

**THE ROLE OF RECORD MANAGEMENT IN PROMOTING GOOD CORPORATE  
GOVERNANCE AT THE ROAD TRAFFIC TRAINING ACADEMY IN GAUTENG  
PROVINCE, SOUTH AFRICA**

**By**

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**DISSERTATION**

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**2024**

## **DEDICATION**

In loving memory of my late Mother Kwena Elizabeth Lesterina Makama and my late my Father Mmamoribula William Mokgehle, you are still represented. Be proud of your son.

**DECLARATION**

I declare that The Role of Record Management in Promoting Good Corporate Governance at Road Traffic Training Academy in Gauteng Province, South Africa dissertation hereby submitted to the University of Limpopo, for the degree of Masters in Information Studies has not previously been submitted by me for a degree at this or any other university; that it is my work in design and in execution, and that all material contained herein has been duly acknowledged.



\_\_\_\_\_

20 MAY 2025

\_\_\_\_\_

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**Date**

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## **ABSTRACT**

Record management has a very strong influence in determining as to whether organisations are doing what was supposed to be done, with requisite allocated resources, by following prescribed procedures and regulations in achieving their organisational mandate, thus governance. This study explored the role of record management in promoting good corporate governance at the Road Traffic Training Academy in Gauteng Province, South Africa, by adopting an exploratory research design based on the qualitative research approach. A non-probability purposive sampling was adopted to sample the whole population of 21 participants, comprising seventeen (17) Administrative staff dealing with records at RTTA and four (4) Unit Managers responsible for the four RTTA units. Semi-structured interviews were used to collect data, using an interview guide as a data collection tool, and 100% participation was secured. The collected data was analysed using thematic data analysis. The findings indicated that, record management at RTTA lacks systematisation, policy, procedures and proper training. Furthermore, the study revealed that RTTA's functions rely heavily on good stakeholder engagement, sustained by the provision of records for accountability and transparency to prove good corporate governance. The study revealed RTTA records management challenges such as a lack of professional records practitioners, haphazard records management systems, loss and misplacement of records, lack of record management training programmes, poor management support for record management programmes; and lack of formalised systems such as policies and regulations. Thus, it hampers good corporate governance. Possible solutions suggested were that record management systems such as filing plans, records appraisal, and disposal schedules. Thus, amongst other recommendations, the study provided that the record management practices at RTTA adhere to the legislative frameworks that govern record management in South Africa, as well as observing the international best practices.

**Key words:** Road Traffic Training Academy, RTMC, records management, corporate governance, accountability, transparency, and Auditing, Gauteng Province, and South Africa

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## **LIST OF ABBREVIATIONS AND ACRONYMS**

Academy: Road Traffic Training Academy

AGSA: Auditor General South Africa

EDL: Examiner for Driving Licenses

EM: RTTA Executive Manager

EOV: Examiner of Vehicle

ICTs: Information and Communication Technologies

IDP: Integrated Development Plan

IRMT: International Records Management Trust

ISO: International Organization for Standardization

MFMA: Municipal Finance Management Act

NARSSA: National Archives and Records Service of South Africa

NSFAS: National Student Financial Aid Scheme

PAIA: Promotion of Access to Information Act

PFMA: Public Finance Management Act

QCTO: Quality Council for Training and Occupations

RTMC: Road Traffic Management Corporation

RTTA: Road Traffic Training Academy

SAQA: South African Qualification Authorities

SASSETA: Safety and Security Sector Education and Training Authority

TNS: Training Norms and Standards

TREC: Turfloop Research and Ethics Committee

UKZN: University of KwaZulu-Natal

UL: University of Limpopo

## **CHAPTER 1: INTRODUCTION AND BACKGROUND**

### **1. INTRODUCTION**

#### **1.1. Recent research**

Records management plays a major role in the good governance of every organisation. Makgahlela (2020) views records management as “the exercise of applying effective standards and proficiency in the control of information, which is accumulated within an organisation as a result of its activities”. Chen (2023) and Touray (2021) define “corporate governance as a system of rules, regulations, policies, procedures, legislative frameworks, governance structures, practices, and processes” put in place to assist in directing and controlling an organisation towards achieving its goals, objectives, and mandates. Adhering to such a body of rules amounts to good corporate governance, while deviation from it amounts to poor corporate governance. The authors further observed that “good corporate governance involves balancing the interests of organisational strategic stakeholders such as the executives, customers, suppliers, financiers, auditors, and the community at large”. Malake and Phiri (2020) concur with Makgahlela (2020) by stating that in essence, records management relate with good corporate governance as records management aims to achieve optimal system of information organisation, access, and retrieval processes in the organisation, where trustworthy evidence of adherence to the system of rules and regulations will be found when needed for the demonstration of compliance with policies and transactions of an organisation, thus accountability and transparency in corporate governance. Furthermore, (Coetzer, 2014) observed that one of the core values attached to the records is its evidential value, involving organisational audit process, which links up to proving and justifying that a certain transaction, decision, and activity etc. was made or taken through following the proper legislative framework that governs the organisation.

The Road Traffic Management Corporation (RTMC) records management policy, (2011) acknowledges the importance of sound records management in good governance in that, it enhances governance factors such as service delivery, accountability, and transparency. Therefore, this postulates that proper records management may provide for good corporate governance as all the evidence relating to organisation’s activities will be found when needed to be used for specific purpose

such as decision-making, accounting, informing etc. Historically, during the drafting and approval of RTMC records management policy in 2011, it was in the same audit period when the Auditor General South Africa (AGSA), (2011) expressed a concern over lack of proper records/document management by stating that “In total, 94 auditees (30%) could not provide evidence that all their procurement processes had complied with legislation, as the supporting documentation either did not exist or could not be found as a result of poor document management”. To date, Studies such as Touray (2021), Malake and Phiri (2020), and Mojapelo (2017) found that records are evidence of transaction that took place within organisation and provide the basis from which decisions are taken.

The Road Traffic Training Academy (RTTA) is the Road traffic training college situated in Bokenhoutkloof in the North-western part of Pretoria, which is governed by The Road Traffic Management Corporation (RTMC), which in terms of governance falls within the jurisdiction of the National Department of Transport (DoT) as a parastatal. The Academy is therefore legally having a duty to retain and preserve documents and records of its proceedings if it should be considered practising good corporate governance (National Archives and Records Service of South Africa Act, (Act No. 43 of 1996 or the Act). The RTTA can be recognised as a governmental body as far as the NARSSA is concerned. RTMC website (2023), states that RTTA derives its mandate from the National Department of Transport as an agency thereof. It further helps the Department of Transport in achieving its goals by training traffic personnel across the country for municipalities, provincial governments, and even its internal traffic officials and staff members who are deployed on the national roads. Therefore, there is a high need for this organisation to adhere to proper records management practices to achieve good corporate governance as per the King code IV report on Corporate Governance (Price Waterhouse Coopers 2016). To further stress the importance of promoting proper records management in the RTTA, the Archives and Records Service of South Africa (2009) expressed a concern over “the lack of central control over the records which also includes lack of records management awareness amongst the staff”, whereby it is said that records disposal take place without following prescripts thereof, Are, this may create a risk in governmental body being held legally liable and achieving negative audit findings due to lack of proper documented proof of

its proceedings. In this instance, a proper governance is threatened when the information or record is requested in terms of the Promotion of Access to Information Act, 2000, which provides for fundamental right of access to information as expressed in the Constitution of South Africa Act, 108 of 1996.

In Africa and South Africa, studies relating to records management practices in relation to corporate governance includes *“The role of records management in ensuring good governance in Africa: impediments and solutions”* by Mosweu and Rakemane (2020); *“contribution of selected chapter nine institutions to records management in the public sector in South Africa”* by Mojapelo (2017); *“Enhancing service delivery through records management in Mogale City Local Municipality”* by Makgahlela (2020); and *“Records Management Practices in Primary Schools in Support of Good Governance and Organisational Accountability”* by Ngulube and Matina (2019). This indicates that the importance of strategies for proper records management in achieving good corporate governance receives the attention it deserves in different public and private organisations in Africa and South Africa, and RTTA should not be an exception. To fill this gap, this study sought to investigate the role of records management practices in the promoting good corporate governance in the RTTA, Gauteng Province South Africa.

## **2. RESEARCH PROBLEM**

AGSA (2022) on Public Finance Management Act (PFMA) observed significant loss of financial resources in the local and National governments, such as the Department of Health where 65% of negligence cases were lost due to poor records management; The National Student Financial Aid Scheme (NSFAS) where 75 institutions overpaid students, which create a need for this institution to review its records to account for such errors, proper records management practices may remedy such governance disasters as there will be a trace of proceedings. In the municipalities, the AGSA (2022) on the Municipal Finance Management Act (MFMA) found that 27% of consultants employed by the municipalities did not deliver on their mandates, citing inadequate records and documentation management in these municipalities. The RTMC (2023) said that the RTTA has a mandate to deliver on road safety in the country through the

provision of training programs to its stakeholders, such as the local, provincial, national, and private sector. This makes the RTTA accountable to these stakeholders.

