the university has to adapt to such changes. The University of the Western Cape has been through many changes since its establishment to its current status as a culturally diverse autonomous institution with a mission statement that reflects its ability to respond and adapt to change.

Universities that can adapt to changes are considered to be intelligent. Intelligent universities adapt to changing and unpredictable environments by organizing all information resources; transforming information to knowledge; and using this knowledge to enhance performance. Records are an information resource. They contain evidence of business activities of an organization, their management therefore is important. This study was undertaken to add knowledge and insight into records management in the intelligent university by investigating whether records management contributes to making the University of the Western Cape intelligent.

Records management is a function within an organization, hence the researcher's choice of the functionalist theory to frame this exploratory qualitative case study. Secondary sources, semi structured interviews; and electronic questionnaires were used to collect data from purposively selected participants. The data was imported and analysed on a qualitative data analysis software Atlas.ti7, version 7.5.10. The findings of the study showed that records management as a function was not used optimally by the university due to limited knowledge and awareness of its existence; as well as other services it offers. Records management therefore does not contribute to making the University of the Western Cape intelligent. Marketing, training, strategic placement of the records management function on the university organizational structure, integration with other components, implementation of electronic records management and a records management model for the intelligent university were recommended to address short-comings.

This study adds more knowledge on records management in the intelligent university and brings to light the importance of the records management function; highlights how university records can be used for competitive advantage as well as decision-making; and aids in developing a records management model for an intelligent university. A large scale national study in other institutions of higher learning to provide a clearer picture of whether records management plays a role in making South African universities intelligent is recommended.

KEYWORDS: information management; intelligent organization; intelligent university; organizational intelligence; records; records management; universities; University of the Western Cape.

DECLARATION

I declare that “Records Management for an intelligent university: the case of the University of the Western Cape” is my own work, that it has not been submitted before for any degree or examination to any other university, and that all the sources I have used have been indicated and acknowledged as complete references.

Nikiwe Gloria Momoti



.....
Date: 8/8/2017



DEDICATION

This study is dedicated to my late father Gallant Mvuyo Momoti, who instilled the love of reading and life-long learning. A special dedication goes to my mother Nolundi Olga Momoti whose resilience is immeasurable. Your unwavering support is much appreciated Nozulu!

The study is also dedicated to information practitioners, namely Librarians, Archivist and Records Managers for their commitment to the profession despite challenges.



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- the Western Cape Department of Cultural Affairs and Sport for allowing me to finalize this study.

To participants, without you this dream would never have been realized, thank you.

Last but not least, the Lord God almighty, thank you for your Grace.

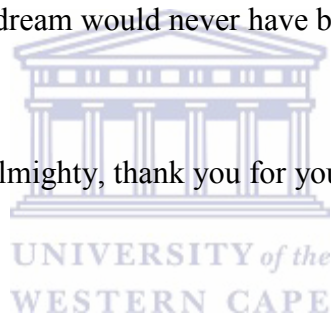


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LIST OF ABBREVIATIONS

ARMC	Archives and Records Management Committee
CRO	Central Records Office
DRAMS	Documents, Records and Archives Management Services
JISC	Joint Information Systems Committee
MLIS	Master in Library and Information Science
PAIA	Promotion of Access to Information Act
PLAAS	Institute for Poverty, Land and Agrarian Studies
POPIA	Protection of Personal Information Act
RM	Records Management
RMCC	Records Management Coordinating Committee
UK	United Kingdom
UWC	University of the Western Cape



CHAPTER 1

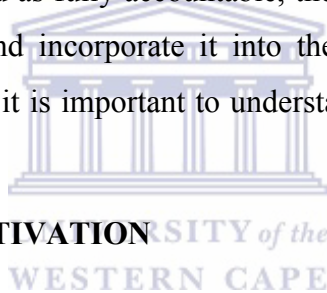
INTRODUCTION TO THE STUDY

1.1 INTRODUCTION

The purpose of this study was to investigate whether records management contributes to making the University of the Western Cape intelligent. This chapter provides the background and motivation of the study; an overview of the research site; the problem statement; research questions; theoretical framework; research design; data gathering and analysis methodologies. The scope and limitations of the study, definitions of key terms, ethical principles and an outline of chapters are also provided in this chapter.

Universities, like other organizations, face complex challenges such as mergers, new forms of competition; changes in management; changing economic climate; changes in funding; legislation as well as new forms of technology. Education in fact, is entirely about change, about drawing things out of people and creating generations of the future (Hargreaves and Fullan 2009: 5). Change however, does not always come without a struggle or resistance because it is a difficult process, nonetheless, universities like other organizations have to be skilled to dynamically adapt to sudden external changes in order to survive, gain and preserve competitive advantage (Bratianu, Vasilache and Jianu 2006: 71). In addition, Trompenaars and Prud'homme (2004: 6) posited that in order to survive and prosper, organizations must change and adapt at least as fast as their environment is changing because in some instances, change is brought about by influences of a constantly changing external environment. Organizations that adapt to change are considered as intelligent. Intelligent organizations, explained Schwaninger (2001: 138), are the ones that have developed the capability to adapt to changing and unpredictable environments; can influence and shape the environment. In support, Shattock (2003: 27) stated that the most successful universities are among those that have adapted best to the new environment. It is vital therefore that universities become intelligent in order to deal with the many diverse and simultaneous challenges (Pinchot and Pinchot 2014).

In order to be intelligent, organisations amongst other things are using information to expand and maintain competitive advantage (Kruger 2010: 2). In support, Staskeviciute-Butiene, Neverauskas and Ciutene (2006: 63) explained that the first step toward people making intelligent choices is widespread sharing of information. Choo (2002: xiii) posited that information is the organization's strategic meta-resource that coordinates the mobilization of other assets in order for the organization to perform. He further stated that an intelligent organization is an organization that is skilled at marshalling its information resources and information capabilities, transforming information into knowledge and using this knowledge to sustain and enhance its performance in a restless environment. Furthermore stated Penn, Pennix and Coulson (1994: xi), the information resources must be managed effectively to be of value. Organizational records are such information resources. They bear evidence of internal and external activities of an organization and are important resources for decision-making, good governance and research. McCaskie (1999: 79) explained that if a decision-making process is to be perceived as fully accountable, the possessor of this knowledge will be obliged to document fully and incorporate it into the corporate memory as part of a corporate record. In this context, it is important to understand the factors that motivated this study.



1.2 BACKGROUND AND MOTIVATION

Staskeviciute-Butiene (2009b: 110) stated that universities encounter the challenge of balancing the needs of state policy and national economy in order to compete in the global economy and therefore must become intelligent. In order to become intelligent, she stated, the university must use the intelligence of all its members so as to be able to react to changes flexibly. Jansen (2009: 328) explained however, that institutions do not change as quickly as the environments around them. This does not seem to be the case with the University of the Western Cape, as explained in the following section.

1.2.1 The research site: University of the Western Cape

The University of the Western Cape in Bellville, South Africa, has been through many changes since its establishment as a University College for “Coloureds” in 1959. The university started as a “bush college”, a university college without autonomy under the auspices of the University of South Africa. It gained university status in the 1970s; went through the political turbulence of the 1970s and 1980s; and went through processes of transformation as part of the transformation of the South African political, socio-economic

and education landscape. The university is now an autonomous institution for all races and is challenged to demonstrate that it is capable of competing with the best and of playing a prominent role in the intellectual, social and economic life of the nation (University of the Western Cape 2016: 6).

Responding and adapting to change are embedded in the university's mission statement which states that:

the University of the Western Cape is a national university, alert to the African and international context as it strives to be a place of quality, a place to grow. It is committed to excellence in teaching, learning and research, to nurturing the cultural diversity of South Africa, and to responding in critical and creative ways to the needs of a society in transition. Drawing on its proud experience in the liberation struggle, the university is aware of a distinctive academic role in helping build an equitable and dynamic society (University of the Western Cape 2016: 2).

The mission statement qualifies the University of the Western Cape to aspire to be an intelligent university since it is aware of its environment; has adapted to changes and is influencing the environment. Intelligence involves observing the environment; collecting internal and external information; learning; making strategic decisions and coordinating processes occurring in the organization for the effectiveness of activities. In an intelligent organization, the main attention is paid to the relation of the organization with its environment, that is, when the environment changes, the organization reacts to it and adapts to the environmental changes (Staskeviciute-Butiene 2009a: 10).

Chinyemba and Ngulube (2005) stated that although change brings uncertainty, organizational records make decision-making during uncertainty possible. Furthermore, they state that changes that are not informed by reliable information are likely to be unsustainable, unjustifiable or lacking transparency. Dearnstyne (2008: 2) defined records as evidence of what the organization does, that is, its business activities and transactions. The importance of managing these records is stressed by Choo (2002: 206) who stated that a well-integrated archival and records management programme will enable the organization to create and preserve corporate memory and learn from its history. The importance of records as sources of information for administrative, academic, research activities and competitive advantage therefore cannot be over-emphasized.

At face value, the University of the Western Cape does seem to manage records well. The university has a Records Management section within the Documents, Records and Archives Management Services (DRAMS) department. DRAMS was formally established in 2008 with the appointment of the Archivist and Records Manager. The department is composed of the University Archives and the Central Records Office. The latter is responsible for management of documents, current and semi-current records; training university staff on records management practices; and providing access to university information to internal and external users according to the Promotion of Access to Information Act, (Act No.2 of 2000) and Protection of Personal Information Act, (Act No.4 of 2013). A DRAMS policy was approved in 2009 to entrench and standardize records management within the university. An Archives and Records Management Committee, chaired by the Registrar oversees DRAMS activities and recommends approval of DRAMS operational tools such as File Plan, Procedure Manuals and Records Retention Schedules. Due to awareness of records management practices through training programmes, there has been a steady flow of semi-current records from offices of origin to the Central Records Office and the records are consulted regularly by the offices of origin for operational matters relating to those offices (UWC Central Records Office Statistics, 2014) In support, Franks (2013) explains that training programmes for employees helps them carry out records management responsibilities to reduce organizational risk.

Staskeviciute-Butiene (2009b: 116) posited that in the development of an intelligent university, it is necessary to evaluate the independent internal components and their contribution. This study therefore investigated whether records management as one of the university's components contributes to making the University of the Western Cape intelligent. Hoping thus, to adding more knowledge to the existing body of knowledge in university records management. The study provides new conceptual insights such as the intelligent university and records management for an intelligent university.

1.3 CONCEPT OF THE INTELLIGENT UNIVERSITY

The intelligent university concept is fairly new and has been recently introduced by Staskeviciute-Butiene (2008; 2009) therefore not much is written about it. The intelligent university is defined as an organization that is skilled at creating, acquiring and transferring knowledge (Staskeviciute-Butiene (2009b: 111) and using it for competitive advantage (Halal 1998: 1). Pinchot and Pinchot (1994: 3) and Staskeviciute-Butiene (2009b: 116) pointed out

that when developing an intelligent organization, it is necessary to know the intelligence of each component. The focus in the intelligent university however, is not on just knowing the intelligence of components, but on the integration of all the university's intelligence. The integration results in the effectiveness of university activities and its ability to react to changes flexibly (Staskeviciute-Butiene 2009b: 112). The benefits of integration of intelligence according to Bratianu, Vasilache and Jianu (2006: 71) are that it creates synergy and increases the intellectual capacity. Quesado (2011: 1) in support, stated that the purpose of an intelligent university is to focus on the participation and development of new competences on a collaborative basis as well as involving workers in management processes; motivating them; creating the sense of community; providing freedom in decision making; innovations, learning and knowledge creation.

In the university, competition among individuals is common; this poses a threat to integration of intelligence. In order for the university to become intelligent however, individuals are encouraged to form teams or workgroups to create knowledge, use it and learn from each other for the benefit of the institution. Choo (2002: 2), Liebowitz (2000: 8) and Staskeviciute-Butiene (2009b: 111) in support, pointed out that learning is the key to intelligent organizational behaviour in a fast changing environment. Learning increases knowledge. Universities are all about knowledge posited Jones (2002: 74) and the key to the future lies in their capacity to produce, process, use and exploit knowledge. The knowledge created by the different teams or groups within the university is integrated to become organizational intelligence which enables the university to effectively adapt and respond to the sudden environmental changes and needs. Turbulent environments and the ability of the university to adapt to them has become the way of survival for many organizations, including universities.

One of the environmental changes affecting the university is the knowledge economy which has moved the university from being a service oriented institution to a driver of economic growth realized with the recognition of knowledge and innovation as key drivers of economic growth. Faust (2010: 1) highlighted that universities contributed nearly sixty billions of pounds to the economy of the United Kingdom in 2007-2008. Collaborative creation and sharing of knowledge is therefore important in an intelligent university. The intelligent university plays a major role in the knowledge society and is characterized by collaboration and synergy between work teams for a common goal, which is to adapt to changing environments. Staskeviciute-Butiene and Neverauskas (2008: 54) stated that in addition to internal collaboration and synergy, the intelligent university is open to the external

environment, collaborates with business structures, cooperates with society, and responds to its needs thus creating a knowledge society. One essential component of knowledge created within the university is in the form of records under the auspices of the records management component.

1.4 THEORETICAL FRAMEWORK OF THE STUDY

Records management is an administrative function within universities, hence the researcher's choice of functionalism as a theoretical framework of the study. Chapter 3 of this study gives more insight into functionalism. Functionalism was considered the best theoretical framework for this study since it considers each component of an organization a function which is important for productivity and stability of that organization that can adapt to changes in the environment. Moreover, functionalism has not only been used as a theoretical framework but also as a data collection and interpretation method (Turner and Maryanski 1979: 59; Merton 1967: 9). Functionalism has therefore been used to guide, frame, collect, and interpret data in this study which investigates the intelligent university concept with specific reference to the University of the Western Cape. The study investigates what records management is, its purpose, its function is within the University of the Western Cape, whether it fulfils that function and plays a role in making UWC intelligent.

1.5 RESEARCH PROBLEM

The findings of the reviewed literature showed that records management programmes in universities are neither considered important nor valuable for governance, accountability, decision-making or intelligence. Records management is a young discipline. (Webster 1999: 28) explains that because of its relative youth and modest achievements, research and funding councils are reluctant to provide significant funding for records management research. Webster's premise is evident in the scant research on Records Management in South African universities. The findings of the reviewed literature, coupled with the scant body of literature on records management in universities motivated further research to be conducted. It is this background that motivated this study to investigate whether records management contributes to making the University of the Western Cape intelligent by asking some research questions.

1.6 RESEARCH QUESTIONS

To answer the research problem and fulfil the objectives of the study, the following research questions and sub-questions were asked:

- a) Is UWC an intelligent university?
 - i. what are the aspects that contribute to or impede on the development of UWC as an intelligent university?
- b) Is records management known at UWC and what is its role in the context of an intelligent university?
 - i. How does records management help UWC to be intelligent?
 - ii. Why should records management be used to make UWC intelligent?
 - iii. What are the processes that drive the records management cycle at UWC?
 - iv. How can UWC manage records management processes better?
- c) Does the records management unit work closely with other UWC units?
- d) How can a records management department and its relationship with other internal and external information stakeholders be used to develop a records management model for an intelligent university?



1.7 RESEARCH OBJECTIVES

The research objectives of the study were:

- 1.6.1 to determine whether the records management function was known and understood at UWC;
- 1.6.2 to investigate institutional perceptions to determine whether the records management function worked closely with other departments;
- 1.6.3 determine whether records were accessed and used for decision-making and research thus contributing to the intelligent university and
- 1.6.4 develop a records management model for an intelligent university

The research questions, sub-questions and research objectives guided the research design and methodology discussed in Chapter 4 of this study.

1.8 RESEARCH DESIGN AND METHODOLOGY

The study was a qualitative exploratory case study conducted at the University of the Western Cape. Rule and John (2011: 8) pointed out that an exploratory case study examines a phenomenon that has not been investigated before; lays the basis of further studies; provides new insights and generates new theory. Bless and Higson-Smith (1995: 42) explained that the

purpose of exploratory research is to gain insight into a situation, phenomenon or person due to lack of basic information on a new area of interest. Since the concept of records management for an intelligent university is new, coupled with this study's intention to develop an applicable model, the exploratory case study research design was found suitable for this study.

1.9 DATA GATHERING METHODOLOGY

The study investigated a new phenomenon with a scant body of literature, moreover, the study was conducted during the #feesmustfall of 2015 and respondents were either unavailable or afraid to participate. For this reason, the researcher decided to use triangulation to gather data by distributing questionnaires via e-mails; by conducting one on one interviews and by analysing documents.