As a result of the background of the problem, a need arises for proper records management to assist the RTTA to attain an acceptable level of accountability and transparency to all stakeholders, clean audit, justification of value chain in training processes and thereby achieve good corporate governance (Mojapelo,2017; RTMC,2023). Chibambo (2003) contends that “records document the decisions and activities of governments and private institutions and serve as a standard through which future activities and decisions are measured”. This shows that without proper records and management thereof, there can be neither rule of law, accountability, nor transparency. The researcher, as an employee of the RTTA, has over time observed the alarming rate of misplaced and lost information and records in the Academy, which according to Touray (2021), may lead to governance challenges such as: negative audit report; creation of discord with relevant stakeholders and partners such as Quality Council For Trades and Occupations (QCTO) which needs records of assessments and attendance according to notional hours to quality assure training programmes and issue certificates to trainees; may hamper RTMC Training Norms and Standards (RTMC-TNS) in the conduct of monitoring and evaluation and proper oversight for internal quality control which relies heavily on records as means of verification (RTMC,2023). Therefore, based on the above paragraph, it was assumed that poor records management may attract poor audit results, a lack of accountability and transparency, which may point to poor corporate governance in RTTA. As a result of this gap, this study sought to explore the role of records management in promoting good corporate governance at the Road Traffic Training Academy in Gauteng Province, South Africa.

## **2.1. Key concepts**

### **2.1.1. Record**

Shepherd and Yeo (2003) defined record as “any recorded evidence of an activity not defined by its physical format or storage medium, its age or the fact that it has been set aside for preservation”. Meanwhile, Maseh (2015) defined records as “information

created, received and maintained as evidence and information by an organization or person in pursuance of legal obligations or in transaction of business”. Therefore, both definitions make it clear that a record play a significant role in providing the evidence of events and transactions of its host organisation. This is particularly important in the governance issues such as auditing, accountability, and transparency as they require records as a means of verification.

### 2.1.2. Records Management

The United Nations Archives and Records Management Section (2023) view records management as “the branch of management concerned with the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, which document systematically the evidence of and information about business activities and transactions”. According to Mojapelo (2017) records management involves the actions of ensuring that the records are readily available without difficulty, in an understandable and usable form for as long as they are needed. This indicates that records management involves the creation of information organisation, access and retrieval systems put in place by organisations in pursuit of managing records for ease of access and retrieval as the need arises.

### 2.1.3. Corporate Governance

Gutterman, (2023) view corporate governance as the “the systems and structures of rules, practices and processes” by which organisations apply managerial functions of planning, organising, leading, directing, and controlling organisational resources towards achieving its goals, objectives, and mandates. Thus, failure to adhere to the system of rules and regulation set for the running of an organisation constitute poor corporate governance, while adherence thereof constitute good corporate governance. Mojapelo (2017) further observed that at macro level corporate governance involves accounting and transparency to stakeholders such as customers, executive, shareholders, state etc. Thus, running an organisation to the satisfaction of the stakeholders.

#### 2.1.4. Transparency

Mojapelo (2020) observed that transparency is about providing answers as to why, when, what, and how much to hold the organisations and their executives to account on basis of goals and objectives set versus the actions and decisions taken. Organisation may be held to account by either of the following stakeholders: customers, public, auditors, shareholders, government, courts etc. Gupta, Dasgupta, and Gupta (2008) provide that transparency is a moral imperative which is closely associated with properties of good governance such as accountability, inclusivity, and openness. This definition shows that transparency cannot happen without providing information and records.

#### 2.1.5. Accountability

Mulgan (2022) refers to accountability as an exercise of proving that obligations are met in compliance with the legislative framework of interest to a particular organisation, and that policies, systems of rules and regulations are observed during the conduct of an organisational business. Dubnick (2023) concur with the author by defining accountability as the “ability to ensure that public officials are answerable for their behaviour where they are forced to justify and inform the citizenry about their decisions and possibly eventually be sanctioned for them”. These definitions suggest that should there be no evidence, accountability cannot be achieved. Therefore, an institution or individuals within it, are accountable if they can provide reasons, explanations with proof to the relevant stakeholders about their actions and decisions made while undertaking business activities of that organisation.

#### 2.1.6. Auditing

Kumar and Sharma (2015) refer to auditing as an “intelligent and critical scrutiny of the books of account of a business with the documents and vouchers from which they are written up”. AGSA (2023) further refers to audit as a process that is used to independently “evaluate the measures commissioned by organisational authorities to ensure that allocated resources are procured economically and utilised efficiently and effectively and, if necessary to report thereon”. These definitions show that for an organisation to achieve accountability, transparency, and good corporate governance it must be scrutinised to match the inputs (resources) against the outputs (activities)

and the outcomes (desired results). This will give an organisation and stakeholders a better understanding of the previous, current, and future affairs of the organisation.

### **3. PURPOSE OF THE STUDY**

#### **3.1. Aim of the study**

The aim of the study was to explore the role of records management in promoting good corporate governance at Road Traffic Training Academy in Gauteng Province, South Africa.

#### **3.2. Objectives of the study**

- To establish record management practices by Unit Managers and Administrative Staff at RTTA, thus records creation, usage, maintenance, and disposal in achieving good corporate governance at RTTA
- To determine the role of record management practices by RTTA Unit Managers and Administrative Staff in fostering good corporate governance at RTTA.
- To assess the RTTA Administrative Staff's level of education, competencies, and skills concerning dealing with record management in achieving good corporate governance at RTTA
- To establish the level at which records management practices by RTTA Unit Managers and Administrative Staff impact on transparency and accountability as particles of good corporate governance at RTTA.
- To recommend the strategies that may enhance good record management and practices to achieve good corporate governance at the RTTA.

### **4. SIGNIFICANCE OF THE STUDY**

Mouton (2001) Mouton (2001) posits that the importance of the study underpins the rationale for which the research was undertaken and its resultant contributions. Consequently, the significance of this study is predicated on the assertions of Mojapelo (2017), who argues that records, when meticulously maintained through a systematic classification framework, function as a pivotal mechanism in expediting accountability and transparency; the records requested will thus be accessible in a timely manner, aiding the attainment of effective corporate governance. Accordingly, the outcomes of this research are anticipated to heighten awareness within the Academy and

analogous institutions, encouraging the adoption of records management as a crucial instrument for fostering good corporate governance and enhancing accountability in the delivery of training and educational services within the South African traffic sector and beyond. It is additionally anticipated that this study will offer valuable insights to policymakers, such as executives of the RTTA, to ensure adherence to the legislative frameworks and policies governing records management. Furthermore, while the study concentrates exclusively on the RTTA, it has been conducted with the expectation that its contributions will resonate beyond this Academy, influencing other governmental entities and educational institutions by providing adequate guidance and recommendations regarding the role of records management in bolstering good corporate governance, accountability, and transparency. This research will also be beneficial to academics, students and experts who are interested in this area of study. The researcher sought to publish an article from this study, thus adding to the body of existing knowledge in the field of records management.

## **5. OUTLINE OF THE STUDY**

**Chapter one:** Introduction and background covers the introduction and background of the study, key research, key concepts, The research problem, source and the background of the problem, the statement of problems and the purpose of the study, ethical consideration and the significance of the study.

**Chapter Two:** Literature Review and Theoretical Framework gives the theoretical framework and the literature relating to the study.

**Chapter Three: Research Methodology** presents the methodology used in this study, which includes research design, population and sampling, pilot study, study area, data collection, data analysis, quality criteria and ethical considerations. Validity and reliability issues have also been discussed in this chapter.

**Chapter Four: Discussion, presentation and interpretation of data** outlines the discussion on data management and analysis. Presentation of research results and overview of the research findings is also discussed in this chapter.

**Chapter Five: Recommendations and conclusions** discuss recommendations and conclusions of the study. The following items are addressed in this chapter: research design and method, interpretation of the research findings, recommendations, contributions of the study and limitations of the study.

**Chapter Six: Summary and conclusions** summarise the findings and recommendations of the study. Conclusions on the role of records management practices in promoting good corporate governance at RTTA were drawn up and recommendations based on the study objectives were also made.

## **6. SUMMARY OF THE CHAPTER.**

This chapter covered the introduction and background to the study. Furthermore, it discussed the research problem, the purpose and objectives of the study, significance of the study, scope of the study and a summary of the research methodology. It also outlined the definitions of terms used in the study. Finally, the chapter summarised the study's chapters. The next chapter covers the literature review and the role of theory relating to this study.