1.10 DATA MANAGEMENT AND ANALYSIS

ATLAS.ti version 7 and Microsoft Excel were used to capture, manage and analyse data. ATLAS.ti was selected because it is already used for qualitative data analysis at UWC, moreover it is suitable to analyse any type of text. Data was coded according to the main themes of the questionnaire as soon as it was collected. The questionnaire data was converted into an Excel spreadsheet, imported on ATLAS.ti and analysed according to responses to themes. Secondary documents such as circulation registers were analysed manually to validate some responses.

1.11 SCOPE AND DELIMITATIONS OF THE STUDY

The research focused on print and electronic records management at the University of the Western Cape, Bellville. The management of other information resources other than records, such as archival material and books were excluded from the research.

1.12 SIGNIFICANCE OF THE STUDY

Records management is a crucial administrative function in universities because of its role of managing and providing access to organizational records. The literature survey of this study showed that not much has been written about the important role played by records management in universities. This study therefore investigated the phenomenon of records management in universities; brought to light the function of records management within a university; how a records management function could contribute to putting the university at a

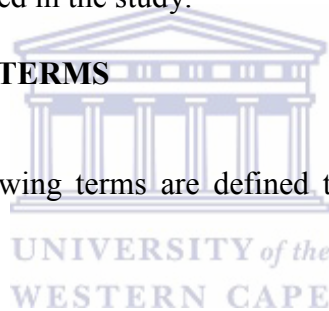
competitive advantage and enable it to be intelligent. This attempt will hopefully draw attention to the strategic importance of records management in universities to encourage decision-makers to implement such a programme where there is none; decision makers to realize the return on investment since the function contributes positively to the university; and develop a records management model for an intelligent university.

1.13 ETHICAL CONSIDERATIONS

The researcher abided to the ethical rules of UWC throughout the conduct of the study. Consent to conduct the research was obtained from the University of the Western Cape authorities prior to commencement of the research (See Appendix D). Laws, legislation and policies pertaining to access to and protection of information were adhered to. Privacy and confidentiality of participants were respected. Participant's permission was requested before collection of data was done (See Appendix E). Section 4.8 of the study elaborates further on the ethical considerations employed in the study.

1.14 DEFINITION OF KEY TERMS

To prevent uncertainty the following terms are defined to clarify meaning as used in the thesis:



1.14.1 Record

Iwhiwhu (2005: 345) defined a record as information essential in decision making, planning, operations, and assessment of results and projecting for the future. Popoola (2009: 205) on the other hand, defined records as information captured and stored or documented in a permanent medium. Records are by-products of business transactions of the university systems and serve as its corporate memory (Chinyemba and Ngulube 2005 and Popoola 2009). On the other hand, Coetzer (2012: 3) stated that records can either be electronic (e.g. emails, internet content, documents, databases, digitally recorded images) or physical/printed (any information that is paper-based).

1.14.2 Records management

Records management is the capturing and maintaining of accurate, complete, reliable and useable documentation of activities of an organization in order to meet legal, evidential,

accountability and social/cultural requirements (Chinyemba and Ngulube 2005). Records management according to Coetzer (2012: 5) aims at underpinning an organization's efficiency, effectiveness and good governance.

1.14.3 Intelligent organization

Intelligent organizations are the ones which have developed the capability to continuously adapt to changing and unpredictable environments. They are learning organizations in which the human capital, including the individual intelligence, has been integrated into a new cognitive structure at the organization level (Bratianu, Vasilache and Jianu 2006: 72). Choo (2002: 9) described the intelligent organization as an organization that manages and coordinates information and intellect to meet customer needs.

1.14.4 Intelligent university

The intelligent university is defined as an organization that is skilled at creating, acquiring and transferring knowledge (Staskeviciute-Butiene (2009b: 111) and using it for competitive advantage (Halal 1998: 1). Staskeviciute-Butiene (2009b: 116) argued further that when developing an intelligent university, it is necessary to know the intelligence of each component for the university to adapt easily to abrupt changes in the environment.

1.14.5 Organizational intelligence

According to Liebowitz (2000: 6), organizational intelligence is the collective assemblage of all intelligences that contribute towards building a shared vision, renewal process and direction of an entity. He explained that organizational intelligence involves functions such as, organizational learning; transforming information into knowledge; verifying knowledge; capturing knowledge; creating knowledge; applying and distributing knowledge.

1.14.6 Protection of Personal Information Act, 2013 (Act No.4 of 2013)

This Act promotes the protection of personal information processed by public and private bodies, introduces certain conditions to establish minimum requirements for the processing of personal information, provides for the establishment of an Information Regulator to exercise certain powers and perform certain duties and functions in terms of this Act and the Promotion of Access to Information Act, 2000. The Protection of Personal Information Act provides for the issuing of codes of conduct, provides for the rights of persons regarding unsolicited electronic communications and automated decision-making, regulates the flow of

personal information across the borders of the Republic and provide for matters connected therewith (Republic of South Africa 2013: 2).

1.14.7 Promotion of Access to Information Act, 2000 (Act No.3 of 2000)

This Act gives effect to the constitutional right of access to any information held by the State and any information that is held by another person and that is required for the exercise or protection of any rights and provides for matters connected therewith (Republic of South Africa 2000: 2).

1.15 CHAPTER OUTLINE

The chapter outline of the mini-dissertation is as follows:

Chapter 1. Introduction to the Study

This chapter provides an overview of the study. It provides the background and motivation, an overview of the research site; the problem statement; research questions; research design; research methodology; data gathering and analysis. The chapter provides the scope and limitations of the study, definitions of key terms, ethical principles and an outline of chapters.

Chapter 2. Literature Review

This chapter conceptualizes and contextualizes the intelligent university, its development and application; the intelligent organization; and records management by exploring and analysing related studies.

Chapter 3. Theoretical Framework

This chapter deals with the theoretical foundation of the study; explains the theory; its relevance to the study; how it guided the study; and its influence on the records management model for an intelligent university.

Chapter 4. Research Methodology

This chapter explains the entire research design and methodology, which is the qualitative method. The chapter evaluates the methodology used in the study; explains data collection methods; the target population and data analysis procedures.

Chapter 5. Data presentation and interpretation

This chapter provides a rich description of the findings of the study, substantiated by verbatim quotes; figures; tables; and narrations. This chapter also presents the interpretation of results drawn from previous chapters and gives evidence relevant to the research questions.

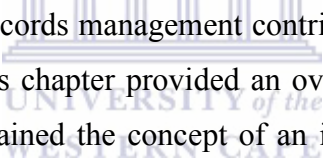
Chapter 6. Discussion of findings

This chapter discusses the findings seeking to answer the research questions and sub-questions which informed the study.

Chapter 7. Conclusions and recommendations

This chapter provides the summary, conclusion and recommendations based on the findings of the study. Limitations of the research and opportunities for further research are highlighted.

1.16 CONCLUSION



The study investigated whether records management contributes to making the University of the Western Cape intelligent. This chapter provided an overview of records management in an intelligent university and explained the concept of an intelligent university. The chapter also defined an intelligent university as an institution that utilizes the intelligence of all its components to adapt to sudden environmental changes. The background of the research site, the University of the Western Cape, was explained in particular the various changes it has been through and how well it has adapted to the changes. The chapter explained the research design used, which is the qualitative exploratory case study to investigate whether records management contributes to the making the university intelligent.

The following chapter conceptualizes and contextualizes the phenomenon of the intelligent university; the intelligent organization; and records management by exploring and analysing related studies.

CHAPTER 2

LITERATURE REVIEW

2.1 INTRODUCTION

This chapter serves to provide a critical evaluation of scholarly perspectives in relation to records management for an intelligent university. Literature from several countries is included, but studies from South Africa were emphasised. Guided by the functionalist theoretical framework, the review of the literature identified the following themes worth noting: the intelligent university; the intelligent organization and records management.

A literature review is a critical synthesis and analysis of previous research published on a topic by accredited scholars and researchers organized around the research question, to find out what other people have done with this or similar questions (Thomas 2009: 30). A literature review is a summary and explanation of previously published research on a specific topic (Thompson River University 2014). The literature review enables us to see how the current research fits in the broader context and illustrates that the new study is like a building block built upon the ideas built by others. The main purpose of the literature review is to create familiarity with current thinking and research on a particular topic, and may justify future research into a previously overlooked or understudied area (Fry 2015).

The sources reviewed for this study were both primary and secondary. The review of the literature showed that most research conducted on records management in academic institutions investigated the status of records, and not records management as a function, that is, what it does, why it does it, how it does it and what is achieved, which is the purpose of this research. Functionalism also known as the Functionalist Theory has been used to frame this study because the study is based on the premise that records management is a function with a purpose within the intelligent university. The university is composed of faculties, directorates, departments, units and each has a role to play in the proper functioning of the university. Functionalism asks the following questions: What is that? What is its purpose? What is it for? It is asked to describe a function of each component. The content of the literature reviewed for purposes of this research was on the intelligent university, its description and origins in order to understand the context and function of records

management within the intelligent university.

A record is defined as 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 (Standards South Africa 2004: 3). Records management is the management of records from creation to disposal or archiving, irrespective of format or medium. The researcher deduced from the literature, that an intelligent university is a university that is open to and adapts to environmental changes; collaborates with business structures; cooperates with society; has a culture of knowledge and information sharing and is a learning organization. New perspectives on records management aimed at keeping up with the need of for example the intelligent university are limited and only a few studies were found. In the case of the intelligent university, literature on the intelligent organization was also reviewed to provide more understanding. Literature searches conducted on records management in an intelligent university did not yield results but studies on records as sources of information and their management in universities generally were found and reviewed. The studies provided an understanding of the gaps in university records management thus motivating the current study and encouraging further research.

This literature review begins with a review of studies on the intelligent university, followed by studies on the intelligent organization, and then finally, studies on records management in academic institutions, as illustrated in the figure below. The literature review also conveyed the research design, methodology and theoretical frameworks of the studies. Figure 1 on the next page provides an illustration of the literature review map:

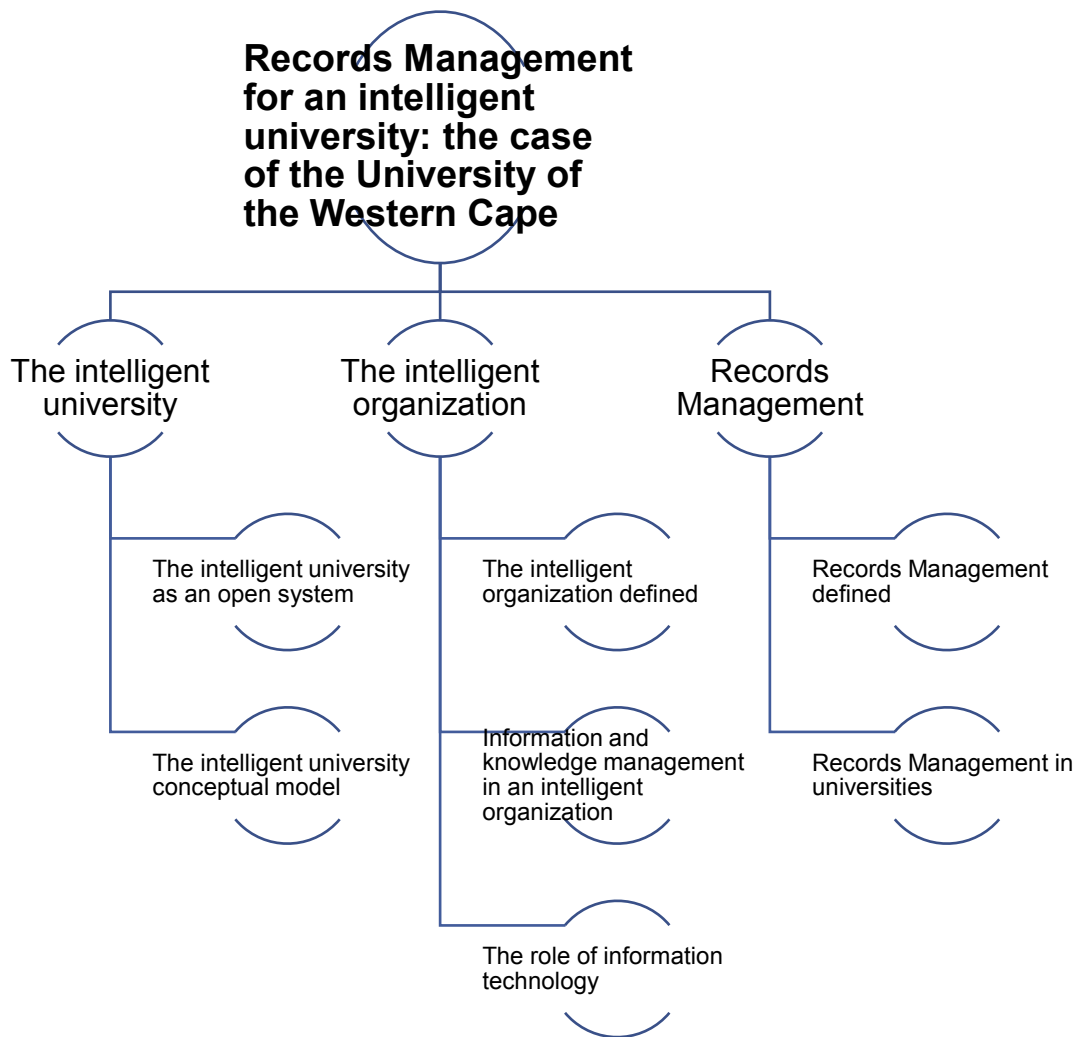


Figure 2.1 Researcher's construction of the literature review map

2.2 THE INTELLIGENT UNIVERSITY

This theme was chosen to provide an understanding of the whole, that is, the intelligent university. Understanding the whole would lead to determining what the functions of its internal components are, such as records management, what and how records management contributes to the intelligent university.

The intelligent university is defined as an organization that is open to its internal and external environment (Staskeviciute-Butiene and Neverauskas 2008: 55), is skilled at creating,

acquiring and transferring information and knowledge (Staskeviciute-Butiene (2009b: 111) and using it for competitive advantage (Halal 1998: 22). The intelligent university promotes a permanent competitive approach to innovation and at the same time develops new social ideas that promote a different integration of people in different global contexts (Quesado 2011: 1).

The essence of an intelligent university is change in its management, which is, moving academic personnel away from administrative and management responsibilities, because according to Staskeviciute-Butiene and Ciutiene (2008: 66), such management by academic personnel is not ready for a change. Change in the university culture; management and leadership to adapt to environmental changes are critical in creating an intelligent university. Without change in the university culture, the intelligent university is just an aspiration and not a reality (Staskeviciute-Butiene and Neverauskas 2008: 55).

2.2.1 The intelligent university as an open system

The review of literature on the intelligent university showed that there is still a need to conduct more research in the field because not much has been written on the subject. The scant body of literature may be because the concept has only been recently introduced by Staskeviciute-Butiene and her colleagues (2006; 2008; 2009). Staskeviciute-Butiene is a lecturer from Kaunas University of Technology, Lithuania. She, together with her colleagues, Neverauskas and Ciutiene (2006) introduced the intelligent university concept in an article that described the concept of organizational intelligence and its use in higher education by analysing scientific literature. The literature analysed was by international and Lithuanian authors with expertise in organizational intelligence. The study applied the organizational intelligence concept as a new management paradigm in a university setting. The research problem of the study was that there was a significance increase of internal and external influences in the university environment that influenced changes in university activities, thus a need for new management paradigms.

The study used the Open System theory as its framework which according to Staskeviciute-Butiene, Neverauskas and Ciutiene (2006: 65), assumed that all large organizations are comprised of multiple subsystems, each open to and receiving inputs from other subsystems and turning them into outputs for the use by other subsystems. Bastedo (2004: 1) elaborated that: Open Systems theory refers to the concept that organizations are strongly influenced by their environment since the environment consists of other organizations that exert various

forces of an economic, political, or social nature. The environment in return provides key resources that sustain the organization and lead to change.

The Open System theory allows for repeated cycles of input, transformation, output and renewed input within organizations (Kongalla 2013: 12). Furthermore, in an open system, information about the internal and external environment is obtained, shared and used for innovation and future decision-making. The university therefore is considered as a whole flexible open system that is aware of changes in the environment; is able to react to changes and considers every employee role important in responding to changes. Staskeviciute-Butiene and Neverauskas (2008: 55) pointed out that, while forming an intelligent university, it is essential to vouch for open systems inside the university and the university itself to be opened to the environment and to absorb information not only related to the field, which helps to make strategic decisions, but also to create assumptions for meeting knowledge society needs.

Quesado (2011: 1) added that the intelligent university is an open space where collaboration and participation are the drivers of a new way of communication. In this way it is essential to learn the lessons that emerge from a world that is trying to rebuild its competitive advantage and to reinvent its effective place in a complex and global network of relations. To further illustrate the openness of an intelligent university, a study by Staskeviciute-Butiene, Neverauskas and Ciutiene (2006) concluded that when a university becomes intelligent, it also becomes a learning organization because it scans the environment; uses information obtained from the environment to establish a teaching, learning and continuing professional development environment to respond to demands and changes in the environment.