## **CHAPTER 2: THEORITICAL FRAMEWORK AND LITERATURE REVIEW**

### **2.1. Introduction**

The previous chapter covered the introduction and background to the study. Furthermore, it also addressed the following: research problem, key concepts, purpose of the study, thus research aims and objectives, research methodology, ethical considerations, significance of the proposed research and the outline of the study. Therefore, this chapter deals with the literature review to set out the theoretical framework and the literature for the study.

Snyder (2019) view literature review as the process of building the research based on previously addressed issues and believes that “relating it to existing knowledge is the building block of all academic research activities, regardless of discipline”. She further postulated that academics have a task to prioritise marrying the current research to the existing body of knowledge produced by the previous research. This may ensure that research is not conducted haphazardly and in an isolated fashion as integration with the previous research will provide some form of blueprint. Authors such as Baumeister and Leary (1997); Paré and Kitsiou (2020) describe literature review as a systematic way of collecting and scrutinising, synthesising, and reviewing previous research and lay a foundation for the current research in progress. Nkuna (2020) reiterated that literature review plays significant role in any study owing to its ability to set the research tone from the point of view of what is already researched and reported. Therefore, literature review may eliminate the reinvention of the research that is already conducted. Mouton (2008) and Neuman (2006) further concur with Nkuna (2020) by arguing that “reviewing literature aids the research by reviewing and learning from different researchers on how they have investigated similar issues”. This may lessen the time, resources, and the effort of the current researcher in trying to figure out the new processes, methodologies, findings, and recommendations that the existing studies may have provided for, and channel the effort, time, and resources into finding new knowledge by using and applying previously used principles and methods discovered by the predecessors in the same research field. Rowe (2022) concur with Bless, Higson-Smith and Sithole (2013) by postulating that the role of literature review is to “identify gaps in knowledge, as well as weaknesses in the previous studies; to find associations, inconsistencies or different relations between various exploration results

by looking at different examinations; to distinguish factors that must be considered in the examination, just as those that may end up being unessential". This shows that one cannot conduct proper research without considering and aligning it with the previous facts studied and reported by fellow researchers.

There are studies about the role of records management in promoting good corporate governance, but not specifically on the role of records management practice in promoting good corporate governance in Road Traffic Training Academy (RTTA) in Gauteng Province, South Africa. The literature was organised according to the objectives of this study as outlined in Chapter one in section 3. Therefore, it covered the following topics: records management practices in the public organisations, thus records creation, usage, maintenance, and disposal; the role of records management in fostering good corporate governance; knowledge, competencies, and skills required for records management; the impact of records management practices on transparency, and accountability; and the Strategies of effective records management. Sources consulted in this study included journal articles, books, websites, conference papers and Theses and Dissertation to increase a more profound comprehension of what previous studies have found about the topic.

## **2.2. The role of theory in the study**

According to Neuman (1997) and Williams and Khan (2023), the role of theory in the study is to set up a conceptual framework with the purpose of providing detailed explanation of the topic of study. The author further observed that to provide such detailed explanation, theory explore logically connected propositions to create contextual orientation to facilitate holistic understanding of the phenomena of study. Thus, it is impossible to conduct the study on any phenomena without understanding its main and subtopics, relationships amongst such topics which form its theoretical building blocks. Smith and Becker (2022) postulate that theory provides logical details consisting of the following criteria: first, it provides clarification of observed relationships of concepts as they interconnect with a phenomenon; secondly, it updates the previously studied facts and the observed relations amongst them; thirdly, it provides a platform for constructive criticism, the confirmation of the effectiveness of the status quo and suggestion for correction; and fourthly, it provokes further

investigation in areas of previous studies where shortcomings were found. Therefore, there are two theoretical models upon which this study is based, namely Records management life cycle and Records management continuum model (Upward, 2000). Coetzer (2012) found that the combination of these two models helps to facilitate and accommodate both the manual system, which is still relevant, and the electronic system. Despite the challenges experienced with the life-cycle model due to its lack of coherence when the records reach the final archival stages, both models are deemed necessary in the training environment where both paper and electronic records exist.

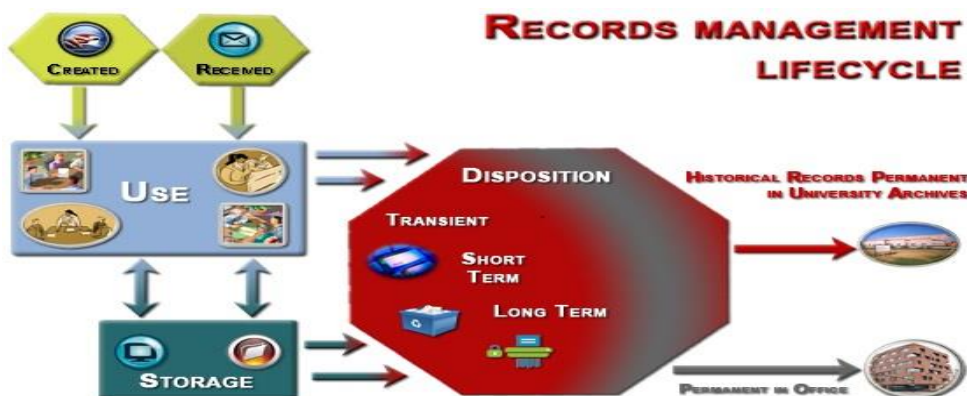
### 2.2.1. Records management life cycle model

Newton (1989) elaborates that the life cycle of records reflects the opinion that all records, irrespective of form and purpose, pass through certain well-defined phases. The phases follow logical steps from records creation and/or receipt through to records usage, storage, and maintenance up until the final stage of disposal or transfer to archives depending on the future usage value. Firstly, the life-cycle model was instrumental in the study in depicting records management practices in the RTTA and creating an effective records management programme thereof, and how records are created/ received, and used, and cared for in the RTTA for enhancement of good corporate governance. According to Yusof and Chell (2000), this theoretical model allows the development of appropriate tools, systems, and procedures to effectively manage each phase of the life of a record. The life cycle concept promotes a sense of order through a systematic approach to records management and is aimed at showing action taken in the life of a record: typically, its creation, distribution and use, storage and maintenance, retention and disposal; and finally archival and preservation stage (Atherton 1985; Shepherd and Yeo 2003).

Roper and Millar (1999) are of the view that the sound management of records throughout their life cycle is an imperative programme for good governance and improvement of public service. The author further states that without the lifecycle concept, vast quantities of inactive records clog up expensive office space, and then it is virtually impossible to retrieve important administrative, financial, and legal information. Such a situation undermines the accountability of the state and endangers the rights of the citizen. However, Lemieux (2017) notes that despite the continued

popularity of life-cycle model, it has its limitations. For instance, the separation of duties between the records managers and archivists in the records the life-cycle theory which according to Matlala and Maphoto (2020), presents barriers to proper and effective preservation of digital records. These observed weaknesses presented by the record management life cycle model are viewed as the strength in the records management continuum model which advocates for all-inclusive roles in records management as opposed to separate roles (Crooks,2018).

Figure 2.2.1: Records management life cycle model by Jessica McCurdy Crooks, 2018



### 2.2.2. Records management continuum

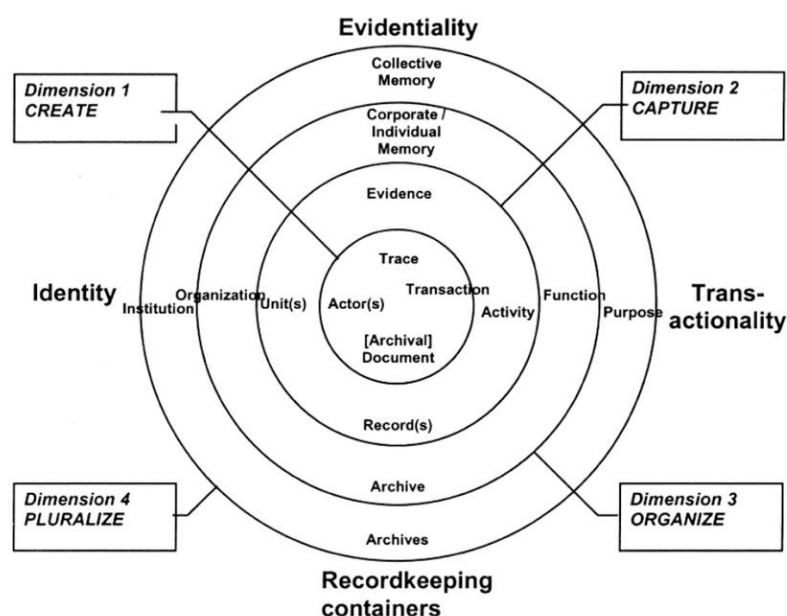
According to Upward (2000), this theoretical model identifies the four dimensions of the records continuum representing four key records management processes taking place through space and time. Therefore, in the records continuum diagram, such processes are depicted in four concentric circles moving outwards from the events as follows:

The creation of records: which involves recognising that records in the institutions, organisations and units are created by actors (or employees) while they perform mandated duties (or activities and functions) to achieve the organisational goals and purpose, thus trans-actionality. The records capture: this involves the capturing of the created records into the records management systems of an organisation such institutional or corporate repositories to serve as evidence to account for the transactions embarked onto by institution, organisation, and units. The records organisation: this involves organising records to form institutional memories including archives using file plans which comes with procedures and policies for description and

storage of such records. The records pluralisation: which involves the collection, management, and maintenance of all records as collective memory (Upward 1996). This model contributed to the better understanding of records management practices at RTTA from creation, usage, maintenance, and storage and archival.