An updated version of the study by Staskeviciute-Butiene and Neverauskas (2008) was a theoretical perspective of possibilities to create an intelligent university. The open systems theory was used to frame the study. In addition to the views discussed in the previous study, the authors explained that organizational intelligence within a university was not only about the university as an open system, but its ability to use information about the environment; its ability to innovate in order to meet the demands of the environment; and its ability to enable communication flow; encourage learning; teamwork and knowledge sharing.

2.2.2 The Intelligent university conceptual model

The intelligent university conceptual model was developed in a subsequent study by both Staskeviciute-Butiene and Neverauskas in 2008. This study highlighted the notion that universities need to be treated differently from profit-making organizations when determining organizational intelligence since the processes, their management practices, environmental influences and needs are different. Similar to Staskeviciute-Butiene's previous studies (2006, 2008), the study investigated ways in which the university could become intelligent. Staskeviciute-Butiene and Neverauskas (2008) study was a literature review. The Open Systems theory was used as a theoretical framework. The study concluded that, an intelligent university should not only notice people with individual intelligence but also bring the intelligence of all workers into the same system, which would result in the effectiveness of the university and the ability to react to changes (Staskeviciute-Butiene and Neverauskas 2008: 56).

Building on her previous studies (2006, 2008) Staskeviciute-Butiene (2009a) wrote a Doctoral thesis on the internal dimensions for the development of an intelligent organization referring specifically to the university. She used a literature review to analyse theoretical and methodological aspects of organizational intelligence. In addition, a survey was conducted by sending questionnaires via e-mail to respondents in five Lithuanian universities, between May and June 2008. A structured questionnaire was used because of its reliability. The survey results were analysed by using classification, comparison, statistical and mathematical data analysis methods. The research problem of Staskeviciute-Butiene' study was the various internal dimensions that the organization should develop if it seeks to become an intelligent organization. The study analysed organizational intelligence and intelligent organization theories so as to develop a conceptual model of the intelligent university. The functionalist theory however was used to frame the study because it examined the functions and synergy of internal dimensions within the university.

In developing the intelligent university conceptual model, Staskeviciute-Butiene's point of view was that organizational intelligence is a synergetic effect. Synergy of functions and among employees within the university therefore, is an inseparable part of the intelligent university conceptual model. Staskeviciute-Butiene and Neverauskas (2008: 56) also pointed out that an intelligent university does not only notice people with individual intelligence, but

brings together intelligence of all workers for the university's effectiveness and ability to react to changes. Universities, it has been claimed, are all about knowledge, and the key to the future lies in considering their capacity to produce knowledge and sharing it (Jones 2002: 74). The research conducted by Staskeviciute and Neverauskas (2008) resulted in identifying the internal dimensions for the construction of a conceptual model for a non-profit intelligent organization and was verified in the research sites. The internal dimensions identified were: degree of organizational components of intelligence; degree of leadership expression; degree of teamwork; degree of organizational intelligence; degree of learning; degree of formality and degree of systemic thinking. The conceptual model was meant to capacitate universities to evaluate the level of their development as an intelligent organization and encourage their further transformations to become an intelligent university. Staskeviciute-Butiene (2009b: 116) concluded that when developing an intelligent university, it was necessary to know the intelligence of each component as this provides information about the entity. This conclusion charted the way for this study which investigated whether records management as a component of the University of Western Cape contributes to making the university intelligent.

These few studies on the intelligent university shed light on the background of an intelligent university; what it is; its internal organizational dimensions; how the internal dimensions could be achieved and provide a foundation for further research. Studies in the following section on the intelligent organization however, provided more insight into the concept.

2.3 THE INTELLIGENT ORGANIZATION

While the literature on the intelligent university was scant, quite a large body of literature was found on the intelligent organization by authors such as Choo (1995; 2002), Cook and Cook (2000), Halal (1998), Liebowitz (2000; 2006), Pinchot and Pinchot (1994; 1996; 2014), Qureshi; Van der Vaart; De Vreede and Briggs (2001).

2.3.1 The intelligent organization defined

Organizations with intelligent people may be, or may not be intelligent organizations posited Bratianu, Vasilache and Jianu (2006: 71) in a study that investigated the main characteristics of intelligent organizations. The authors were lecturers at the Academy of Economic Studies, at the University of Bucharest, Romania. Their study was a professional paper which

concluded that intelligent organizations are learning organizations which use all organisational intelligence and have developed the capability to continuously adapt to changing and unpredictable environments.

An intelligent organization is an organization that has the right knowledge in the right place at the right time (Bock 1998: 5). Choo (1995: 81) defined an intelligent organization as an organization that behaves as an open system that takes in information, material and energy from the external environment, transforms these resources into knowledge, processes and structures that produce goods or services which are then consumed in the environment. Schwaninger (2001: 139); Schwaninger and Flaschka (1995: 6); and Yolles (2006: 5), described an intelligent organization as one that is aware of its environment, adapts, learns and knows when it requires the use of existing or development of new knowledge. Schwaninger (2001: 139); Schwaninger and Flaschka (1995: 6) used the Viable Systems theory to describe the intelligent organization and its connection to learning and knowledge organizations. The Viable Systems Theory was developed by Stafford Beer. He was a leading figure in the science of cybernetics, which concerns itself with the underlying laws which govern how organizations fulfil their purposes within their environment (Hilder 1995: 1). Stafford Beer developed the Viable Systems Theory during the 1950s to investigate the way organizations adapt to a changing environment in order to survive and achieve goals. Schwaninger explained that the Viable Systems theory addresses issues of diagnosing and designing the structures of an organization for viability and development. The external environment of the organization is, nowadays, more and more dynamic, unpredictable, making it very difficult for companies to avoid turbulences that perturb their activities, organizations must be aware of changes and have means to adapt to such changes (Bratianu, Vasilache and Jianu 2006: 71).

Pinchot and Pinchot (1994: 7) defined an intelligent organization as one that uses the broader intelligence of every member. They argued that the collective intelligence of an organization has been evenly distributed in each person, that is, in the heads of members. By using the intelligence of every employee, an organization can respond far more effectively to customers, partners and competitors. Elaborating further on collective intelligence, Malone (2012) explained that intelligence is not just something that happens inside individual's brain but arises in groups of individuals who act collectively in ways that seem intelligent. To get to the intelligence of the organization therefore, every member must be encouraged and be

able to choose his or her own actions. Bock (1998: 6); Choo (1995: 82) and Liebowitz (2000: 6) added that the intelligent organization creates, integrates and invigorates all its intellectual resources in order to achieve superior levels of performance or innovative products and services.

In describing the intelligent organization, (Bratianu, Vasilache and Jianu 2006: 77) highlighted the following characteristics: its ability to capture tacit knowledge; employee commitment to learning; flexible; ability to adapt to a changing environment and ability to develop its intellectual capital.

2.3.2 Information and knowledge management in the intelligent organization

Information is the way people in business express, represent, communicate and share their knowledge with others to accomplish their activities (Marchand 2000: 3). Knowledge is applied information and exists in people's minds (April and Izadi 2004: 8). Once it is outside the human mind it is information (Al-Hawamdeh 2003: 18). In organizations, information and knowledge are about customers, products and processes, i.e. knowing customer needs, developing the right products to meet the needs and making them available to the right customer.

Choo (1995; 1996; 2002) considered information and knowledge management as important factors in the development of an intelligent organization. In his 2002 publication, Choo developed a profile of the intelligent organization as one that is skilled at creating and gathering knowledge; at modifying its behaviour to reflect the new knowledge as a learning organization that learns about future changes and adapts to changes. He investigated the relationship between information management and the intelligent organization; how information management can help an organization to be intelligent and concluded that organizational growth and competitive advantage are based on information and knowledge thus the intelligent organization has to develop an art of mobilizing and managing information. Echoing the same sentiment were Cook and Cook (2000: 1) who stated that in this age it is necessary for an organization to become an intelligent organization, which they described as an organization that gathers, analyses, develops and uses quality information for competitive advantage. Information as a commodity however, has little value to an organization stated Bock (1998: 6). Some organizations collect all information resulting in an abundance of data and redundant information, whereas what is needed is the type of alchemy

that transforms information into knowledge and intelligence (Cook and Cook 2000: 1). Transforming information to knowledge involves the synthesis and conversion of useful data and information, such as rules of thumb acquired over many years (Liebowitz 2000: 6).

To stress the value of information in an intelligent organization, Filos and Banahan (2001: 101) described an intelligent organization as one that values information, is knowledge driven, has internetworked cross-functional teams, is dynamically adaptive to new organizational forms and practices and able to create and exploit the opportunities offered by the digital economy. They further explained that intelligent organizations use information to become competitive and respond to constant changing landscape.

Liebowitz (2000: 1) used companies such as Chrysler, Ernst and Young and Arthur Anderson as case studies to highlight the role of information and knowledge in building organizational intelligence. He stated that organizations were trying to capitalize on their intelligence to maintain their competitive edge. Liebowitz (2000: 6) defined organizational intelligence as the collective assemblage of all intelligences within an organization that contributes towards building a shared vision, renewal process and direction of the entity. Organizational intelligence, he explained, is in employees as knowledge; and in what employees cannot take home such as databases, organizational records and patents. Intelligent organizations therefore are organizations that value and recognize employee knowledge, intelligence and information. Pinchot and Pinchot (1996: 18) considered such organizations not bureaucratic since they provide conditions for all employees to express their intelligence and work in teams thus yielding constructive results to the benefit of the organization. Organizations mired in bureaucracy are slow to respond to environmental changes (Staskeviciute-Butiene, Neverauskas and Ciutene 2006: 63). With bureaucracy, organizational intelligence is fragmented by coordination from a few heads at the top of the chain of command Staskeviciute-Butiene and Neverauskas (2008: 53) and there is no sharing of knowledge (Boisot 1998: xv). Pinchot and Pinchot (1996: 54) used case studies such as Hewlett-Packard; 3M; Wabash National and Pandole Brothers Farm, to explain that bureaucracy fails to meet today's challenges because it discourages employees from using their intelligence and sharing knowledge whereas in intelligent organizations, employees share knowledge and put their heads together to co-create products and services. Schwaninger and Flaschka (1995: 6) added that to ensure effective implementation and to maximize knowledge creation, all members of the organization should have an opportunity to

engage in designing the future of the enterprise and finding ways of bringing it about. Knowledge sharing and team work are key in an intelligent organization concluded Bock (1998: 6). Information flow and knowledge sharing are better enabled through the use of information and communication technologies. The role of information and communication technology in an intelligent organization which will be explained in the following section.

2.3.3 Role of information technology

Organizations have to deal with various elements of change in order to survive. One such element is information and communication technology. The development of information and communications technology has produced opportunities and challenges for organizations (Abell and Oxbrow 2001: 6). The advances in information and communication technologies, the internet revolution and the move towards the information and knowledge society have highlighted the importance of information and knowledge (Al-Hawamdeh 2003: 61). Information technology however changes at a rapid rate and constantly needs to be updated

Qureshi, Van der Vaart, De Vreede and Briggs (2001) investigated what it means for an organisation to be intelligent and how such organisations created value through the use of information and collaboration technologies to increase intellectual bandwidth. Intellectual capital is a system or model with three elements, i.e. human, stakeholder, and infrastructural (April and Izadi 2004: 56). Qureshi et al. (2001) conducted a case study at Galaxy Corporation, a company in the Netherlands. The study used the grounded theory as a framework, which they explain, is the discovery of theory from data systematically gathered and analysed from the research process. This was done through a literature review and an Intellectual Bandwidth Model to measure the research site's potential to create value through intellectual capital. The findings were that organizations do create value through the use of intellectual resources. Qureshi et al. (2001: 18) supported by April and Izadi (2004: 61), explained the findings by expounding that for an organisation to be intelligent means that it should be able to create value collaboratively. In order to create value an intelligent organisation's employees should become informed, reason together, make a plan, and take action towards the achievement of congruent goals. In doing so, an intelligent organisation can convert its intellectual resources into a chain of services in a form most useful for certain customers by selling the skills and intellects of key professionals.

Information technology cannot be divorced from organizational processes as pointed out by

Cook and Cook (2000: 122); Zhu, Prietula and Hsu (1997: 303) as well as Filos and Banahan (2001: 101). Organizations produce and circulate large amounts of information each day and information technology tools such as document management systems are used to capture and provide access to information to users over the organization's network. In creating an intelligent organization, Zhu, Prietula and Hsu (1997: 303) argued that information technology impacts on aspects of organizational processes such as organizational learning without the presence of human decision-makers. Halal (1998: 21) argued however, that even though information technology has a huge impact on modern organizations, it has no direct bearing to intelligence.

In support of their premise, Zhu, Prietula and Hsu (1997: 304) used in their study, the Soar architecture theoretical framework. Soar architecture is a theory of cognitive behaviour, also described as a computational system for building intelligent systems and modelling human behaviour (Zhu, Prietula and Hsu (1997: 303). They concluded that through the study they conducted, they did not only manufacture a new way of organizational learning, but were able to determine what entities exist in organizations, their nature, activities and functions, which is an underlying factor of the functionalist theory. In support, Choo (2002: 21) stated that information technology should be used to enhance learning because computer-based information systems not only process data but also generate new information that describes the functions they automate.

Information technology provides tools for capturing, indexing, retrieving, and manipulating information, collaboration, information and knowledge sharing such as document management systems, electronic records management systems; enterprise content management systems and business intelligence (Al-Hawamdeh 2003: 67 and Boisot 1998: 213). Information technology enables creation, management and flow of information within the organisation and from the external environment. This information created during the conduct of business activities is known as a record. An explanation of a record and its management is discussed in the next section.

2.4 RECORDS MANAGEMENT

Loadman (2001: 45) posited that records management is a relatively new profession born out of the archival profession. Loadman's study was undertaken as part of his Master's qualification which explored the impact of placement of the records management function

within the organisation. The survey method was used to collect data from 100 records managers from different organizations. The findings showed that there was no relationship between the placement of the records management function within the organization and the successful provision of the records management service. Loadman (2001: 61) concluded that records management needs to have a defined place within the organizational structure where it can perform effectively.

Choo (2002) and Frendo (2007), in their discussions about an intelligent organization, highlighted the important role played by records management in an organization. Literature on the role of records management specifically in an intelligent university however was not found during the review. Most literature found was on records management in the general university setting with no reference to their contribution towards an intelligent university. The reason may be that the intelligent university is a recently developed concept, thus motivating more insight into the concept by investigating records management for an intelligent university.

2.4.1 Records Management defined

This section provides the various definitions by different authors.

A record is defined by Loadman (2001: 46) as evidence in any media type of the activities and conduct of an organisation. Records management on the other hand has been defined differently by various authors, such as Barritt (1989: 5); Iwhiwhu (2005: 345); Popoola (2009: 204); and Skemer and Williams (1990: 537). The lack of a standard definition may be because the field is still evolving (Yusof and Chell 1999: 9). The variations in the definitions however, affect the formulation of theory for records management. Loadman (2001: 46) noted that it would be useful if the profession could agree on a standard definition instead of trying to cope with various definitions. The gist of all the definitions however, is that records management manages records from creation to disposal irrespective of format.

Standards South Africa (2004: 3) defined records management as a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records. Asogwa (2013: 793) and Pearce-Moses (2005: 334) described records management as the systematic and administrative control of records throughout their life cycle to ensure efficiency and economy

in their creation, use, handling, control, maintenance, and disposition. Yusof and Chell (1999: 20) in a two-part article investigated the changing and unstandardized definitions of records management. They concluded by defining records management as an art or technique to administer and manage records serving the needs of the creating organisation.

Though there are various records management definitions, this study adopts the definition by Standards South Africa (2004: 3).

2.4.2 Records Management in Universities

Saffady (1974: 204) explained that the advantages of a university records management programme are that important administrative and historical records are protected against unauthorized destruction and inactive records can be readily identified and stored appropriately. As a result, records management has become increasingly identified as an administrative tool for efficiency of organisational management (Yusof and Chell 1999: 12). Some authors such as Procter (2002: 48) lamented that though there has been a growing need for management efficiency in universities, records management as a function however, has made little headway. This is evident in the scant literature on records management in universities. This also seems to be the case in South African universities as well because only two research articles (Chinyemba and Ngulube 2005 and Coetzer 2012) highlighted the role of records management in South African universities. More research on the South African universities could have provided a more in-depth overview of records management in South African universities. Nevertheless, the scant body of knowledge motivates further research into the field of records management in South African universities.