Matlala and Maphoto (2020) assert that as opposed to records life cycle approach, in the records continuum approach, there are no strict boundaries between records and archival management responsibilities, as current records can also become archives right from creation, instead of waiting for final disposition to determine their fate, while non-current records can also become active again, as and when they are required for an organization's purposes. The records keeping processes in this model involves contents, context, and the structure of the record as opposed to record as a static physical entity. International Records Management Trust (1999) noted that records in the electronic environment cannot be managed by using the life cycle model, rather the record continuum model due to the following among other factors: electronic records are often subjected to factors such as version control, editing , editing final versions and saving them as new records, authenticity of the record and audit trail activities which involves noting activities on the records in the records management system, rendition which involves presentation of records in a different format than the one created in (e.g. Word document presented as Portable Document Format/PDF ), website management which also needs version control for accountability as to what has been posted on it amongst other factors. It is therefore apparent that the cyclic movement of record as it is the case in records life cycle model (from creation/life to destruction/death or transfer to archives) cannot accommodate this nature of records dealings. As a result, record management continuum model would be preferred for such purposes.

Figure 2.2.2: Records continuum model (Upward 2000)



### 2.3. Record management practices in the public organisations

Mojapelo (2017) ascertain that records management practices in an organisation begins as soon as the record is created or received by an individual or organisation, and it is only completed when the record is destroyed or transferred to an archival storage. To relate record management practices with good corporate governance, the author further contended that “record keeping in the public sector affects the entire accounting process”. As a result, a need arises for organisations to become actively involved in proper documentation of their activities to come up with acceptable level of accountability and thereby achieve good corporate governance. Therefore, the goal of records management practices is to engage into the activities that ensures that unnecessary records are not created, the necessary records are maintained and used effectively and the records that have served their purposes are disposed or preserved properly. Harris (1997) is of the view that no government or public entity can convincingly demonstrate accountability to its stakeholders without engaging into proper records management practices. Therefore, records-making and records-keeping processes are necessary to achieve the best retrieval and exploitation of the information held in the organisation, and to improve the efficiency of the said

organisation. Maher (1992) points out that records management deals with records creation, information access and retrieval systems, records protection, and records disposal and/or transfer to the archives.

The University of Ohio (2023) and International Records Management Trust (1999) recognises seven processes that relates to records management in organisation which includes: records creation, organisation, storage and maintenance, retrieval and access, retention, disposal, and destruction. Therefore, records management practices in the organisation encompasses the following processes:

### 2.3.1. Records creation or generation

Smith (2019) describe records creation as an initial records management stage involving the generation or receipt of records within an organisation. The author further explained that records in an organisation can be created or received when individuals, units and functions of the organisation embark on various processes and activities, correspondence, and documentation thereof creates records.

### 2.3.2. Records organisation, storage, and maintenance

In terms of records organisation, Jones and Williams (2020) states that after records are created there is a need for them to be well organised, therefore records classification and organisation provides a systematic way of organising records in a way that facilitates easy retrieval. The author further believes that records that are created need to be well organised into classified categories and subjects adhering to established schemes or systems to ensure standardisation in handling of records in the organisation. Thus, records should be classified in such a way that ensures uniformity organisation wide. Storage and maintenance are other important factors in records management practices in the organisation. According to Brown (2018), the integrity and usability of records over time depends on the effectiveness of their storage and maintenance in both physical and electronic records management systems. For example, records that are stored in an insecure place may be at the risk of losing its evidential value as they may be altered, deleted without trace; damaged by environmental factors such as water, sunlight, humidity; or even stolen. The author further postulate that maintenance of records eliminates the risk of storing records of

no value and destroy valuable records that the organisation can use during litigation, decision-making etc.

#### 2.3.3. Records retrieval and access

Records retrieval and access refers to the ability of an organisation to find records when they are needed, whereby according to Robinson (2021) records that are stored and well maintained in the systems should be able to be retrieved efficiently for the requirement of business operations, audits, or legal purposes. Therefore, it can be deduced that the usability of records depends on its retrievability and accessibility which is a function proper of records management.

#### 2.3.4. Records retention and disposal

Taylor (2022) recognises the importance of records retention in the records management practices of organisations in that, there must be strict adherence to retention schedules specifying the retention period of records which depends on organisational legal, regulatory, and business requirements. In terms of records disposal, Garcia (2020) states that it is very important to dispose of records at the end of their retention period or whenever their value diminishes in the organisation. The author further states that the process of disposition involves either destruction through secure methods such as deletion, incineration, and shredding if they are no longer needed for enduring value; or being transferred to archival storage for long-term preservation due to their enduring value to the organisation. When records reach the end of their retention period or are no longer needed for business purposes, they undergo disposition (Miller, 2019).

#### 2.3.5. Records management systems in the organisation

Records management practices in the organisation takes place by utilisation of systems responsible for enabling the entire management of records processes. ISO 15489: 2001 states important factors to be considered when organisations create and implement effective records management systems in that, it should be able to regularly capture all records according to the business activities that it relates to; organise records by considering business processes from the point of view of the creator; offer protection of records from factors such unauthorised destruction, access and

alteration; regularly provide primary information about documented records it hosts; and provide for easy information retrieval and metadata related to all records created, captured, and stored in the system.

## **2.4. The role of records management in fostering good corporate governance.**

### **2.4.1. Good Corporate governance**

Good governance refers to becoming accountable and transparent while optimally utilising allocated resources to achieve organisational objectives and goals. Williams and Davis (2021), and Khan and Hameed (2019) stresses that strategic planning, setting of performance standards, conducting monitoring and evaluation for performance management while adhering to legislative framework guiding organisational activities to achieve objectives and goals of the organisation constitute good corporate governance. This explanation shows that it is impossible to embark on good corporate governance without being accountable and transparent. Thus, it involves allowing stakeholders such as auditors, customers, legislative oversight organisations related organisation's industry and environment to continually conduct monitoring and evaluation of compliance with the set standards. Deviation from which constitute poor corporate governance.

Good governance should be responsive to the needs, concerns, and expectations of various stakeholders such as organisations that conduct oversight duties including parliament, the public, auditors, and customers (Brown and Miller, 2019). Therefore, it becomes apparent that organisations exist for a particular purpose and governance constitute the way the purpose for existence of the organisation is achieved. Therefore, audit becomes important in ensuring that the way the organisation conduct itself, thus governance, towards achieving the objectives and goals comply with the set standards and rules, that is good governance.

### **2.4.2. Contribution of records management in good corporate governance.**

Kargbo (2009) posits that effective records management constitutes the foundation of exemplary corporate governance, which the author delineates as the frameworks, methodologies, and practices, as well as the cultures and systems that incentivise the efficient functioning of an organisation. Furthermore, the author asserts that corporate

governance constitutes the mechanism through which the proprietors and creditors of an organisation oversee and guarantee accountability for the resources entrusted to the organisation by these stakeholders. This assertion underscores the critical role of records management in fostering transparency, ensuring accountability, and promoting harmonious relationships with stakeholders pertinent to the organisation. Garcia (2020) emphasises that practices characterised by transparency facilitate stakeholders' access to organisational information regarding the activities pertinent to their relationships, thereby engendering accountability on the part of organisational leaders. Consequently, it can be deduced that in the absence of effective records management, transparency and accountability may remain unattainable, potentially resulting in deficient corporate governance. Mosweu and Rakemane (2020) support this notion by illustrating that, "several years of poor governance in Sierra Leone precipitated the decline in public sector management due to the disintegration of records-keeping systems, culminating in corruption." Moreover, Willis (2005) argued that when organisations prioritise corporate governance, records management typically undergoes enhancement, indicating that robust corporate governance sustains the necessity for effective records management.