Chinyemba and Ngulube's research was conducted in 2004 as Chinyemba's Master's dissertation and published in 2005. The research site was the University of KwaZulu-Natal, Pietermaritzburg campus. The aim of the research was to determine whether the different faculties and departments of the university were managing records according to the National Archives and Records Service of South Africa Act, Promotion of Access to Information Act and Records Management International Standards of Operations; and to determine whether the staff assigned with records management responsibilities had appropriate skills and knowledge. To achieve this, Chinyemba used the Change Theory to frame his research. The Change Theory posits that change in behaviour results in improved programmes and services. The research therefore was based on the theory that organizational records if managed properly would bring change at the University of KwaZulu-Natal by fostering accountability,

good governance and give the institution a competitive edge. The case study research design was used and the survey method employed to collect data on records management practices in different faculties and schools of the University of KwaZulu-Natal Pietermaritzburg Campus. A questionnaire was distributed to 42 respondents, in addition, observations and interviews were used to supplement the questionnaire. The findings were that records management practices were not according to legislation or international standards.

Chinyemba and Ngulube's findings were echoed by Coetzer's MLIS research which was conducted at the University of Zululand in 2012. The research focused on the status of records management at the University of Zululand. Coetzer used the survey research method and questionnaires were used as primary data collection instruments. The study population was both administrative and academic staff selected purposively. The study revealed that the university does not practice proper records management.

Chinyemba and Ngulube as well as Coetzer's findings are confirmed in the studies on records management in Nigerian universities (Adomi 2002; Asogwa 2013; Iwhiwhu 2005; Popoola 2009 and Uwaifo 2004). Adomi's study conducted at the Delta State University, Abraka, Nigeria, determined whether the records were managed well and easily accessible for use by decision-makers. The study found that there was no formal records management programme, resulting in staff keeping records in cabinets in their offices with no security. Thus the records were not easily accessible for use by decision-makers. This state of affairs showed that records management was not taken seriously at the Delta State University.

Some of the studies focused on the impact of records management in the successful management of institutions of higher learning (Adomi 2002; Asogwa 2013 Iwhiwhu 2005; Popoola 2009 and Uwaifo 2004). An example is Popoola's quantitative research conducted in twenty four private universities in Nigeria. The aim of the study was to investigate socio-economic factors (such as gender, age, marital status, educational qualification, job tenure, monthly salary); job satisfaction and locus of control as they determine organizational commitment of records management personnel in Nigerian private universities. The study was based on the premise that highly committed employees like records management personnel in universities are vital assets for effective provision of information services for planning and decision making. The findings were that there is ignorance by authorities with regards to issues such as job dissatisfaction and organizational commitment of records

management staff to the detriment of organizational performance. The study also found that the lack of proper records management practices was due to little value placed on records as an information resource, by senior management in Nigerian universities.

A study that highlighted the value of a records management programme in academic institutions in the United Kingdom was conducted by Bailey (2011). Bailey was a Senior Records Management advisor at the University of Northumbria, U.K. The research was conducted from January to June 2010 in six pilot institutions of higher learning in the U.K. and published in 2011. The motivation for the research was that the author had found through extensive literature review, that there was no reliable source of empirical data on return on investment of records management programmes and no tool to measure the impact of records management in higher education in the United Kingdom. This research was conducted to explore issues and challenges concerning measurement, analysis, interpretation of performance data in relation to records management and to investigate the return on investment that can be achieved by organizations through various approaches to improving the management of records. The author used the Value Theory to frame his study. The Value Theory emphasizes the value of goods and services to stimulate economic growth. The research problem was that proper records management is valuable and provides a return on investment. The Value Theory was used to investigate the Joint Information Systems Committee (JISC) InfoNet Impact Calculator as a reliable tool to determine the return on investment and impact of records management in universities. The JISC InfoNet Impact Calculator- a Microsoft Excel based tool was used to capture and process data. The findings differed from site to site, for example on one of the sites, monetary benefits were low but time saving in accessing information was realized. Measuring the impact of records management proved to be a challenge to records management staff due to lack of training and skill in the field. What was also notable was the inability of the impact calculator to measure impact in some areas of records management because success of a records management programme cannot only be measured from a financial perspective but through benefits strived for by records managers, such as legal and statutory compliance, improved corporate governance, transparency and accountability (Bailey 2011: 56).

The research articles in the literature review were mainly qualitative case studies. In some instances, multiple site case studies were used in which the study was conducted in three or more sites. Asogwa (2013), for example conducted his study in three Universities in Nigeria

namely, the University of Abuja, Ife, and Nigeria to determine the level of readiness of the universities towards managing digital records. The lack of records management policies, procedures and framework showed that all the sites were not yet ready to manage digital records. Schina and Wells (2002) conducted their research in thirty public universities, fifteen in the United States and fifteen in Canada. The purpose of their study was to assess the state of records and archives management programmes in universities in the United States and Canada. The responses gave an indication that records and archives management programmes were formalized and that there were policies, procedures and activities monitored by a high level committee. Compliance to the policies by staff was however a problem. Zach and Peri (2010) used 193 North American colleges and universities to analyse approaches for capturing, storing, organizing, and making available institutional electronic records. The research was conducted to provide guidance to records and archives managers after the realization that research on electronic records management provided little guidance on how to manage born digital records; as well as the fact that archivists felt excluded in electronic records management decisions, planning and implementation. This study was longitudinal, conducted between 2005 and 2009.

Yusuf and Chell (1999: 14) observed that records management had not been treated as an independent field of study but closely linked to archives, information or knowledge management therefore theoretically flawed. In their study, they used the survey method to examine whether there was an accepted theory for records management that would incorporate the use of technologies. The authors developed a model which displayed causal relationships among the archives, information management and information technology management disciplines. The authors found this model the most suitable foundation for a records management theoretical framework. The absence of a specific theory for records management was evident in the literature reviewed. Various theories were used in the studies, such as Joseph Juran's Theory of Quality Management (Asogwa 2013; Külcü 2009a; Schina and Wells 2002; Zach & Peri 2010). Külcü, for example, used Joseph Juran's Theory of Quality Management to frame his study of assessing whether the state of records management in public universities in Turkey contributed towards institutional quality. Joseph Juran's Theory posits that if a quality improvement project was to be successful, then all quality improvement actions must be identified, carefully planned out and controlled. The findings identified the lack of a formal records management programme as one of the problems for the institution. Other theories used in the studies were the Value Theory (Bailey

2011); Change Theory (Chinyemba and Ngulube 2005); and Classical Management Theory (Uwaifo 2004). From amongst these theories however, the functionalist framework was selected as most suitable for this study which seeks to investigate whether records management as a function contributed to making the University of the Western Cape intelligent.

2.5 CONCLUSION

The literature sources reviewed for this study were both primary and secondary sources and showed that most research conducted on records management in academic institutions was on the status of records management or its value thereof. Studies on records management as a function in universities were not found. The literature review yielded a few studies on the intelligent university and none on records management in an intelligent university. This has been due to the recent development of both records management and the intelligent university, motivating the need for more research. Their recent development has rendered both fields of study without theoretical frameworks, leading to the use of different theories. From amongst these theories the functionalist framework has been selected as most suitable for this study which seeks to investigate whether records management as a component contributes to making the University of the Western Cape intelligent.

The following chapter provides an insight into the theoretical framework of this study, the functionalist theory so as to gain more understanding into records management as a function within the university.

CHAPTER 3
THEORETICAL FRAMEWORK
FUNCTIONALISM

3.1 INTRODUCTION

This chapter serves to discuss functionalism and to justify the theoretical framework adapted in this study.

Activities within an organization exist for a purpose. They are inter-dependent and meant for the benefit of the organization and its community. All organizations and behavioural patterns have latent functions that are beneficial for some dominant economic or political structure (Van Parijs 1982: 501). This premise influenced the choice of theory to frame this study, which is Functionalism also known as the Functionalist theory.

Functionalism is a theoretical perspective that grew out of the work of Comte, Emile Durkheim, Herbert Spencer and Talcott Parsons (Lindsey and Beach 2002: 18). According to functionalism, all aspects of a society though different, serve a function and are necessary for the survival of that society each part therefore exists for a reason (Lindsey and Beach 2002: 19). Functionalism addresses society as a whole and its organs that work for its proper functioning to produce order, stability, and productivity (Baker 1993: 125). Crossman (2014) explained that society is more than the sum of its parts; rather, each part of society is functional for the stability of the whole society. The different parts are primarily the institutions of society, each of which is organized to fill different needs and each of which has particular consequences for the form and shape of society. The parts all depend on each other. When one part of the system is not working or is dysfunctional, it affects all other parts and creates social problems, which leads to social change.

This statement is supported by Horton (1984: 16) who stressed that Functionalism views society as an organised network of cooperating groups operating in an orderly manner according to a set of rules and values shared by most members at a certain point in time. When societal needs change, the values, rules or practices which were functional at one time, may become dysfunctional.

The essence of Functionalism is order and stability and has been used extensively in various disciplines, as posited by Adam (1946: 4) that it is not a theory of a specific doctrine. Functionalism though applied in various fields of study, has been criticised for its failure to account for social change (Sztompka 1974: xiii), and using scientific methods to understand social life (Baker 1993: 127). In its defence, Smith (1973: 1), maintained that functionalism is not only a theory of order and stability but also of social change as it has broadened and developed to provide a unified theory of change and order which encompasses the varied and changing structures of history. Its ability to account for change is evident in the definition provided by Lindsey and Beach (2002: 19) which stated that, functionalism interprets all social groups as systems whose parts are interdependent so that a change in one element leads to changes in every other element. Marxist functionalism has also been considered to emphasize social change (Baker 1993: 127).

The intelligent university, though it may be stable internally, must be aware of changes of its external environment, embrace them and easily adapt to the changes. Smith (1973: 23) stated that adaptation to the environment is one of the four functional requirements of any social system. In this light, functionalism was considered the best theoretical framework for this study since it considers each component of an organization important for productivity and stability of that organization that can adapt to changes in the environment. Functionalism however has not only been used as a theoretical approach but also as a data collection and interpretation method (Turner and Maryanski 1979: 59; Merton 1967: 9), hence it has been chosen to guide and frame the study in investigating the intelligent university concept with specific reference to the University of the Western Cape; investigating what records management is; its purpose; what its function is within the University of the Western Cape; whether it fulfils that function; and whether it plays a role in making the university intelligent. Functionalists believe that there can be no conception of a structure without a true conception of its function (Turner and Maryanski 1979: 11).

This chapter deals with theoretical foundation of the study; explains the theory; its relevance to the study; how it guided the study; and its influence on the records management model for an intelligent university.

3.2 ORIGINS OF FUNCTIONALISM

“Functionalism has no single prophet, no scriptures and no dogma but a variety of spokesmen since the 1870s” Haas (1964: 8).

This observation has proven to be true as argued by various authors. Green (2009: 75) argued that the rise of functionalism in the 1890 was inspired by the father of evolution, Charles Darwin, whilst Demerath and Peterson (1967: 3) considered the forefathers of functionalism as Spencer, Lilienfield, Pareto, Durkheim, Radcliffe-Brown and Malinowski. Turner and Maryanski (1979: 3) claimed that functionalism is sociology's first theoretical perspective established in France in the early nineteenth century by Auguste Comte, the founder of the term sociology. The emergence of sociology and functionalism are thus tied together as they were both introduced by Comte out of his concern to restore social order after the turmoil caused by the French Revolution of 1789. Comte considered society as a social organism with different elements or organs contributing to its survival. It is however, subsequent scholars who transformed his analogies into functionalism. One of the scholars was the French Emile Durkheim, an intellectual benefactor of Comte's work (Turner and Maryanski 1979: 14), believed to have laid down the first functionalist approach in sociology and influenced some contemporary functionalists such as Radcliffe-Brown, K. Davis, Merton, and Parsons. Most of Durkheim's work concerned the analysis of how a given structure meets the needs of society and he focused on positive effects of social institutions, explaining their existence in terms of their functionally necessary contributions. Durkheim (1984: xvi) posited that functions whether political, administrative or judicial are becoming more and more specialized. The more specialized the functions of an organism, the higher its level on the evolutionary scale and higher its survival value.

Anthropologists, when conducting research in primitive communities, were faced with a problem of reconstructing history of people with no historical records. Turner and Maryanski (1979: 36) asserted that Durkheim's functional approach provided the much needed guidance to resolve the problem as it stated that the researchers should assess the function/s of a cultural item. By knowing the functions of a cultural item, be it a religious ritual, a kinship system or some other trait, its place in the overall scheme of things could be known. In Britain, Sztompka (1974: 35) asserted that the basic tenets of functional orientation were laid down in the 1920's by anthropologists Bronislaw Malinowski and Radcliffe-Brown, who analysed primitive communities as ongoing systemic wholes, looking for interrelations of elements within them and the mechanisms through which each of the elements contributed to the satisfaction of societal requisites. Malinowski and Radcliffe-Brown's analysis involved asking: what the role of the community is; and how the community fits into the wider social whole. Turner and Maryanski (1979: 34) asserted that Malinowski, Radcliffe-Brown and

some other anthropologists were influenced by Durkheim's functional approach, as a result, this influence assured the dominance of the functional approach in the 20th century anthropology and sociology.

Radcliffe-Brown, an erstwhile professor at the University of Cape Town, South Africa, is widely known for his theory of functionalism in relation to social structures of pre-industrial societies and their functions (Britannica 2015). His functional analysis involved the search for the sociological origin, as opposed to its historical origin of a structure for the maintenance of integration of the social whole (Turner and Maryanski 1979: 98). He thus confined functionalism to structural analysis of specific cultures, while Malinowski developed a functional scheme that was to lay the foundation for sociological functionalism. Malinowski went further than Radcliffe-Brown by using a list of biological needs as a way to highlight the functions of social institutions (Turner and Maryanski 1979: 106). Malinowski's functional scheme purported that every custom, idea, material object and belief fulfils some vital function. Turner and Maryanski (1979: 44) stated that had Malinowski not sought to elaborate functional analysis, it is unlikely that functionalism in sociology would have become the dominant paradigm in the late 1940s, 50s, and 60s.

Radcliffe-Brown (1949: 321) posited that Malinowski claimed that he was the inventor of functionalism, to which he gave a name. Herbert Spencer however, is considered as being the first British social scientist to introduce the function concept into the social sciences in Britain (Turner and Maryanski 1979: 8). Spencer introduced functionalism through his organismic analogy, which emphasizes that the social whole operates through the functional integration and cooperation of its parts. Organismic analogy was used to describe functionalism because organisms were considered as examples of systems composed of different organs, hence they became the primary model of functional interpretation (Sztompka 1974: 48). In both the society and organism, the parts of the whole are interdependent with a change in one part affecting other parts. Spencer made a distinction between structure and function and it is in this distinction that the essence of functionalism resides because structures have functions for maintaining the social whole (Turner and Maryanski 1979: 11). In the United States of America, functionalism was introduced by Talcott Parsons (Grimes 1988: 182), who introduced the notion that there were stable structural categories that made up the interdependent system of society and that functioned in such a way as to perpetuate a society's status quo. Through the functionalist perspective, Grimes (1988: 183) added that, Parsons sought to explain social inequality and the events and

conditions in American society during the 1930s and the 1940s. Parsons claimed that social systems tend to change or evolve over time by making structural adjustments to better meet ever-changing functional needs and challenges (Powers and Fernandez 2012: 101).

Functionalism has not only been used as a sociological theory but used in other disciplines, for example John Dewey and James Rowland Angell were the chief proponents of functionalism in the American psychological scene at the turn of the 20th century and were considered leaders of the Chicago “school” of functionalism (Green 2009: 75, 79). Functionalism according to Green was the nest in which many different forms of psychology were hatched. Socrates introduced the functionalist position with respect to architecture during the classical period (1775-1825) when he pointed out a connection between good, beautiful and useful in functionalist art (De Zurko 1957: 145). Socrates notion is evident in the definition by the Oxford dictionary (2015) that functionalism is the theory that the design of an object should be determined by its function rather than by aesthetic consideration, for example, the purpose of a building is primarily for shelter. Functionalism is also evident in economics (Karsten 1983: 179) and in linguistics (Silverberg 1992: 111). During recent decades however, functionalism has come to occupy a position of central importance mainly in sociological theory (Fletcher 1942: 81). In support, Sztompka (1974: 36) stated that the functional orientation came to dominate sociology and social anthropology and today is very important in the discipline, more especially after the Second World War.

Throughout its development, functionalism has been used widely in various disciplines. Pope (1975: 361) however stated that although functionalism is a widely employed term, there is little agreement as to what it means. The following section defines functionalism in order to provide an understanding of what it means.