#### 2.4.3. Records management role in audit

According to Smith (2018), audits bring about compliance which relates to following proper procedures and set standards to achieve organisational objectives and goals which is the particle of governance. The author further recognises the role of effective records management in ensuring that such rules and regulations are adhered to, by providing for accurate records as evidence, for assessment of compliance or deviation during audit. Furthermore, Mojapelo (2017) observed that audit relies on the evidence of transactions, activities and decisions made while the organisation conducts its business. Thus, such evidence is found in the records such as financial statements versus the products procured against the set rules and standards meant for organisational control (Jones and Brown, 2020). Davis et al. (2019) observed that without records management, it will be very difficult to establish audit trail, as the flow of transaction of activities from initiation to completion will lack documentation of evidence to trace financial data to enable auditors to verify the validity, authenticity, integrity, and reliability of reported information.

Adams and Peters (2021) and, Miller and White (2017) recognise risk mitigation that results from a properly conducted audit using records in that, properly managed records may eliminate errors and financial misconduct such as fraud; and financial misreporting, by provision of well organised, maintained, and protected records with authenticity and credibility to represent true reflection of the audit findings.

## **2.5. Knowledge, competencies, and skills required for records management**

### **2.5.1. The value of well-trained records management personnel in organisations**

According to Unegbu and Adenike (2013), it is vitally important to train staff members on the records management policies and procedures to ensure proper implementation thereof. In support of this view, Oyedokun (1999) further expressed that training staff members on the records management policies and procedures will enable staff accountability for the records management activities in the organisation. McLeod et...al (2004) identifies categories of personnel to trained for proper records management in the organisation as follows, “For good management of records, it is important that various categories of personnel involved in the management of information, records and archives administrators, IT personnel, record managers, and archivists as well as the records creators and users be well trained”.

### **2.5.2. The challenges of lack of appropriate records management training in organisations**

Mosweu and Rakemane (2020) identified that, among various challenges faced within the records management profession, the absence of suitable training constitutes a significant barrier to effective records management practices. The authors further acknowledged that insufficient financial resources restrict the training opportunities available for personnel engaged in records management. This underscores the reality that, within numerous records management units across organisations, the individuals tasked with records management often lack sufficient knowledge, competencies, skills, and training requisite for effective record handling within such entities. Ngoepe (2008) asserted that effective records management is fundamentally dependent on the presence of trained records managers possessing the essential skills and knowledge required to oversee records throughout their entire lifecycle. Moreover, Wamukoya and Mutula (2005) noted that the financial challenges encountered indicate that a

considerable number of civil servants lack the requisite educational background in records and information management, which is critical for optimising their performance in records management.

### 2.5.3. Records management personnel qualities for successful records management

Smith and Johnson (2018) observed that the excellence in records management depends mostly on the knowledge, competencies, and skills that the records practitioners or staff dedicated for records management possess. The author further substantiated that in terms of the knowledge, the records management practitioners should have “solid understanding of records management principles, including the lifecycle of records, classification systems, retention schedules, and regulatory requirements, which forms the foundation for effective records management”.

In terms of competencies, Jones (2020) believes that staff members trusted with records management in organisations should possess among others the analytical skills. The author believes that the person with these skills developed the ability to conduct organisational business processes analysis, which is instrumental in identifying records management needs, developing proper records management strategies tailormade for a specific organisation.

Additionally, Robinson (2021) is of the view that records management policies, procedures and strategies needs to be well presented to the stakeholders such as management whose buy-in is crucial for allocation of financial and other resources to make records management programmes a success in the organisation. Therefore, there is a need for records management practitioners to have effective communication skills. Garcia (2020) recognises the importance of problem-solving skills when dealing with the records management practices in organisations. The author substantiated that there are complex issues in records management that may pose challenges, such as dealing with legal and regulatory issues relating to records; organisation of records, storage, retrieval which are not static rather dynamic due to factors such as technological advancement, amendment of legislation etc. Therefore, it will take personnel possessing problem-solving skills to deal with such a volatile environment. Taylor, (2022) concur with Gracia (2020) in that records management personnel should have the “ability to adapt to evolving technologies, regulations, and organisational needs in the field of records management” and it takes both theoretical

and problem-solving skills to keep abreast with the advancement in the processes of records management.

Based on the high level of accuracy needed in records keeping processes such as records classification, indexing, storage and retrieval, Brown and Miller (2019) believe that attention to detail skill is necessary in this instance to ensure accuracy in records management practices in the organisation. The ability to adapt to evolving technologies, regulations, and organisational needs in the field of records management is highly desirable for the person with records management responsibility in the organisation (Taylor, 2022).

Williams and Davis, (2021) found that it is also important for records management personnel to possess technical skills such as proficiency in dealing with records management software, databases, and digital archiving systems to enable proper and efficient records organisation, storage, and retrieval. Additionally, organisational skills according to Miller (2019), is instrumental in managing large volumes of records, maintenance of proper records sequence and order, and the prioritisation of tasks related to records management activities need these skills set.

Jones (2020) further stresses the importance of the knowledge and understanding of relevant legislative framework and regulations as well as industry standards governing records management practices, e.g. The constitution of South Africa Act 109 of 1996 which provides for the right to access to information, Promotion of Access to Information Act 2 of 2000, Promotion of Administrative Justice Act 3 of 200, Protection of Personal Information Act 4 of 2013, The National Archives and Records Service Act 43 of 1996 as amended and other fiscal laws and regulations that dictates the disposal and retention of records due to their evidential value in the conduct of business processes of the organisation. The author further believes that without knowledge of legislative framework in the records management fraternity may become near impossible to avoid litigation and reaching acceptable level of compliance will be far-fetched.

Therefore, it is assumed that by acquiring and honing these knowledge, competencies, and skills, records management staff can be enabled to manage records efficiently and effectively, ensure compliance in dealing with records, and contribute to the overall success of their organisation.

## **2.6. The impact of records management practices on transparency, and accountability**

The International Records Management Trust (IRMT) (1999) identified three functions supporting that are in support of good corporate governance, namely: the management of information, compliance auditing process, and providing accounting practices such as reporting. Additionally, Robinson (2021) and Jones (2020) define accountability in the organisation as the practice of good governance by establishing mechanisms for taking full responsibility of every action, decision, and performance by adhering to legal framework and ethical standards while engaging in promoting responsible organisational behaviour. Therefore, this indicate that if organisations are to practice good governance, adherence to principles of accountability and transparency are of utmost importance. Omotoso et al (2016) concur by stating that, records contribute to good corporate governance by acting as the enabler of decision-making, provision of organisational direction, policy formulation and implementation thereof. Therefore, it becomes apparent that for records to be of such a value, organisational executives, managers, and the general staff should be able to retrieve such records whenever they are needed for use, and these point to the relationship between properly managed records and accountability and transparency in the organisation.

Robinson (2021) further postulated that transparency, accountability, organisational efficiency, risk mitigation, and compliance with legal and regulatory requirements are the by-products of effective records management practices. The author's viewpoints reflect that, lack of effective records management practices in the organisations may result in lack of transparency and accountability. Mosweu and Rakemane (2020) shared the sentiment by stating that "For citizens to hold governments accountable for their actions, they must have access to records to monitor government activities". Therefore, this assertion calls for establishment of robust records management frameworks to maintain the integrity, authenticity, and accessibility of records in the organisations to ensure accountability and transparency. Ngoepe and Ngulube (2013) observed that, the practices of accountability and transparency in every organisation, depend on myriads of components meant to promote good corporate governance, such components include but not limited to: internal audits, an audit committee, internal

controls, and a record management system need to be put in place. The authors further regard records management as a corporate function that supports corporate governance if its principles are appropriately implemented. As a result, it can be concluded that effective records management principles are as good as their implementation.

Mojapelo (2020) refers to audit as a process by which organisations become transparent and are held accountable using the set standards; and records management practices helps in properly documenting and providing evidence in such a process. Smith and Johnson (2018) concur with Ngoepe and Ngulube (2013) in that transparency is a by-product of effective records management because of its ability to provide access to accurate and reliable information about activities and transactions of an organisation and acting as enabler of provision proof of best ethical decisions taken by organisational leaders and staff. In this case, lack of records may equate to lack of proof which is against the principle of ethical accountability and transparency, and consequentially, may lead to poor corporate governance in the organisation.

Furthermore , Garcia (2020) stress that well-maintained records enable stakeholders of an organisation, be it internal or external, such as customers, and regulatory agencies, to access information regarding organisational business processes, financial conduct, and policies and procedures, fostering mutual understanding and trust, as well as confidence in the organisation's operations which may bring about transparency and good organisational image and integrity; and that may contribute to good governance. The author in this instance point to the importance of records management in the organisational transparency to all its stakeholders, which becomes possible by the provision of timely, relevant, and accurate information about organisational activities and transactions which may lead to mutual understanding and trust.