3.3 WHAT IS FUNCTIONALISM?

In order to understand functionalism, we need to understand what the word “function” means. Function can be used both as a noun and a verb. As a noun, function means the special purpose or activity for which a thing exists or is used, as a verb it means to have a specified function, role or purpose (Merriam-Webster dictionary 2015). Function also refers to the vital or organic processes considered in the respects in which they contribute to the maintenance of the organism (Merton 1967: 9). Most importantly, function in the social sciences refers to meeting social needs (Pope 1975: 365). The most appropriate definition for this study is that posited by Radcliffe-Brown (1977: 43) that function is the total set of relations that a single

social activity, usage or belief has to the total social system. Merton (1967: 9) distinguished between manifest functions as the obvious functions which the element or part is intended to perform; and latent functions, the unintended functions the part also provides.

Functionalism views society as a system of interconnected parts that works together in harmony to maintain a state of balance and equilibrium for the whole (Mooney, Knox and Schacht 2007: 1). It is considered as a major theory in sociology for analysing why and how certain social structures exist and work in society by ascertaining their function. Fletcher (1942: 85) maintains that functionalism is not a just a social theory but a systematic mode of analysis which opens up many interesting lines of study, throws up many hypotheses, and provides at the same time an orderly approach to field-studies and the designing of research projects whereby these hypotheses may be subjected to empirical tests. Gregg and Williams (1948: 596) stated that functionalism is the theory of transformation of individual needs into derived cultural necessities and imperatives. The authors quote Malinowski (1939: 949) who added that the individual is the source and aim of all activities and organized behaviour and every institution contributes to the working of the community as whole, but derives and satisfies the basic needs of the individual.

Turner and Maryanski (1979: xi) considered functionalism to be borrowed from biology where questions such as what the functions of the heart, liver or lymphatic system are. They then used the questions in sociology and defined functionalism as an analysis that examines social phenomena in terms of their consequences for the broader society, for example, the functions of government or any social phenomenon. Functionalism defines society as a system of interrelated, interdependent parts and their effect on each other (Demerath and Peterson 1967: 2). In support, Sztompka (1974: 56) added that the intellectual fundament of functional theory in sociology is the concept of a system, which is characterized by the interdependence of a number of parts and the tendency of the parts to maintain equilibrium in their relationships. An element or part of the system which is not influenced by others is excluded from the system. Functionalism, posited Pope (1975: 361) views society as a whole composed of interrelated parts (i.e., as a system), assumes a tendency toward system equilibrium, considers how society or the social order is possible, views structures in terms of their contributions to the perpetuation or evolutionary development of society, and sees pervasive commonalities or consensus as the ultimate basis of social order.

In order to provide more insight into functionalism perspective, Horton (1984: 16) explained that the parts or groups of the society fulfil certain functions and persist because it is functional. He added that function and dysfunction are used to describe the relationship a particular entity or activity has to the ongoing life of the whole which it is part. Functional denotes that the activity helps the whole to stay healthy, while dysfunctional means that it does not.

The University of the Western Cape is composed of faculties, directorates, departments and units. Each has a role to play for the proper functioning of the university - this pheromone being the essence of functionalism. Functionalism considers society as a system composed of connected parts, each of which has a function for maintaining the whole system. It is a short analytical step to asking: what does this or that structure do for or contribute to the society (Turner and Maryanski 1979: 7)? It asks the following questions: What is that? What is its purpose? What is it for? How does it help the whole? How does it fit in with the other practices of the whole society? Functionalists consider a function to be the contribution of a part of a larger system and its effect on other parts in the system (Ferrante 2012: 34). Furthermore, the function must be determined by the discovery of the needs of the larger system that it meets. The functionalist theory does two things, that is, to relate the parts of a society to the whole and to relate one part to another and to its environment (Demerath and Peterson 1967: 381). Functionalism therefore asks: what do systems parts do for individuals and society as a whole?

In explaining functionalism, Radcliffe-Brown (1977: 44) observed that the discovery of the integrative function of an institution, usage or belief is to be made through the observation of its effects in individuals and on the social structure as a whole. Functionalism therefore was appropriate for investigating the contribution of the records management function in making the University of the Western Cape intelligent. Records are created by the university and external stakeholders and managed to serve a function. The functionalist approach guided the research in exploring what that function was; why records had to be managed and whether their management contributed in making the University of the Western Cape intelligent.

Before moving to the research process undertaken at the University of the Western Cape, the relevance of functionalism in intelligent organizations is discussed in the next section.

3.4 FUNCTIONALISM AND THE INTELLIGENT ORGANIZATION

Organisations face various risks, such as non-compliance to legislation or adverse audit reports when one or some of its units are dysfunctional. In the discussions of previous sections of this study, functionalism has been considered as the appropriate theory to investigate whether records management played a role in making the University of the Western Cape intelligent.

Functionalism is evident in the definition of the intelligent organization and organizational intelligence. According to Choo (1995: 81), the intelligent organization is able to create, integrate, invigorate and mobilize all its intellectual resources in order to enhance performance in a changing environment, since organizations depend on the environment for resources and for the justification of their continued existence (Choo 2002: 8). Intelligence is the capacity to learn, acquire and understand knowledge about something of importance for personal or organizational development. Organizational intelligence was defined by Balouei and Ghasemian (2014: 1) as merging individual intelligence of employees into collective intelligence. Albrecht (2002) defined organizational intelligence as the capacity of an enterprise to mobilize all of its available brain power, and to focus that brain power on achieving its mission. Organizational intelligence is therefore all intelligence, human and structural of an organization and the external environment, used for competitive advantage, enabling the organization to beat competition and become an intelligent organization.

Staskeviciute-Butiene (2009b), who introduced the concept of the intelligent university, used the functionalism theory in evaluating internal dimensions of the university and their development in the context of an intelligent university. She explained that the available theoretical models on the intelligent organization do not reveal the ways to becoming an intelligent organization, but only emphasized the fact and result, not the process involved in achieving it. In her study, Staskeviciute-Butiene created an understanding of how these dimensions could be balanced so that the university could become intelligent. She posited that organizational intelligence manifests in organizational activities and the interaction of its subsystems, which enable the organization to adapt to the changing environment and adapt easily to changes in the global economy as an intelligent university. The findings of her research were that a university that recognizes not only individual intelligence but all its organizational intelligence results in effectiveness of its activities and ability to react to changes.

Organizational records are information resources created during the conduct of business transactions, are evidence thereof and managed for a purpose. Records include strategic planning documents, policies, reports, project plans, ad hoc studies, contracts and many more. The intelligent organization has been described by Choo (2002: 9) as an organization that primarily manages and coordinates information to meet customer needs. Choo (2002: 173) further stated that organizational records constitute a large information reservoir. Unfortunately they are not organized nor stored to facilitate access, which is one of the functions of records management. Records management is defined as a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records (Healy 2010: 98).

Most theoretical models used in records management research however, explored the status of records, for example, their security; storage; staffing and compliance to records management legislation. The studies did not explore records management as a function, what it does and how it does it, to achieve a goal, except for a study conducted by Raphela (1998) that used the functionalist theory to investigate whether information is an important resource amongst other resources in an academic institution. The findings were that information can be regarded as an important resource in academic institutions, equal to capital and labour resources. The focus of the study however, was only on external information resources, such as books, that are acquired to be used for academic purposes, unlike this study which focuses on management of internal records created during the conduct of business at the University of the Western Cape.

3.5 CONCLUSION

The findings of Staskeviciute-Butiene's research which investigated internal dimensions that contribute to the development of an intelligent university primarily motivated the researcher's choice of the functionalism theoretical framework. The reason is that Staskeviciute-Butiene's research investigated internal dimensions that contribute to the intelligent university, much like this study which sought to investigate whether the University of the Western Cape is an intelligent university; and whether the records management component or function, played a role in making the university intelligent. The next chapter discusses and justifies the research

methodology used in the study. Changes that affected the study as well as challenges encountered are highlighted.



CHAPTER 4

RESEARCH METHODOLOGY

“Research is to see what everybody else has seen and to think what nobody else has thought” Albert Szent-Gyorgi

4.1 INTRODUCTION

The previous chapter discussed functionalism, the theoretical framework of the study. Guided by the functionalist approach, this chapter focuses on the research methodology, also referred to as the strategy for research (Brynard, Hanekom and Brynard 2014: 30). This chapter discusses the research approach; design; methods and procedures used in the study; explains data collection methods, the target population and data analysis methods in order to determine the authenticity and reliability of the study. This qualitative exploratory case study used a questionnaire, semi-structured interviews and document analysis to collect data. Challenges encountered and changes are highlighted. The chapter concludes with a discussion on ethical issues that were taken into consideration during the study.

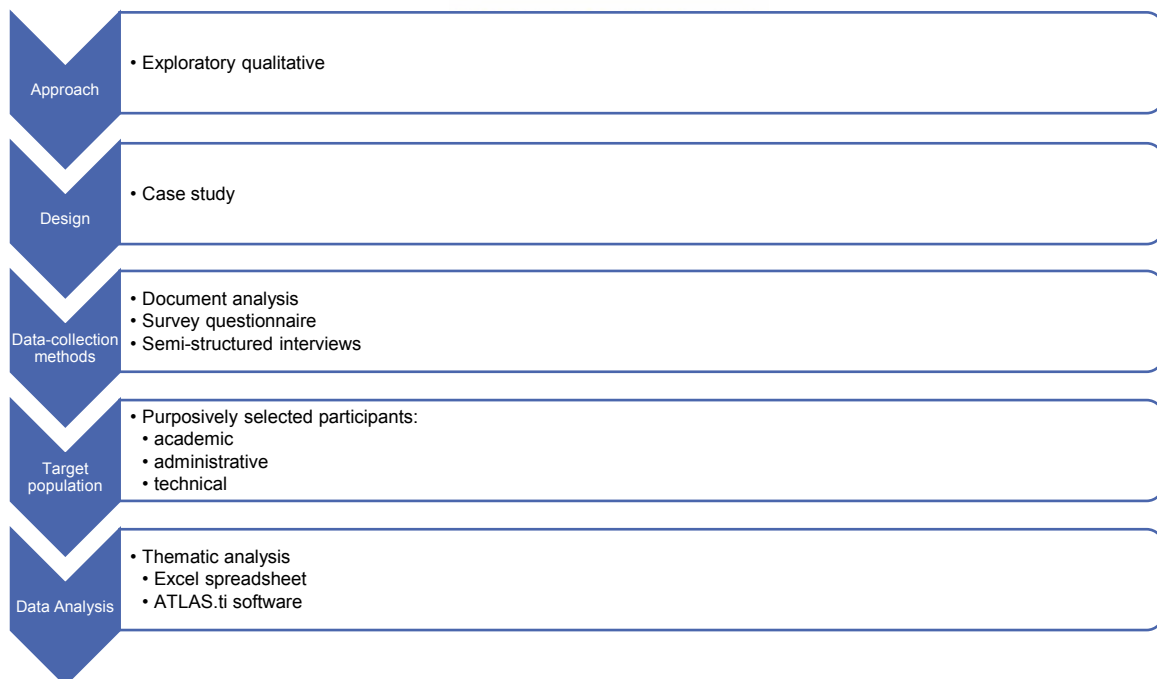


Figure 4.1 Researcher’s construction of the research methodology

4.2 RESEARCH APPROACH: EXPLORATORY QUALITATIVE RESEARCH

The purpose of exploratory research is to gain insight into a situation due to lack of basic information on a new area of interest. The researcher used this type of research since records management for an intelligent university is a new and recently introduced area of interest with little information available. Leedy and Ormrod (2005: 133) explained that in order to answer some research questions, we cannot skim across the surface. We must dig deep to get a complete understanding of the phenomenon we are studying. In exploratory qualitative research we do indeed dig deep through various sources of information and probing questions.

This study employed the exploratory qualitative research approach which was described by Bless and Higson-Smith (1995: 43); Brynard, Hanekom and Brynard (2014: 38); and Leedy and Ormrod (2005: 134) as research that produces descriptive data, generally the participant's written or spoken words pertaining to their experiences or perception. Methods such as in-depth interviews, participant observation, questionnaires and perusal of personal documents are used. One of the benefits of exploratory qualitative research is that the research accurately reflects the evidence and that it is flexible (Neuman 1997: 333). He further stated that qualitative researchers remain open to the unexpected and are willing to change the direction or focus of a research. In support, Maxwell (2013: 2) stated that in qualitative design any component of the design can be modified during the study in response to new developments or changes in some other component. The qualitative approach was therefore found suitable for this study because of its flexibility to accommodate new developments and changes, since the higher education landscape in South Africa is susceptible to such. Coincidentally, the study was conducted during the outbreak of the protest against university fee increase also known as #feesmustfall in October 2015 which brought about change and unrest in the South African higher education landscape. As a result of the sudden changes, the researcher had to change the data collection methods initially planned, due to time constraints, as well as the tense and sensitive situation.

4.3 RESEARCH PROBLEM

A research problem originates in your mind out of complete knowledge or flawed understanding (Booth, Colomb and Williams 1995: 50)

Authors such as Choo (2002) and Frenedo (2007) have highlighted the important role of records management in making organizations intelligent. Most of the other literature

reviewed for this study however, had proven otherwise. The findings of the reviewed literature showed that records management in universities is neither considered important nor valuable due to various reasons. The findings, coupled with the scant body of literature on records management in universities call for further research to be conducted to investigate the matter in-depth. The theoretical framework of this study, that is functionalism, considers that each component within an organisation is important and has a role to play for the functioning of the whole organization. This background motivated this study to investigate whether records management contributes to making the University of the Western Cape intelligent by asking some research questions.

4.4 RESEARCH QUESTIONS

The Functionalist theory considers each component in a society important for the success of that society. The theory asks questions to find out what each component is, its purpose, what it does, why it does it, and how it does it. This study therefore used the functionalist approach to find out whether records management contributes to making the University of the Western Cape an intelligent university.

The problem was addressed by answering research questions and sub-questions guided by research objectives of this study discussed in 1.6. The research design and methodology of this study discussed in the following section, was also by guided by the research questions and objectives.

4.5 RESEARCH DESIGN

Research design is a plan of how the researcher will systematically collect and analyse data that is needed to answer the research question (Bertram and Christiansen 2014: 40). Seabi (2012: 81) explained that this plan provides a structure that informs the researcher as to which theories, methods and instruments the study will be based on. In support, Bless and Higson-Smith (1995: 63) stated that research design guides the researcher in collecting, analysing and interpreting observed facts. The definition by Terre Blanche, Durrheim and Painter (2006: 35) concluded that a research design is a strategic framework for action that serves as a bridge between research questions and the execution of the research. The research design according to Bertram and Christiansen (2014: 40) should answer the following questions: what evidence or data must the researcher collect in order to answer the research question; how will the researcher collect that data; what will the researcher do with the data once collected; and how will the researcher analyse and make meaning from the data?

One of the qualitative research designs is the case study which is explained in the following section.

4.5.1 Case study

Simons (2009: 9) defines a case study as an in-depth exploration from multiple perspectives of the complexity and uniqueness of a particular project, policy, institution, programme or system in a 'real life' context. The primary purpose is to generate in-depth understanding of a specific topic to generate knowledge. What defines a case study is its singularity of the phenomenon being studied. The researcher used the case study design since the study was aimed at finding out, whether records management at the University of the Western Cape contributes in making the university intelligent. The study therefore was a case study of the University of the Western Cape.

In a case study, a particular individual, programme or event is studied in-depth for a defined period of time (Leedy and Ormrod 2005: 135). The case study design is regarded as an empirical investigation, within which current circumstances may be analysed and contextualised (Schellnack-Kelly 2014: 74). Rule and John (2011: 4) defined a case study as a systematic and in-depth investigation of a particular instance in its context in order to generate knowledge. Stake (2005: 443) added that case studies are a common way to do qualitative inquiry and are both the process and product of the enquiry. Gerring (2007: 214) defined a case study as an intensive study of a single case for the purpose of understanding a larger class of similar units.

Case studies can be exploratory, descriptive and explanatory (Yin 1994: 4). The researcher chose to use the exploratory case study as it investigates distinct phenomena characterized by a lack of detailed preliminary research (Streb 2010: 373). Rule and John (2011: 8) pointed out that the exploratory case study examines a phenomenon that has not been investigated before and can lay the basis of further studies; provide new insights and generates new theory. Since the concept of records management for an intelligent university is new, coupled with this study's intention to develop an applicable model, the exploratory case study research design was found suitable for this study.

As explained earlier that qualitative research deploys multiple forms of data collection, this will be explained in detail in the next section on data gathering methodology.

4.6 DATA GATHERING METHODS

The first step in collecting data is gaining access to the subjects of research (Seabi 2012: 88). In this study, the researcher used more than one source to collect data to improve reliability and also because records management in an intelligent is a new phenomenon with a scant body of literature. Yin (1994: 91) and Gerring (2007: 17) stated that case studies need not be limited to a single source of evidence. Yin (2014: 103) further posited that case study evidence can come from many sources as it has been found that case studies using multiple sources of evidence were rated more highly in terms of quality than those that relied on single sources. Figure 4.2 provides an example of multiple sources of evidence:

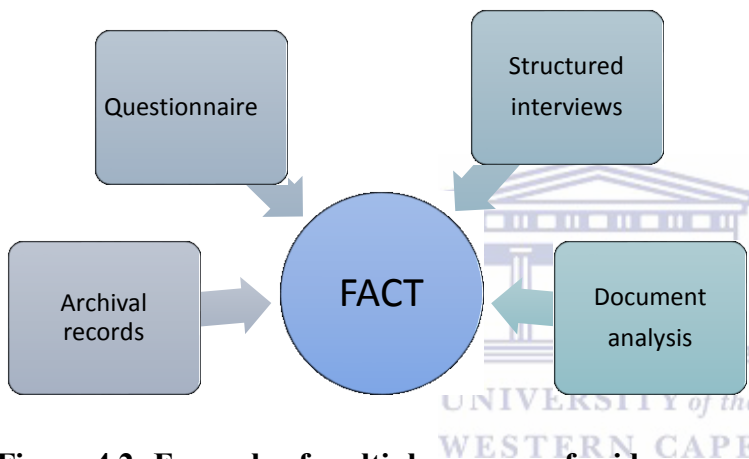


Figure 4.2: Example of multiple sources of evidence

Adapted from Yin (1994: 93)

The use of multiple data collection methods is known as triangulation. Rule and John (2011: 109) highlighted the purpose of triangulation as that of achieving high quality, rigorous and respectable results. Gerring (2007: 216) defined triangulation as the use of multiple methods often at different levels of data collection, with the hope that they will all converge to support a particular hypothesis or theory (Leedy and Ormrod 2005: 99).

4.6.1 Phase 1

During this phase, secondary sources such as the university strategic plan, institutional operational plans, correspondence and Records Management policy. Primary sources such as Central Records Office circulation registers; Accessions registers; Records transfer lists and statistical reports were used to gather background information. Terre Blanche, Durrheim and Painter (2006: 316) cautioned that documents are not easy to come by; involve intensive

searches through archival sources; and require careful management. Documents however, are necessary during research because they provide a way of obtaining more information about the case; its different parts; and history (Rule and John 2011: 67). Secondary sources at the University of the Western Cape are stored in the Central Records Office and the University Archive, access governed by Promotion of Access to Information Act (Act number 2 of 2000), which facilitates access to information. Accessibility of secondary sources therefore did not hamper the research.

Permission to access the documents from the Central Records Office was sought in line with the UWC PAIA manual. The researcher followed processes as stipulated in the manual by sending a formal request to access information to the Deputy Information Officer, the University Registrar who then granted written permission to access records. The CRO staff members were helpful in providing the requested records timeously. Records provided were in print and electronic format, the latter were sent to the researcher by e-mail and the print ones consulted at the DRAMS offices and copies made.

4.6.2 Phase 2

Phase 2 comprised of a small survey done by sending questionnaires through electronic mail to purposively selected participants. The sample was composed of participants from academic, administrative and technical departments. Fowler (2009: 1) stated that surveys are fundamentally a matter of asking a sample of people from the population a set of questions and their answers constitute the data to be analysed. The information is collected from only a fraction of the population, that is a sample, rather than from every member of the population. In support Mouton (1996: 139) explained that the point of sampling is precisely that it is usually neither feasible nor possible to draw large samples

Leedy and Ormrod (2005: 145) observed that most qualitative researchers use purposive sampling. Purposive sampling means that the researcher makes specific choices about which people, groups or objects to include in the sample (Bertram and Christiansen 2014: 60). The researcher therefore sent the questionnaire to twenty members of the Records Management Coordinating Committee (RMCC), eight senior managers; five administrative managers; and four chairpersons of academic departments. The RMCC is composed of representatives from administrative and academic departments, selected by heads of departments as key contact staff for all records management related matters in respective departments.

The questionnaire (See Appendix B) for this study was designed in line with the functionalist approach and research objectives, to find out what records management is and its role in making UWC an intelligent university. The questionnaire used the research objectives as themes namely, to determine whether the records management function was known and understood at UWC; investigate whether the records management function worked closely with other departments; and determine whether records were accessed and used for decision-making and research. The questionnaire had thirteen open-ended questions which allowed respondents to provide as much information as possible. Respondents were invited to provide their own views and suggestions. The standardized questionnaire ensured consistency as purported by Fowler (2009: 6) that the first major step in increasing consistency is to give standardized questions.

This phase was conducted during the #feesmustfall campaign which led to disruption of the university functions and its subsequent closure. Most of the respondents were therefore not available to access their work electronic mail or were reluctant to participate, as a result, there was a significant delay in collecting data and few questionnaires were returned. In addition to sudden changes, the response rate for mailed questionnaires tends to be very low often only 20 to 40 percent are returned (Bless and Higson-Smith 1995: 112). One of the strengths of qualitative research design however, is that it allows flexibility (Silverman 2010: 146), hence the researcher used another data gathering methodology, the semi-structured interview to complement phase two and improve representativeness of the sample.

4.6.3 Phase 3

Semi-structured interviews were conducted with ten purposively selected respondents from UWC staff. Appointments were made with twenty respondents beforehand to ensure their availability. The respondents were from academic, administrative and technical departments. A few of the staff approached, declined to be interviewed due to lack of time whilst most were eager to participate. The researcher observed that the reluctance of some of the staff to be interviewed was due to instability caused by the student protest and were therefore suspect of outsiders asking questions about the university.

The semi-structured interview involves direct personal contact with the participant who is asked to answer a set of questions (Bless and Higson-Smith 1995: 106). Dawson (2009: 28) added that the same questions need to be asked in each interview and the interview should

remain flexible so that other information can still arise. The same questionnaire that was used during the second phase was used during the interviews. All interviews were conducted in English as one of the three languages of the Western Cape, although it is a second language to some participants. Respondents answered all the questions. Due to the tense situation at the university, the researcher asked questions and noted responses on the questionnaire during the interview instead of using an audio recorder. The secondary sources used during phase 1 were used to verify correctness of responses. This phase proved to be effective because respondents asked for explanation and clarification of questions, which helped them to understand some aspects of records management and the intelligent university. The following section will describe how data was analysed during the study.

4.7 DATA MANAGEMENT AND ANALYSIS

The role of data analysis is to bring data together in a meaningful way to enable researchers to interpret or make sense of it (Wilkinson 2000: 77). Data must be organised in some way (Bertram and Christiansen 2014: 119). To facilitate organized data for easier analysis, data was coded according to the main themes of the questionnaire as soon as it was collected. Thematic analysis, explained Komori (2016) is the process of encoding qualitative information so as to gain insight and knowledge from data. The questionnaire data was converted into an Excel spreadsheet and imported on ATLAS.ti, whilst secondary documents were analysed manually. Data analysis can be enhanced by using a computer programme so as to speed up the analysis process. In this study the researcher used ATLAS.ti version 7 to capture and analyse data. The programme was selected because it is already used for qualitative data analysis at UWC, moreover it is suitable to analyse any type of text. Friese (2013: 9) described ATLAS.ti as a qualitative data analysis and management tool of large bodies of textual, graphical, audio, and video data that helps to organize analysis and make connections within the analysis much simpler.

4.8 ETHICAL CONSIDERATIONS

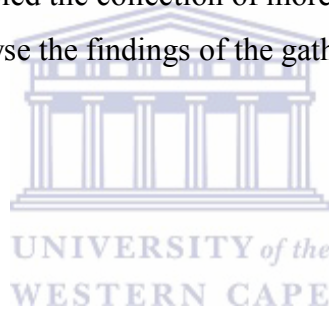
The researcher stated in section 1.13 that ethical considerations employed in this study would be explained further in this section.

When conducting research in an academic or professional setting, you need to be aware of the ethics behind your research activity (Driscoll and Brizee 2012). The researcher obtained ethical clearance (See Appendix D) and abided to the ethical rules of UWC throughout the

conduct of the study. Consent to conduct the research was obtained from the University of the Western Cape authorities prior to commencement of the research (See Appendix C). Laws, legislation and policies pertaining to access to and protection of information were adhered to. Participants were informed about the procedures of the research and their consent was requested before participating in the study (See Appendix A). The privacy and confidentiality of participants were respected. This study did in no way undermine the university, but was conducted to highlight the valuable contribution of records management in the university.

4.9 CONCLUSION

This chapter discussed in detail, the research methodology of the study. The research methodology was exploratory in nature, posing “what” “how” and “why” questions and thus being consistent with the functionalist theoretical framework of this study. The triangulation data collection methodology enabled the collection of more substantial data. The next chapter will present, summarise and analyse the findings of the gathered information.



CHAPTER 5

DATA PRESENTATION AND INTERPRETATION

5.1 INTRODUCTION

The previous chapter discussed and justified the research methodology of this study. The case study approach used exploratory qualitative data collection methods, which were, semi-structured interviews, electronic questionnaire and document analysis. The researcher highlighted in the previous chapter that the research was conducted during the #feesmustfall campaign. The unrest experienced during the campaign affected data collection, response rate to the questionnaire and availability of staff for interviews. The use of triangulation as a data collection method, however, assisted in getting as much information as possible and to validate findings. In support, Lunenburg and Irby (2008: 203) stated that triangulation is a process used in qualitative studies to address questions of validity.

This chapter presents and interprets data gathered from UWC staff members and institutional documents. Bearing in mind the key objectives of the study, namely to determine whether the records management function was known and understood, whether the records management function worked closely with other departments and whether records were accessed and used for decision-making and research. The chapter will present responses in the broad themes of records management, institutional perceptions as well as use and access to records management. Data interpretation will be supported by the Functionalist theory. Bertram and Christiansen (2014: 125) and Wilkinson (2000: 95) stated that qualitative data are usually presented by using narratives, graphs, tables, diagrams and matrices. The researcher used narrative text and tables to provide enough detail of the findings of the study. Neuman (2011: 525) explained that narrative text refers to data in a story-like format that people apply to organize and express meaning and understanding.

5.2 RECORDS MANAGEMENT

The following themes addressed records management at UWC.

5.2.1 Records management knowledge

Within this theme, the researcher sought to determine whether the records management function is known and understood at UWC. This was in line with the functionalist approach which asks what, why and how. Respondents were asked to give their opinion of what a record is; its importance in their work environments; their understanding of records management; knowledge of Documents, Records and Archives Services unit and whether they had received training to develop records management knowledge.

A record is defined as 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 (Standards South Africa 2004: 3). The evidential quality is what distinguishes a record from other types of information resources (Parker 1999: 7 and Wiggins 2000: 63). The respondents demonstrated that they had an idea of what a record is and some highlighted its evidential role, but a few however, knew what records management entails. The senior staff members had a clearer idea of what records management is than junior administrative staff although the latter group had attended records management training presented by DRAMS. The junior administrative staff mentioned one or two aspects of records management such as storage and destruction based on their interaction with DRAMS. Their assumption is that the role of the records management unit is for storage and destruction of records.

In response to the question on whether they had attended records management training, most respondents as indicated earlier, had attended training. Other respondents had received customized hands-on training provided by records management staff in their units where each staff member received guidelines on records management and archiving. A few respondents had learnt about records management through a guided tour of the Central Records Office; some claimed that they had not attended training because they had not been invited; and others, mostly managers, felt that the training was not relevant to their work, therefore did not attend. Table 5.1 reflects common quotations by respondents:

Table 5.1: Records management knowledge responses

Question	Quotation
Record	“Events that have happened” “Evidence” “Print” “Electronic” “ Information stored for future use” “document” “Work in progress” “Information source by individual /organization”
Records management	“Managing records” “Process of managing records” “Retention periods” “Systematic arrangement” “(file plan) updating” “Organizational memory” “Destruction” “archiving” “Preservation/storage of records” “Security” “Information flow” “Clear content of the record”
Records Management training attendance	“RM courses are expensive” “Not invited for training” “No knowledge of training” “Training irrelevant”

The following theme addressed institutional perceptions about records management.

5.2.2 Institutional perceptions

The questions under this theme were asked to determine whether there was awareness of the records management function among staff within the university; whether records

management was considered an important function; whether there was institution-wide knowledge of records management related prescripts; and co-operation between the records management unit and other units. These questions were meant to determine whether the records management function was considered important and worked in sync with other components as is required of an intelligent university and functionalist theory guiding this study. Respondents were allowed to elaborate on their responses so as to provide more information. Below is a narrative of responses followed by a table with common quotations by respondents in response to questions.

5.2.2.1 Records Management function awareness and importance

The respondents stated that the university staff members were aware that the records management function does exist at UWC but not sure whether all UWC departments were aware of it. This is because the records management unit was not widely marketed therefore information about its services was not readily available institution-wide. Some respondents knew the Central Records Office (CRO) and its purpose through their interaction with the unit as Records Management Coordinating Committee (RMCC) members or as clients and felt that representation of university departments on the RMCC is proof enough that there is awareness. Respondents expressed that they did not think that records management was considered important because of high staff turnover in management and slow filling of the vacant management position, rendering the Documents, Records and Archives Management Service (DRAMS) leader-less for long periods. Due to changes in management and long periods without a leader, momentum had been lost. Some departments had thus resorted to external records management service providers for some services, such as storage. Respondents who were members of the RMCC highlighted that the CRO currently does not exist as it has been moved from its original location and had no dedicated office space. Other departments therefore could no longer transfer records for storage. According to the respondents, the lack of dedicated space for the records management function was a stark indication that the function was not considered important within the university.

Concerning knowledge of the Central Records Office and its services, some of the respondents had limited knowledge due to lack of awareness provided and marketing of the unit. The researcher used the UWC website and intranet to verify this claim and found that indeed there was no information marketing records management on the website. Lack of information about records management could lead to minimum knowledge and usage by

other departments. Below are findings about records management cooperation with other departments.

5.2.2.2 Does the Records Management unit work closely with other units within the university?

The intelligent university according to Staskeviciute-Butiene and Neverauskas (2008: 56) should ensure coordination and team work among units, which would result in the effectiveness of university and possibility react to sudden changes. Respondents indicated that the CRO worked closely with other units and that staff were readily available to assist with records management matters such as advice on destruction and storage of records. Close cooperation with other units was also evident in the fact that training workshops were provided to up-skill other units as well as the inflow of records transferred from offices to the Central Records Office for storage. Circulation statistics and regular requests for information received from offices are also proof enough that there was close cooperation between CRO and other units, such as the Secretariat, Academic Planning Unit, Institute for Poverty Land and Agrarian Studies (PLAAS), Legal Aid Clinic, Office of the Registrar and the Student Support and Research Unit (DRAMS 2013: 8).

The RMCC and Archives and Records Management Committee (ARMC) are composed of representatives from other units to discuss records management strategic and operational matters, this demonstrated regular consultation, cooperation and interaction with other units. Respondents however, were concerned about lack of progress and follow through with some matters such as Electronic Content Management which was discussed and adopted at both RMCC and ARMC some time back.

The high staff turnover of DRAMS managers was highlighted to negatively affect continuity of services and regular consultation with other units, and as such, recently appointed staff members were not aware of the unit.

5.2.2.3 Legal and administrative requirements

This question was asked to determine whether respondents were aware of national and records management related legislation, policies and operating procedures used by CRO during conduct of their duties. Organizations must adhere to applicable legislation, laws, regulations and standards (Franks 2013: 31). As a function that upholds good governance and

accountability, records management should therefore set an example by complying to relevant legislation.

Some of the respondents indicated that the CRO did meet legal and administrative requirements as evident in workshops they have provided to university staff on relevant Acts such as Protection of Personal Information and Promotion of Access to Information. Respondents viewed this positively more especially concerning accessing staff and student personal information. Respondents however, did not demonstrate knowledge of implementation of other relevant legislation such as the National Archives and Records Services of South Africa Act, 1996, the Provincial Archives and Records Service of the Western Cape Act, 2005 or the Promotion of Administrative Justice Act, 2000. Respondents who were aware of an approved records management policy stated that the existence of an approved policy shows that there is compliance to legal and administrative prescripts by the CRO. Some respondents however were not aware that the university had an approved Records Management policy or relevant legislation. Table 5.2 reflects common quotations by respondents to illustrate institutional perceptions:

Table 5.2: Institutional perceptions

Question	Quotation
Records management unit awareness	"Aware" "No direct access" "No awareness created to" "Purpose not clear" "Destruction of records" "No knowledge of type of records kept" "Storage of records" "No marketing"
Close cooperation with other unit	"Training of staff" "Storage" "Not sure" "IT consultation"
Legal and administrative requirements	"POPI and PAIA workshops" "protection of personal information"

The following theme addressed access of records from the Central Records Office and use.