To further signify the impact of records management practices on transparency and accountability, AGSA (2022) noted that in 2021/22 financial year, 45% of auditees received material findings on the quality of their performance reporting; on the other hand, 40% of such auditees involved presentation of records that were not reliable, while 25% involved provision of records of no evidential value to indicate adherence or compliance with the corporate governance structures. This point to poor transparency

and accountability due to poor records management practices, which hampered proper audit and consequentially led to poor corporate governance due to lack of authentic recorded evidence. ISO 15489-1 (2015) concurs by reiterating that records management is a tool through which evidence is documented to ensure accountability and promote good corporate governance, by upholding ethical standards of those involved. This reinforces the opinion that, lack of records equals to lack of evidence, which may lead to poor corporate governance due to lack of transparency and accountability.

Jones, (2020) postulate that the ability to trace individuals and organisations to actions and decisions taken, amounts to accountability and well managed records are able provide evidence that enable tracing individuals and organisations to their actions. The author further believes that records management practices can contribute to accountability by devising clear strategy for documentation processes incorporating audit trails linking actions and decisions to individuals within an organisation. Therefore, to make accountability possible, Robinson (2021) suggest that there should be readily available and accessible records to enable authorities and oversight organisations such as South African Revenue Services (SARS), courts, Auditor General (AG), internal and external stakeholders etc. to hold individuals accountable for their actions, and thereby ensuring compliance with legislative framework, regulations, and policies of the organisation. Moreover, according to Brown and Miller (2019) proper records management enable proper audits and legitimate audit findings facilitates thorough investigations and proper conclusion, and thereby enable accountability, improvement, and corrective measures. Thus, it leads to good corporate governance.

## **2.7. Strategies of effective records management to achieve good corporate governance.**

International Records Management Trust (1999) believes that records management strategy begins with analysing the status of records creation and usage in the organisation. Such analysis should include analysis of all the processes that relates to the creation, organisation, access, retrieval, and disposition to get the general idea of records management practices in the organisation.

According to Smith and Johnson (2018), when the records management systems in the organisation have been analysed, it will be easier to develop procedures and policies that needs to be followed to standardise records management by outlining roles, responsibilities, and processes for managing records throughout their lifecycle in an organisation. Thus, establishment of records management policies and procedures can eliminate confusion in records management practices in the organisation by setting clear goals, roles, and standards for records management.

When policies and procedures are in place, records organisation and classification may take place as per the guidelines and protocols contained in such records management policies and procedures. According to Jones (2020), records classification and organisation involves identification and categorisation of records according to well defined procedures and rules. The author further postulates that there should be a consistent utilisation of records classification system that allows for organisation of records in terms of their content, function, and value to ensure the effective management and retrieval thereof. Records are as good as their ability to be accessed, retrieved and used and that is where the proper records organisation and classification becomes vitally important.

Acquisition and utilisation of Information and Communications Technologies (ICTs) for records management is also vitally important as part of record management strategy. Brown and Miller (2019) recognise the importance of records management ICTs in leveraging records management software and digital tools to streamline processes such as classification, storage, retrieval, and retention scheduling. Such technologies should be acquired and designed in line with the procedures and policies developed for standardisation of records management in the organisation.

Therefore, devising of policies and procedures, and acquisition of ICTs may pose a challenge on the knowledge and skills possessed by personnel, therefore, it becomes vitally important to train staff in utilisation of such records management policies and procedures, tools, and technologies. As a result, to concur with the statement, Robinson (2021) further provides that it is vitally important to train staff on records management by providing regular training and awareness programs on technologies and best practices, including proper filing procedures, data protection, and compliance requirements. In this case, it is worth posing a question that “what will it become of a

proper records management systems and tools if they cannot be utilised due to lack of skills and knowledge?”. This question highlights the importance of not only updating systems and rules, but also personnel skills involved in dealing with records in those systems and rules.

While it is important to train the personnel on the utilisation of records management systems and procedures, the process will not be complete if compliance cannot be ensured. Therefore, in terms of the strategies on ensuring compliance enforcement, Garcia (2020) stresses that organisations should ensure adherence to records management policies and regulatory requirements by conducting regular records management audits, monitoring, evaluations, and enforcement mechanisms. Therefore, it is in these audits and monitoring that deviations and compliance may be detected and corrective actions will be taken to ensure records management accountability and compliance.

Taylor (2022) recognises that the functions of organisations are conducted daily, and they produce various records some of which may constitute records of ephemeral value, while other organisational functions may produce records of enduring value to the business. Records of enduring value are determined according to their legal and evidential value in support of the decisions taken in the organisation. Therefore, this point to the need to devise strategies to control the records retention and disposal schedules to manage the retaining and disposal of records.

Williams and Davis (2021) found that the strategies of regular records inspection may assist in devising records retention and disposal schedule as it is used to conduct regular reviews of records inventory which uses legal and regulatory requirements to identify obsolete or redundant records for either retention or disposal. Thus, helping the vital records to remain clearly accessible and retrievable as and when the need arises.

Furthermore, Taylor (2022) concurs by stating that at times in the lifecycle of the record, a need may arise for a decision to retain some records due to their continued value in an organisation. In this regard, the author postulate that there should be the development and maintenance of records disposal and retention schedules that specify the retention periods for different types of records, and that depend on the

legal, regulatory, and business requirements of the records under review on whether to retain or dispose of them.

According to International Records Trust (1999) records are as good as their integrity, and their evidential value relies on their authenticity which makes their protection against tampering, loss, and damage very important. This points to the fact that security of the records is also vitally important as a strategy to manage such records. In this regard, Miller (2019) states that security of records is of paramount importance in the records management strategy, and furthermore the author reports that records need to be protected against unauthorised access, loss, and damage by implementing both physical and digital security measures which should include access controls, encryption, and off-site backup solutions.

## **2.8. Summary of the chapter**

This chapter reviewed literature from other studies dealing with records management and corporate governance. Furthermore, theories and literature used in this study were covered in this chapter. Two critical records management theoretical models covered were records management life cycle model and records management continuum model. The literature review was organised according to the study objectives as follows: Records management in public organisations; the role of records management practices in fostering good corporate governance; Knowledge, competencies, and skills required for records management; the impact of records management on transparency and accountability; and strategies of effective records management to achieve good corporate governance. The following chapter deals with research methodology.

## **CHAPTER 3: RESEARCH METHODOLOGY**

### **3.1. Introduction**

Research methodology refers to a fundamental strategy embarked on to conduct research, which encompasses research paradigm; population of study; sampling and data collection techniques and methods; and the procedures followed to implement research design which culminates into achieving research objectives by answering research questions (Babbie, 2011; Clur, 2015; Burns and Grove 2013). Claude (2024) further observed that research methodology also delves into “strategies for ensuring validity and reliability, the data analysis approach, and ethical consideration”. This shows that research methodology is the overall method and application of myriad research techniques to attain research goals by adhering to the systematic steps of scientific methods of inquiry. As a result, this chapter covers research methods and design, data collection and analysis, and the internal and external validity of the study.

### **3.2. Research paradigm**

Willis, Jost and Nilkanta (2023) mentioned that one significant part of the research process is the paradigm within which that study is conducted as it translates to being a fundamental framework directing the actual conduct of the study. Furthermore, Cresswell and Poth (2022) concur by highlighting that research paradigm involves the beliefs that are prevalent in the study, the values and the assumptions thereof, as well as the methods used to conclude on, and to understand the reality and generate knowledge about the phenomena under investigation. Therefore, it can be concluded that research paradigm has a direct impact on the overall process of the research ranging from the formulation of research objectives, through to questions, and thereby data collection and analysis. Willis, Jost and Nilakanta (2023), recognised five research paradigms as positivism, interpretivism, critical theory, pragmatism, and post-positivism. Furthermore, Cresswell and Poth (2022) identified differentiating factors amongst these research paradigms as Ontology which refers to the nature of the reality that needs to be addressed by the study, epistemology referring to the nature of the knowledge that needs to be acquired using the study, research goal that needs to be achieved by the study, methodology used to conduct the study, the researcher’s

role in the actual conduct of the study, and practical usage of the research. Therefore, the study used both constructivism and interpretivism research paradigm.

### 3.2.1. Constructivists paradigm

Therefore, to justify usage of constructivist paradigm, Guba and Lincoln (2023) postulate that the researchers basing their studies on constructivism paradigm believe in the individuals being the active constructors of knowledge with emphasis on subjective construction of multiple social realities; of which knowledge creation relies on the interaction taking place between the researcher and participants. In this instance, the researcher plays a vital role in shaping the research findings (Creswell & Poth, 2022). Therefore, in this study, the researcher conducted qualitative study by interviewing the participants (unit managers and administrative staff) to draw conclusion and make recommendations on the records management practices and corporate governance at RTTA using the subjective constructions of the reality as viewed by those participants. The authors further posit that researchers conducting study in the constructivism paradigm are more interested in real world from the perspective of those who are involved, and that is the research participants, which is the case in this study. Moreover, to further justify the usage of this paradigm in this study, Charmaz (2023) opined that it mostly employs qualitative methodology to achieve co-construction of meaning involving interaction between the researchers and the participants using data collection methods such as interviews, be it focus group and/or individual interviews.