5.2.3 Access and use of records

This theme addressed questions relating to use of the Central Records Office services; use of records for decision-making and knowledge of access tools. Respondents had to tick applicable responses provided by the researcher. The responses were validated by analysing Central Records Office documents such as circulation registers and records transfer lists.

5.2.3.1 File Plan and access procedures

The file plan is an important administrative tool that specifies how records are to be organized and managed, for example, it contains reference numbers, retention periods, disposition and other instructions for management of records. Franks (2013: 71) posited that the file plan lists the records in the organization and describes how they are organized and maintained. Each unit should have access to the file plan for sound records management and easy access to records. The researcher sought to find out whether the university has a file plan and access procedures, since these are important tools in accessing records. Most respondents however, indicated that they were not aware or sure whether the university had a file plan or access procedures. A few respondents at administrative level and RMCC members were sure that there was no file plan but were aware of access procedures. The researcher established that the university did not have an approved file plan. According to records management staff, the draft file plan was submitted for approval in 2014 but had not been approved.

5.2.3.2 Consultation of records from the CRO for decision-making or knowledge creation

Records are important in planning, decision making and implementation by management staff (Uwaifo 2004: 89). The use of all organizational intelligence is a requirement of the intelligent organization as stated by Staskeviciute-Butiene (2009a: 29). In determining whether records were used at UWC, this sub-theme sought to determine whether university staff consulted records from the CRO to assist in making decisions or getting more information about an activity and how often they consulted records. Respondents had to choose an appropriate response from: everyday; always; sometimes; seldom; and never. None of the respondents consulted records every day or always. A few had seldom or regularly consulted records for decision-making but the rest indicated that they never consulted records from the CRO for decision-making as they have other sources. Since some respondents had

accessed records from the CRO on behalf of decision-makers, some of the senior staff had indicated that they had no direct access to the CRO.

Below is a table with common quotations by respondents:

Table 5.3: Access and use of records

Question	Quotation
Knowledge of approved file plan	<p>“I use file numbers but don’t know whether are approved”</p> <p>“Don’t know”</p> <p>“Yes”</p> <p>“Not sure”</p>
Knowledge of records management policy and procedures	<p>“Not sure”</p> <p>“Yes I know procedures not sure of policy”</p> <p>“No”</p>
Usage of CRO for storage of records	<p>“No, store own records”</p> <p>“No, off-site storage”</p> <p>“Yes but not recently CRO has no space”</p>
Consultation of records for decision-making from CRO	<p>“Yes, sometimes”</p> <p>“Never”</p> <p>“No, have other sources”</p> <p>“Yes, regularly when needed”</p>
Records management rating	<p>“Very good service”</p> <p>“Good, access is prompt”</p> <p>“Good, they must apply consistency”</p> <p>“Fair”</p> <p>“awareness is poor”</p> <p>“High staff turnover, therefore no consistency”</p>

5.3 CONCLUSION

This chapter presented findings of data collected to investigate whether records management as a function contributed to making UWC intelligent. The research findings were divided into

themes of the questionnaire. Documents obtained from DRAMS and the UWC website were used to validate findings. The researcher used narrative text and tables to provide a clear and detailed presentation of the findings. Results revealed that records management is an established function at UWC but due to various short-comings, is not providing its services fully nor used optimally by UWC staff to prove that the component contributes to making the university intelligent.

The following chapter provides a discussion of the findings.



CHAPTER 6

DISCUSSION OF FINDINGS

6.1 INTRODUCTION

The previous chapter presented findings of data collected during the investigation into whether records management contributes to making UWC intelligent. This chapter discusses the findings seeking to answer the research questions and sub-questions which informed the study. Interpretation of findings will be guided by the research objectives introduced in Chapter 1, literature reviewed in Chapter 2 as well as the Functionalist Theory discussed in Chapter 3. In order to discuss, interpret and supply explanation of findings, this chapter draws on data presented in Chapter 5. The findings are discussed and interpreted under the broad themes explained in Chapters 4 and 5.

6.2 RECORDS MANAGEMENT KNOWLEDGE

The intelligent university is defined as an organization that is open to its internal and external environment, knows its components and is able to adapt to sudden changes by using the collective intelligence of the components (Staskeviciute-Butiene and Neverauskas 2008: 55; Staskeviciute-Butiene, Neverauskas and Ciutiene 2006: 63 and Staskeviciute-Butiene 2009b: 116). In addition, Staskeviciute-Butiene, Neverauskas and Ciutene (2006: 65) posited that large companies are comprised of multiple systems, each open to and receiving inputs from other subsystems and turning them into outputs for use by other subsystems. The University of the Western Cape has various components and each has a role to play for proper functioning of the university. Responding and adapting to change is embedded in the university's mission statement.

6.2.1 Knowledge of a record and records management

The findings showed that there is minimal knowledge of what a record is. The minimal knowledge of such an important organizational tool minimizes the chances of UWC being an intelligent university. In Chapter one, UWC, at face value, is open to its internal and external environment and is able to respond to abrupt changes. Knowledge of an important function, that is records management, was minimal.

6.2.2 Records management training

In describing the intelligent organization, (Bratianu, Vasilache and Jianu 2006: 77) highlighted the following characteristics: its ability to capture tacit knowledge; employee commitment to learning; flexible; ability to adapt to a changing environment and ability to develop its intellectual capital. The findings showed that records management training is provided and included in the university training schedule. CRO staff members provide training regularly to equip attendees with knowledge on records management. The findings showed that records management training was well attended by staff, more especially administrative clerks and secretaries. Despite training provided, some respondents could not clearly define a record and the records management function. Moreover, participants at senior level, did not consider records management training to be of any value in their work and therefore did not attend. Non-attendance was based on the assumption that records management involves filing and retrieval of records which are the responsibility of administrative clerks, personal assistants, office managers or secretaries. This finding showed that there was no commitment to learning and knowledge about records management and thus impedes in making the university intelligent.

6.3 INSTITUTIONAL PERCEPTIONS

This theme sought to determine whether there was records management awareness, close cooperation between records management unit and other university departments, compliance by the DRAMS to relevant legislation, and whether records management was considered important at the university.

6.3.1 Records management awareness and importance

The records management unit has been in existence at UWC since 2008. As a result of lack of awareness and knowledge of the unit and its function, the study found records management unit is under-utilized and not fully integrated into the university processes. An example is that the postal services component should to a large extent part of records management function, but is currently not.

The study found that the lack of marketing of records management had resulted in limited awareness within the university about the function resulting in minimal knowledge and use by some departments. Some respondents indicated that they were not aware where the Central Records Office was located and that information about records management was not

available elsewhere except from the training workshops and records management related committee meetings. Departments that did not attend records management training nor represented on ARMC or RMCC therefore, did not know the records management function.

In Chapter 5, it was highlighted that some respondents felt that there was a high staff turnover of DRAMS managers and delays in filling the post. The findings showed that delays in filling such a critical post proved that university management did not consider records management an important function. The study found that long periods without a manager to direct implementation of records management services led to lack of continuity in projects and no confidence in the records management unit. The downside of long periods without a manager was that records management fell off the management radar. Filos and Banahan (2001: 101) described an intelligent organization as one that values and uses information to become competitive and respond to the constant changing landscape.

6.3.2 Close cooperation between records management unit and other units

The intelligent university according to Staskeviciute-Butiene and Neverauskas (2008: 56) supported by (Quesado 2011: 1) should ensure coordination and team work among units, which would result in the effectiveness of university and react to sudden changes.

The study found that the records management component worked closely with some units by providing services and through records management training workshops. Interaction and coordination have also been facilitated through regular meetings with the Archives and Records Management Committee (ARMC) and the Records Management Coordinating Committee (RMCC). However, the momentum was lost because of high manager turnover in Documents, Records and Archives Management Services (DRAMS). Regular consultation with the committees and some projects therefore ceased. Quesado (2011: 1) stated that the purpose of an intelligent university is to focus on the participation and development of competences on a collaborative basis. According to findings, this does not seem to be the case at the UWC due to inconsistency caused by long periods without DRAMS leadership:

The study found that even though records management staff worked closely with other departments and were readily available to assist with records management matters, most of the respondents still felt that the function was not marketed enough.

6.3.3 Legal and administrative requirements

Awareness to whether DRAMS complied with records management legislation was limited to PAIA & POPI Acts because most respondents were not aware of any other records management legislation. It was verified that records were accessed by external requesters in compliance to the PAIA manual available on the UWC website.

Records contain information created or received during the conduct of business at the university. Records management is a task in which an organization seeks to protect its information assets (Hase and Galt 2010: 38). On the contrary, the University of the Western Cape did not have dedicated office space and premises for the records management function nor an approved file plan to ensure easier access, filing and management of records. Some respondents stated that the CRO is meant for storage and access to university records and had to be given priority for office space. Some units with a lot of records had resorted to off-site storage due to the lack of a Central Records Office. Outsourcing records storage however, is an unnecessary expense for the university.

6.4 ACCESS AND USE OF RECORDS

Records are information resources important for gaining more knowledge about the institution, for planning, decision-making, solve problems, interpret situations, accountability and good governance. In support, Chinyemba and Ngulube (2005) stated that reliable records are the basis for organisations to achieve accountability, transparency and good governance. By re-examining records one is able to understand why certain decisions were made, projects initiated and actions adopted. The intelligent organization according to Choo (2002: 37), should be able to study the organizations history so that when planning for the future, it has the full benefit of having looked carefully and learned from its past. Cook and Cook (2000: 1) described an intelligent organization as an organization that gathers, analyses, develops and uses quality information for competitive advantage.

This study sought to find out whether university staff consulted records for the decision-making, planning, competitive advantage or research. Furthermore, the study sought to determine whether there were access tools such as an approved file plan, records management policy and procedures.

6.4.1 File plan, records management policy and procedures

Some of the important tools for sound records management and access to records are an approved file plan, records management policy and procedures. The study found that though the UWC has an approved records management policy and procedures, these tools however are not widely known nor used by most staff. The study found that knowledge of the UWC Records Management Policy and procedures was minimal. This may be due to non-implementation of the policy. The planned implementation date was 2010 but during the study no implementation was yet realized.

The study found that the university did not have an approved file plan to provide instructions on how records should be managed and to ensure proper filing of records. When probed further on how they control, file, access and manage records created in their offices, the respondents indicated that offices had in-house filing systems for access and filing purposes. Saffady (1974: 204) stated that the advantages of a university records management programme are that important records are protected against unauthorized destruction and inactive records can be readily identified and stored. The absence of an approved file plan at UWC renders records management chaotic and results in mismanagement and unauthorized destruction of records. Külçü (2009b: 87) advised that records have a critical role for an institution and must therefore be managed properly. Efficient systems and procedures for the creation, organization, and disposition of records must also be created.

The fact that there was no approved file plan and awareness to the records management policy, UWC may not be considered intelligent because corporate memory may have already been lost or inaccessible. Moreover, sound records management processes at the university are therefore not in place. In 2005, the National Archives and Records Service of South Africa developed a South African Records Management model. The model applies not only to the governmental bodies but also to institutions of higher learning (Coetzer 2012: 44). According to the model, a sound records management programme should include a records management policy and procedures. In addition, Ngoepe (2008: 150) developed a records capability model which assists organizations to measure themselves against this model so as to determine where they are in terms of records management and how to improve to the next level. Table 6.1 provides a summary of the records management capability model (Ngoepe 2008: 157):

Table 6.1: Levels of a records management capability model

Level	Outline	Detailed characteristics
Level 1- Start-up level	No RM policy, procedures and file plan	Policy and file plan have not been developed. Functional analysis of the organization is not documented
Level 2 – Development level	There is basic RM policy and procedures and an approved file plan	Policy and file plan have been developed and documented but not implemented
Level 3 – Control level	Impact analysis and preparation	Policy and file plan are working across the organisation. IT is used for records management but not effectively
Level 4 – Implementation	Training of users and roll out of file plan and policy. A mixture of IT and paper system	Policy and file plan reviewed to monitor progress. Furthermore, they are updated regularly
Level 5 – Evaluation	Knowledge management environment is in place	RM is used effectively to support all business functions and governance objectives. A learning culture exists and there is compliance with legislation



Measured against Ngoepe’s model, UWC records management is at a developmental stage because the file plan and approved records management policy and procedures have not been implemented.

6.4.2 Consultation of records for decision-making

The findings showed that in most cases, records were transferred to the CRO due to lack of storage space in the offices. In most cases therefore offices which had transferred records accessed and consulted them regularly to make decisions, for planning and for research. The CRO Circulation Register and e-mail requests showed evidence of regular requests. The more senior respondents however indicated that they had never consulted records from the CRO because they used other sources of information relevant to their fields. This demonstrated lack of knowledge and understanding of the value and importance of institutional records by senior staff.

6.5 CONCLUSION

This chapter discussed findings of the study. It is evident from the findings that the records management function is not known at UWC and that records are not used optimally for decision-making. Furthermore, records management is not fully integrated with other university functions. These factors impede on records management's contribution to an intelligent university. The following chapter will provide conclusions and recommendations.



CHAPTER 7

CONCLUSIONS AND RECOMMENDATIONS

7.1 INTRODUCTION

The previous chapter discussed the findings of the study. This chapter will provide conclusions for the study and provide recommendations. A records management model for an intelligent university is presented to enable a positive contribution to the intelligent university. Problems encountered during the study are briefly provided as well as suggestions for further study. A brief conclusion of the whole study is provided at the end of the chapter.

The purpose of the study was to investigate whether records management contributes to making the University of the Western Cape intelligent. This study was conducted with an assumption that it would draw attention to the strategic importance of records management in universities to encourage decision-makers to implement such a programme to enable intelligent decision-making and competitive advantage. The study sought to develop a records management model for an intelligent university. In order to achieve the objectives of the study, research questions and sub-questions were asked.

The objectives were in line with the functionalist theory and characteristics of an intelligent university. To answer the research questions and meet the objectives, the following was done to gain the required insight into the subject matter:

- a literature study (Chapter 2) was performed to provide a critical evaluation of scholarly perspectives in relation to records management for an intelligent university;
- an in-depth analysis of the theoretical framework of the study (Chapter 3);
- a small survey and interviews were conducted with the use of a questionnaire specially developed for the purpose of this study. Interviews enabled qualitative views and opinions of respondents.
- a document analysis to provide background information about the site and the records management function.

As part of the survey and interview component, the purposive sampling technique was utilised to select respondents able to answer the questions in order to meet the research objectives. The research objectives were used as sections of the questionnaire and themes to

analyse findings. Conclusions on the research questions and objectives are provided in the next section.

7.2 CONCLUSION ON THE RESEARCH QUESTIONS

The following research questions discussed in Chapter 1 were answered

a) Is UWC an intelligent university? and what are the aspects that contribute to or impede on the development of UWC as an intelligent university?

The study found out that UWC is an intelligent university since it able to react to changes in its internal and external environment. UWC however does not consult records, no consider the importance of records management.

b) Is records management known at UWC and what is its role in the context of an intelligent university?

It was found out that records management is not known at UWC. If known and considered to be of importance, records management could help to assist the university staff to create authentic, reliable and complete records which could be consulted to make intelligent evidence-based decisions. The study found out that due to lack of knowledge of records management processes, and tools, for example, file plan and records control schedules, the records management cycle was not implemented.

c) Does the records management unit work closely with other UWC units?

The study found out that the records management unit works closely with other units since records management training is provided and there is interaction and consultation through various forums such as the ARMC AND RMCC.

d) How can a records management department and its relationship with other internal and external information stakeholders be used to develop a records management model for an intelligent university?

The study found out that through close relationships with other stakeholders, a records management model for an intelligent university can be developed. The close relationship among the stakeholders increases knowledge on how records are created, managed and accessed as well as their importance in reacting to internal and external changes and information needs.

The following section provides conclusions on the objectives of the study.

7.3 CONCLUSION ON THE OBJECTIVES OF THE STUDY

7.3.1 Records management knowledge

It can be concluded that due to scarce information about records management, non-attendance of records management training by some staff, and lack of marketing efforts, the records management function is not known or understood much by most staff of the University of the Western Cape.

7.3.2 Institutional perceptions

According to Staskeviciute-Butiene (2009b: 116), the pioneer of the intelligent university, each component is important and the intelligence of all components should be integrated to enable the university to be effective and able to react to sudden changes. Wright (2013: 18) also stated that records management practices should be inseparable from the organizational culture. It can be concluded that the records management function works closely with other departments within the university and the staff are readily available to provide records management assistance. Cooperation with other units is also evident in the existence of the RMCC and ARMC which discuss records management matters. However, long periods without a manager rendered the committees dysfunctional for a while; no follow through was done on decisions taken to implement some services promised to departments; and there were delays in approval of strategic documents and key tools such as the file plan. The Postal Services unit, an integral part of records management, is not integrated with the function.

7.3.3 Access and use of records

It can be concluded that records stored at the CRO were accessed by departments that had transferred them. The records, such as meeting minutes and case files were accessed for reference purposes, decision-making and planning. However, due to limited awareness of the records management function, access and use of records from the CRO by other departments was minimal. The lack of records management tools led to un-sound records management processes which impacts negatively on optimal usage of records.

7.4 RECOMMENDATIONS

The objective of this section is to propose recommendations to each finding noted in 7.3

7.4.1 Records management knowledge

To improve and institutionalize records management knowledge the following are recommended:

7.4.1.1 Records management training

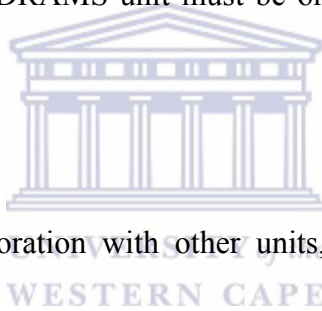
Records management training in an organization is usually for all staff who are creators of records and for records management staff. In support, Ngoepe (2008: 139) posited that records management is a shared responsibility therefore creators of records should be equipped with the necessary skills to capture and manage records. Recommendations for training of university staff are:

- i. The study found that records management and archives management training was combined as one training module resulting in staff confusing the two functions. Records management is a separate and distinct function (Mazikana 1998: 77 and Loadman 2001: 45). This study recommends that because records management and archives management are separate but related functions, training must be conducted in separate sessions to avoid confusion. Guided tours to the different sections should be conducted to enable staff members to differentiate between the two functions.
- ii. Records management is the responsibility of everyone who creates records, therefore training should be compulsory to all university staff that create and receive records.
- iii. The training should be both theoretical and practical. Regular monitoring of implementation of learnings is recommended. In support Parker (1999: 155) stressed that the most effective way to train anybody is to tell them what to do, show them how to do it, let them do it with clear written instructions, and check how they are getting on and correct if necessary.
- iv. The records management policy and procedure manuals must be made available on the university intranet in order to provide readily available guidance. Short videos demonstrating procedures might be useful. Franks (2013: 313) stated that although policies are written in response to legal and regulatory requirements, their value in organizations lies in the high-level guidance they provide in various aspects of managing records.
- v. Choo (2002: 21) stated that information technology should be used to enhance learning. E-learning must therefore be introduced to enhance and modernize records management training.

7.4.1.2 Creating awareness to service

In order to raise the level of records management awareness and importance, it is recommended that:

- i. awareness and guided CRO tours must be part of the orientation programme for newly appointed staff to provide awareness of the function, and afford it the same status as other functions;
- ii. there must be regular communication in the form of posters, leaflets or e-mail on key records management topics;
- iii. university staff must be provided with promotional material that they use regularly such as mouse pads, desk calendars or note pads which will serve as reminders of the records management function;
- iv. articles on records management topics must be published in the university newsletter;
- v. services provided by the DRAMS unit must be on the university intra- and internet web pages.



7.4.2 Institutional perceptions

In order to facilitate close corporation with other units, it is suggested that the records management:

- i. facilitate consultation with other components through the ARMC and RMCC;
- ii. conduct regular records management audits in all components to monitor compliance to relevant legislation and records management policy;
- iii. ensure regular contact with other components to ensure synergy and collaboration which are a characteristic of an intelligent university;
- iv. integrate the postal services or Registry with DRAMS as proposed by the records management for an intelligent university model;
- v. award the same level of importance as other key university functions to records management as it is a key strategic service that handles corporate memory;
- vi. fast track allocation of dedicated office space for the Central Records Office since the lack of office and storage space renders the function unimportant and hampers services such as transfer of semi-current records from offices;
- vii. craft a staff retention strategy to retain DRAMS managers to ensure business continuity;

- viii. supply continuous provision of records management services to encourage integration with other components;
- ix. revive the governance committees Archives and Records Management Committee and Records Management Coordinating Committees;
- x. elevate the DRAMS manager position to a senior level (such as Director: University Archives and Records Management) in order for the function to be placed at a strategic role awarded other key functions such as finance and human resources. Career growth in the DRAMS component is currently stunted. Records management functions are provided by a records officer while the same service is provided by Records Managers at Deputy Director levels in the public and private sectors.

7.4.3 Access and use of records

Recommendations to enhance the use of and access to records for planning and decision-making are:

- i. A marketing strategy must be devised and implemented to increase usage of the records management function as well as use of records in the CRO for planning and decision-making. The UWC internet, intranet and outreach are one of the many tools that could be used.
- ii. The use of technology such as digitization of records and enterprise content management are strongly recommended to facilitate faster access to records and kick start the much awaited electronic records management at UWC.
- iii. The absence of an approved institutional file plan hampers the full implementation of records management practices and organization of records. The file plan must be approved and implemented as a matter of urgency for sound records management, compliance to records management standards, and easier access to records.

7.4.4 Records Management Model for an intelligent university

Rule and John (2011: 35) stated that another way of concluding a case study is to develop a model, concept or theory from the case. Figure 7.1 on the next page illustrates the records management model for an intelligent university drawn from the findings:

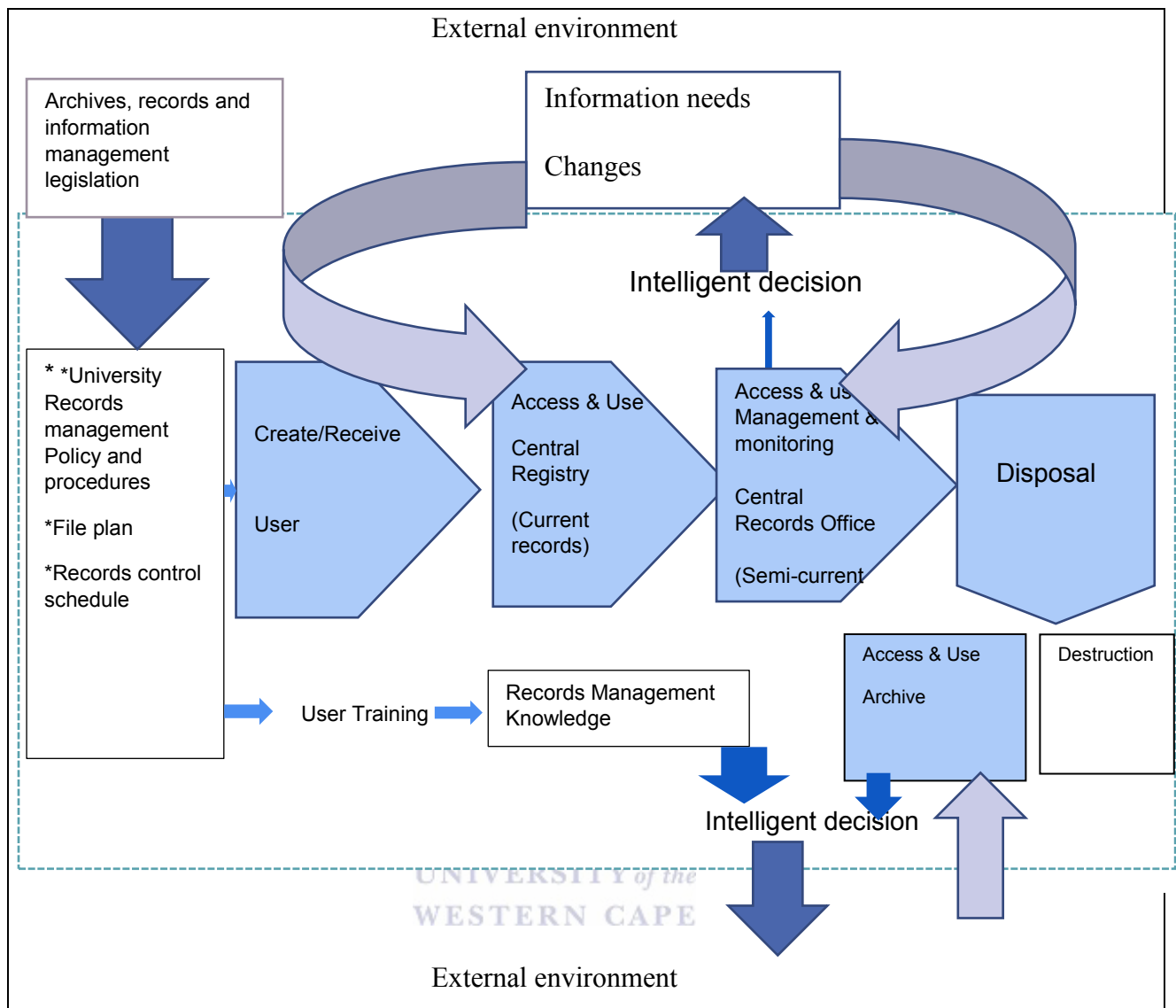


Figure 7.1: Researcher’s construction of a records management model for an intelligent university

The model presents:

- i. the university and its external environment. The university’s external environment is subject to sudden changes which the university has to be aware of and adapt to. These include information and records management legislation important in responding to information needs from the external and internal environment.
- ii. The flow of information from the university to react to sudden changes. The university has to be constantly aware of changes in its external environment and use all its resources including information resources to react or respond to the changes.

- iii. Records management tools that vital for the creation, management and accessibility of information to respond intelligently to changes and respond to information needs.
- iv. Synergy between the university departments (creators of records) and records management processes. At the same time maintaining the record lifecycle.
- v. The university as a learning institution which equips its staff with records management skills for better decision-making.

7.5 SUGGESTIONS FOR FURTHER RESEARCH

The most important areas identified for further research were:

- i. A comparative study to determine whether records management plays a role in making the other three universities of the Western Cape (Cape Peninsula University of Technology, University of Cape Town and the University of Stellenbosch) intelligent.
- ii. A large scale national study in other institutions of higher learning to provide a clearer picture of whether records management plays a role in making South African universities intelligent.

A national study on high staff turnover of records managers in public governmental bodies. The high staff turnover of records managers has been experienced by other public sector institutions. This study would assist in crafting a custom made staff retention model for the records management profession.

7.6 FINAL CONCLUSION OF THE STUDY

This study investigated whether the records management component contributes to making the University of the Western Cape intelligent.

Central to the intelligent university and functionalist theory is collaboration and cooperation of all functions to achieve institutional goals, reacting and adapting to changes. The study found that due to various short-comings, the records management function at UWC was not known much, not fully implemented, not fully integrated with other university components and not used optimally for decision-making. Records management therefore does not contribute to making UWC intelligent. Marketing, training, strategic placement of the records management function on the university organizational structure, integration with other components, implementation of electronic records management and a records management model for the intelligent university were recommended.

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Appendix A: Participant's consent form



Consent Form – Questionnaire

University of the Western Cape

Research Title: Records Management for an intelligent university: the case of the University of the Western Cape

Researcher: N. Momoti

Please initial box

1. I confirm that I have read and understand the information sheet explaining the above research project and I have had the opportunity to ask questions about the project.
2. I understand that my participation is voluntary and that I am free to withdraw at any time without giving any reason and without there being any negative consequences. In addition, should I not wish to answer any particular question or questions, I am free to decline. (If I wish to withdraw I may contact the lead research at any time)
3. I understand my responses and personal data will be kept strictly confidential. I give permission for members of the research team to have access to my anonymised responses. I understand that my name will not be linked with the research materials, and I will not be identified or identifiable in the reports or publications that result for the research.
4. I agree for the data collected from me to be used in future research.
5. I agree for to take part in the above research project.

Name of Participant
(or legal representative)

Date

Signature

Name of person taking consent
(If different from lead researcher)

Date

Signature

Lead Researcher

Date

Signature

Copies: All participants will receive a copy of the signed and dated version of the consent form and information sheet for themselves. A copy of this will be filed and kept in a secure location for research purposes only.

Researcher:

Supervisor:

HOD:

Interview

RECORDS MANAGEMENT FOR AN INTELLIGENT UNIVERSITY: THE CASE OF THE UNIVERSITY OF THE WESTERN CAPE

QUESTIONNAIRE/INTERVIEW GUIDE

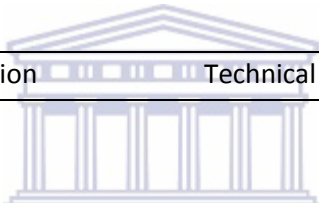
Job title:.....

Work experience:.....

Length of time in current position.....

(tick applicable box below)

Academic	Administration	Technical support
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SECTION A: Records Management knowledge

UNIVERSITY of the WESTERN CAPE

Question 1

In your opinion what is a record AND what is its importance within your work environment?

Question 2

In your opinion what is meant by Records Management?

Question 3

Are you aware of the UWC Documents , Records and Archives Management (DRAMS)programme and its purpose?

If **yes** please elaborate

If **no**, how and where do you access information about the university, such UWC history, statistics, annual reports and planning?

Question 4

Have you attended Records Management training offered by DRAMS?

If yes

Briefly explain what you learnt from the course



If no, why have you not attended training?

SECTION B: Institutional perceptions

Question 5

In your view is there awareness of the Records Management unit in the university?

Question 6

Is the Records Management unit regarded important within the university?

Please justify your answer

Question 7

Does the Records Management Programme meet legal and administrative requirements?

If Yes, describe how

If No, explain why you think it does not

Question 8

Does the unit work closely/cooperatively with other units?

Please elaborate on your response



SECTION C: Use and access to Records

UNIVERSITY of the
WESTERN CAPE

Question 9

Does the university have an approved file plan?

1. Yes
2. No
3. Not sure

Question 10

Have you consulted institutional records for decision-making or knowledge creation?

If yes, please elaborate

If not, which information have you used for decision-making?

Question 11

Does the Records Management unit have an easily available policy and procedures?

4. Yes

5. No
6. Not sure

Question 12

How often do you consult institutional records?

- 1) Everyday
- 2) Always
- 3) Sometimes
- 4) Seldom
- 5) Never

If never, specify why

Question 13

Please rate the state of records management in your institution from 1 (very poor) to 5 (Very good)

Please justify your answer





Appendix C: Permission to conduct research at the University of the Western Cape



Administration Building, 1st Floor
ashaikjee@uwc.ac.za, mamos@uwc.ac.za
021 959 2110

15 October 2015

Dear Nikiwe Momoti

RE: PERMISSION TO CONDUCT RESEARCH AT THE UNIVERSITY OF THE WESTERN CAPE

As per your request, we acknowledge that you have obtained all the necessary permissions and ethics clearances and are welcome to conduct your research as outlined in your proposal and communication with us.

Please note that while we give permission to conduct such research (i.e. interviews and surveys), staff and students at this University are not compelled to participate and may decline to participate should they wish to. Furthermore, permission must be sought by yourself from those participating in any research for their personal details to be used and or published from your study.

Should you require any assistance in conducting your research in regards to access to student contact information please do let us know so that we can facilitate where possible.

Should you have any queries please do not hesitate to contact me.

Yours sincerely

A handwritten signature in black ink, appearing to read "A. Shaikjee".

DR AHMED SHAIKJEE

MANAGER: STUDENT ADMINISTRATION

OFFICE OF THE REGISTRAR

Appendix D: Ethical clearance



UNIVERSITY of the
WESTERN CAPE

**OFFICE OF THE DEAN
DEPARTMENT OF RESEARCH DEVELOPMENT**

12 October 2015

To Whom It May Concern

I hereby certify that the Senate Research Committee of the University of the Western Cape approved the methodology and ethics of the following research project by:
Ms N Momoti (Library and Information Science)

Research Project: Records management for an intelligent university: The case of the



University of the Western Cape

Registration no:

15/4/8

Any amendments, extension or other modifications to the protocol must be submitted to the Ethics Committee for approval.

The Committee must be informed of any serious adverse event and/or termination of the study.



Ms Patricia Josias
Research Ethics Committee Officer
University of the Western Cape
Private Bag X17, Bellville 7535, South Africa
T: +27 21 959 2988/2948 . F: +27 21 959 3170

E: pjosias@uwc.ac.za
www.uwc.ac.za

Appendix E: E-mail request to respondents to participate in the research

Good day

I'm a registered Master in Library & Information Science student at UWC (Student no. 3473853). My research topic is **Records Management for an intelligent university: the case of UWC**. The aim of the research is to investigate whether records management as a unit within UWC contributes to making UWC intelligent.

I humbly request 15-20 minutes of your time to fill in the attached questionnaire to facilitate this research. The ethics clearance, consent and permission to conduct research forms are attached for your convenience. Please save and e-mail the signed consent form and completed questionnaire to nikiwe.momoti@westerncape.gov.za.

Please feel free to contact me should you need more clarification.

Protection of Personal Information Act is strictly adhered to in this process and no personal details will be used during publication of research results.

Your assistance is much appreciated.

Nikiwe Momoti (Ms)