### 3.2.2. Interpretivist paradigm

Furthermore, to justify the usage of Interpretivists paradigm in this study, Mertens (2020) identified that, there are similarities between this paradigm and constructivism paradigm in that they both regard reality as a subjective view of the participants. However, Smith and Osborn (2023) found that this paradigm emphasises comprehension of the lived experiences and social contexts from the perspectives of the participants. In this instance, this study sought to use qualitative research methods to study the role of records management in good corporate governance from the subjective and the lived experiences of unit managers and administrative staff at RTTA. Furthermore, in terms of the role of the researcher and the participants in this

approach, Schwartz-Shea and Yanow (2022) contend that knowledge is derived from comprehending the subjective experiences of the participants, while the researcher is expected to familiarise themselves with the context while striving to maintain an analytical posture in the study. Furthermore, Willis et al., (2023) concur by mentioning that interpretivist paradigm-based research has a goal to interpret social phenomena through the lens of participants, not for the purpose of generalisation, but to understand particularities and details of the research phenomena under investigation.

### **3.3. Research approach**

Cresswell (2014) refers to research approach as plans and procedures detailing methods, data collection, analysis and interpretation which involves three different approaches as follows:

#### **3.3.1. Qualitative research approach**

Creswell (2012) characterised qualitative research approach as that which seeks to explore phenomena under investigation to obtain detailed understanding of the topic under investigation, especially in the face of unknown variables, by learning from the research participants. Furthermore, in this approach the phenomenon is studied in its natural setting from the perspective, interpretation and meaning of those who are involved (Denzin and Lincoln, 2005). Qualitative research involves more words as opposed to numbers, this kind of approach observes the world in its regular setting, trying to understand circumstances and comprehend the implications around the world as experienced by the population under investigation (Cresswell, 2014; Fouche, Strydom and Roestenburg, 2021).

#### **3.3.2. Mixed methods approach**

The mixed method research approach is said to be the strategy for gathering, investigating, and "blending" both quantitative and qualitative approaches and strategies in a solitary report to comprehend the phenomena under investigation (Yin, 2016). Therefore, when phenomena of study have multiple facets that involve both quantifiable and qualifiable variables, it becomes feasible to use mixed methods as a blend to assist the researcher to holistically study the phenomena. Furthermore, Mojapelo (2017) argue that "the mixed methods approach is research in which the

investigator collects and analyse data, integrates the findings and draws inference using both qualitative and quantitative approaches in a single study or problem of inquiry". This indicates that, mixed methods approach is suitable where qualitative and quantitative approaches would fail to arrive at appropriate conclusion if used independently.

### 3.3.3. Quantitative Research approach

Quantitative research approach is applicable in the areas of research where data need to be equated scientifically and to generalise the findings to the whole population (Cresswell, 2012).

Therefore, the study applied qualitative research approach to determine the perceptions, experiences of and the meaning attached by the Road Traffic Training Academy (RTTA) Administrative staff and the Unit Managers regarding the role of record management in promoting good corporate governance at Road Traffic Training Academy in Gauteng, South Africa. In this instance, according to Cresswell (2012), the researcher explored the depth and richness, gained insight, and understand the complexities characterising the phenomenon. This is in line with Creswell (2013), in that the "qualitative method is used when a problem needs to be explored or when there is a need for a complex and detailed understanding of an issue, and also when there is a need to empower individuals to share their stories and hear their voices."

### 3.4. Research design

Liamputtong (2009) define research design as a written plan and procedure to be followed for investigation of the phenomena of interest to the study. Terre-Blanche, Durrheim, and Painter (2006) concur by further defining research design as a strategic framework of action, serving as a bridge between research objectives and the execution of the actual research. Creswell (2014) ascertain that research design gives an outline of how the researcher collects, analyses, and interprets data; and it informs the research approach to be utilised in the study. Based on these definitions, it may be concluded that research design reduces haphazardness within the study by providing clarified blueprint according to which research will be conducted, thus making the study processes more systematic.

Neuman(1997) distinguishes between the four research designs as follows: Descriptive research which is aimed at giving the specific details of a situation or a social phenomenon, social environment or relationship; explanatory research design which is aimed at gaining insight into a situation, phenomenon, community or a person; correlational research design which refers to a systematic investigation into relationships between two or more variables to explain the nature of their relationship, as opposed to the examination of cause and effect ; and finally exploratory research design which is conducted in a particular field or topic in the social sciences, on which no research has been done or of which mention has been made, but not been addressed in a scientific manner.

Therefore, the study utilised exploratory research design to study the role of records management practices in good corporate governance in the RTTA, because not much this organisation has been studied about the role of records management practices in contributing to good corporate governance. In support of that, Fouche, Strydom and Roestenburg (2021) postulate that exploratory research design is desirable for studies seeking to address topic areas about which limited information is available, and to uncover insights about the problem under investigation from the perspective of those who are involved.

### **3.5. Population and sampling**

#### **3.5.1. Population**

According to Neuman (2000) population refers to “a well-defined group from which a sample can be drawn”. Therefore, for the purposes of this study, the target population were Unit Managers and Administrative staff at RTTA. This population was targeted because it is directly dealing with the activities that produces the records (four Unit Managers) and managing the records (seventeen administrative staff). The following are the parameters of the population of this study: the four Units Managers in the RTTA dealing with activities and programmes that produces the records, namely: (one)1 Theoretical Training Supervisor, one (1) Practical Training supervisor (one)1 Leaner support Supervisor, one (1) Administrative supervisor; and seventeen (17) Administrative staff dealing with myriad activities that produces records and are also responsible for the caring of all the records in the entire RTTA. As a result, they are

better placed to detail records management practices in the RTTA in relation to the governance of this institution. Nkuna (2020) believes that the larger the population, the more the need for sampling arises to select elements of the population to represent the entire population in the study.

### 3.5.2. Sampling and sampling procedure

#### 3.5.2.1. *Sample*

Malhotra (2015) refers to a sample as the selected individuals, units, or elements drawn from the research population, having direct similarities and relationships with the said population for the purpose of accurate representation in the study. Cresswell (2014) further advised of the importance of the larger sample in that “generally, apart from case studies, the larger the sample, the more valid and accurate the study. This is because the larger sample is more likely to be representative of the population”. This means that for the study to arrive at accurate conclusions and findings, all the parameters of the population under study should be included and represented in the sample. Therefore, the sample of this study is the entire population consisting of twenty-one (21) participants, of which four (4) are Unit Managers while seventeen (17) are administrative staff of RTTA dealing with the activities that produces records and the actual management of those records.

#### 3.5.2.2. *Sampling procedure*

According to William (2020) sampling is referred to as the procedure for selection of few elements of the population with the same parameters to represent the entire population in the study for the generalisability of research findings, especially when it is practically impossible to study the entire population. Jones (2021) further expressed that sampling provide the researcher with an opportunity to select in place of the whole population, few manageable members possessing the same characteristics thereof, to conduct the study about the entire population.

Furthermore, Thompson (2021) mentioned two major sampling procedures as probability and non-probability sampling. The author further defined probability sampling as a method that provides an equal opportunity to the entire population to be included in the sample. This implies that all members of the population stand a chance to be included in the sample. According to Powell and Silipigni (2004), probability

sampling involves “simple random sampling, systematic random sampling, stratified sampling and cluster sampling”. However, in the non-probability sampling, zero chances of inclusion in the sample are possible to certain segments of the population (Bhattacharjee, 2012). This implies that certain segments of the population may not stand a chance to be included in the sample to represent the entire population for study purposes. The author further provided examples of non-probability sampling as convenience, quota, snowball, and purposive sampling.

Therefore, the study utilised purposive sampling. Creswell (2012) defines purposive sampling as a qualitative sampling procedure in which researchers “intentionally select individuals and sites to learn or understand the central phenomenon.” According to Creswell (2014), purposive sampling is typically used in qualitative research to identify and select the information-rich cases for the most proper utilisation of available resources. Furthermore, the author opines that purposive sampling is based on the judgement of the researcher, due to his or her knowledge of the population, to identify a sample that is composed of elements that contain the most characteristics, and attributes of the population to best serve the purpose of the study. As advised by Creswell (2014), since the researcher is an employee of the RTTA, and knowledgeable about this population of study and professionals that can provide information required for the study, the researcher opted to employ purposive sampling. This sampling method enabled the researcher to identify elements of the population that are involved in the records management practices in the RTTA, and to obtain in-depth information from them about the role of record management in good corporate governance at Road Traffic Training Academy in Gauteng, South Africa.

#### *3.5.2.3. Sample frame*

Sample frame is defined by Mathews and Ross (2010) as a “list of all the members of a population from which a sample may be drawn”. The researcher requested the list of all employees of RTTA from the human capital section via two Z8 booklets (one for Unit managers and the other for all Admirative staff, the other for lecturers, and the last one for cleaners) used to list all RTTA staff as they report on and off duty. This list included all employees ranging from cleaners, lecturers, unit managers and administrative staff. Based on the list, there were 80 employees at RTTA.

The sample frame of this study is all employees of the RTTA. But the researcher chose to focus on the Unit Managers and Administrative staff of RTTA because of the following: Unit Managers deal with every employee's activity in the organisation during the performance of their managerial duties, and Administrative staff deal with records produced daily by the activities of every employee in the organisation. Therefore, Administrative staff are involved in records production and management, while Unit managers are mostly the users of records required governance processes.

#### *3.5.2.4. Sample Size*

Neuman (2000) defines the sample size as the total elements of the population included in the sample. Therefore, the sample size of this study consists of 21 elements of the population, consisting of four Unit Managers and seventeen Administrative staff in RTTA. In this case, Leedy and Ormrod (2005) provide that for a small population of less than 100 units/ people, there is little point in sampling and the researcher may survey the entire population. On the strength of this advice, with this study consisting of a population size of 21 participants, the entire population was studied without sampling.

### **3.6. Data collection**

#### **3.6.1. Data collection approach and method**

##### *3.6.1.1. Semi-structured interview*

Bless, Higson-Smith and Sithole (2013) refers to an interview as a process that "involves direct personal contact with the participant who is asked to answer questions relating to the research problem". De Vos et al. (2011) view Semi-structured interviews as those interviews organised around areas of particular interest, with the strength of allowing considerable flexibility in the scope and depth thereof. Therefore, the study utilised semi-structured interview to collect qualitative data from the four (4) Unit Managers, respectively dealing with Theoretical Training; Practical Training; Administrative and Learner Support units and the 17 Administrative staff in the RTTA. As such, semi-structured interview allowed the participants flexibility to put forth their in-depth views, opinions, challenges, understanding, and recommendations relating to the phenomena of study. During the interview, the participants were recorded on an electronic device and the researcher took handwritten notes to enable transcription

and prevention of loss of data should either device or method of recording fails (Creswell,2014).

### 3.6.2. Development and testing of the data collection instrument.

According to Terre-Blanche, Durrheim, and Painter (2006), in the semi-structured interviews, the researcher should pre-determine questions, and this entails developing an interview schedule or guide before the commencement of an interview, which will serve as a data collection tool. Therefore, the interview schedule or guide as a tool for data collection in the semi-structured interview, is characterised by its ability to assist the researcher to make immediate probing; follow-up on interesting stories that arose during in the interview; and the participants were enabled to detail circumstances and reasons around the questions of interest to the study (Marshall and Rossman, 2006). The researcher recognised that the aim of the study was “to explore the role of records management in promoting good corporate governance at Road Traffic Training Academy in Gauteng Province, South Africa.” Therefore, the interview guide is designed according to five main themes resembling the research objectives of the study, to ensure that the data collection instrument measures what it was supposed to measure. The following are the themes:

- Records management in public organisations.
- The role of records management practices in fostering good corporate governance.
- Knowledge, competencies, and skills required for records management.
- The impact of records management on transparency and accountability.
- Strategies of effective records management to achieve good corporate governance

### 3.6.3. Data collection process

According to Mouton (2001), for empirical and epistemological outcome of the research, certain methods and techniques for conducting data collection must be utilised. According to Creswell (2014), data collection involves setting the parameters of the study and use the following methods to collect data, namely observations; interviews; documents; and audio-visual materials. In this study, semi-structured interviews were conducted with the participants in the following procedure:

The researcher recognised that research takes place within the ethical standards set by the University of Limpopo, therefore ethical approval from the University of Limpopo's Higher Degrees Committee and Turfloop Research Ethical Committee (TREC) were sought and obtained, and further directions were sought from the Program of Information Studies (see annexure A).

Thereafter, the researcher sought the signed approval from the RTTA Executive Manager (EM) (see annexure C) which was obtained. The approval letter was used to seek the email details of RTTA Unit Managers and Administrative staff from the RTTA Information Technology (IT) personnel. Thereafter, an email seeking the appointment with each research participant were sent to organise meeting details for interview with Unit Managers and Administrative staff respectively. Once each had confirmed their availability according to their work schedule, they were put on the interview appointment list with their preferred time slots, and then interviewed in their own offices individually.

Before the interview commences, the researcher read the consent letter aloud to the understanding of the participants and informed participants that participation was voluntary; and that they may decline or terminate participation at any time during the interview; and participation in the study would not result in prejudices, disadvantages or mistreatment from management or colleagues. Punch (2013) encourages such assurances in that, they boost participation and cooperation as it puts the participants at ease as they would clearly know what is required of them during the process of interview. Moreover, the potential consequences of the study were read aloud to the participants by the researcher. The consent for participation was sought from the participants by issuing them consent forms to sign, after which the interview process began (see Annexure B). The interview process lasted seven days as three participants were interviewed in one day until all 21 participants were completed.

#### 3.6.4. Ethical considerations related to data collection.

In line with the ethical consideration relating to data collection procedure, Punch (2013) and Cresswell (2014) recommend that the organisational and personal limits, boundaries, and professionalism be observed when approaching the organisations and participants of the study. Therefore, the researcher observed professionalism by showing respect to participants and their office hours; and used their office breaks for

interview; disclosed the purpose and the context of the research; ensured the protection of their confidentiality and anonymity; and disclosed information about the usage of the information they provide in the interview in terms of who will be interested in such information. Having done that, according to Creswell (2014) assisted the researcher to eliminate ethical threats such as disrespecting the site of study and cause disruption, by adhering to office breaking times of RTTA; deceiving participants, by providing the requisite information relating to the study; and avoiding collection of harmful information, by withholding their identifying data to ensure anonymity and confidentiality.

Additionally, prior to data collection the researcher sought TREC ethical clearance from the University of Limpopo in line with collection of data involving human participants; requested the RTTA Executive Manager the permission to collect data from RTTA Unit Managers and Administrative staff (refer Annexure A and C). The consent for participation was sought from the participants by issuing them consent forms to sign, after which the interview process began (see Annexure B).

### **3.7. Data analysis**

Burns and Bush (2014) observed that data analysis assists the researcher to summarise the expressive data and describes important characteristics of the phenomena. Kaur, Stoltzfus and Yellapu (2018) further expressed that data analysis is about placing the gathered data or information into categories, creating order in the data, developing theories, and lastly condensing the information. The researcher opted to utilise the qualitative thematic data analysis in this study. After the research has been conducted, a recorded interview with key informants (21 RTTA employees) were transcribed and participants were listed and assigned codes before analysing the data for reporting. Saldaria (2009) postulated that in qualitative enquiry, coding refers “to assigning a summative, salient, essence-capturing and/or evocative attribute for a portion of language-based or visual data”. The documents and the recorded interviews were analysed using thematic analyses. Therefore, data was examined to extract core themes that were distinguished between and within transcripts (Bryman, 2012). General and specific topics were used to determine whether there are disagreements on the role of records management in promoting good corporate governance at RTTA.

### **3.8. Internal and external validity of the study**

Harding (2015) reveals that objectivity involves ensuring the preciseness, unbiasedness, openness, honesty, and receptiveness to criticism of the study. Cresswell (2014) concurs and further distinguishes the validity and reliability factors in quantitative and qualitative research by stressing that, validity does not carry the same connotations in qualitative research as it does in the quantitative research, nor the companion of reliability (examining stability) or generalisability (external validity of applying results to new settings). However, the author noted that qualitative validity refers to the researcher checking for the accuracy of the findings using trustworthiness, authenticity, and credibility. On the other hand, quantitative reliability refers to the consistency of the researcher across different researchers and different projects.

#### **3.8.1. Credibility and authenticity**

According to Liamputtong (2009), credibility and authenticity involve genuineness, reliability, or authoritativeness of the of the study which has to do with the participants and the researcher conduct. Therefore, participants were informed of the true aims and process of the research; and were presented with the opportunity to decline participating to attract only genuinely interested participants who are most likely to freely give honest answers. However, in this study no participant declined participation when they were given an opportunity to do so. Therefore, the study was authentic and credible.

#### **3.8.2. Transferability**

According to Fouche, Strydom and Roestenburg (2021), transferability refers to the applicability of the research findings, results, or theoretical knowledge of the study to other similar individuals, groups, or situations. Therefore, the study was conducted with a view that the RTTA, students, academic and other institutions that deals/interested with/in records would benefit from the results of this study. Therefore, the results may be transferable.

### 3.8.3. Dependability

Dependability refers to achieving reliability on the bases of replicability or repeatability of the study (Fouche, Strydom and Roestenburg,2021). Therefore, the researcher ensured dependability by ensuring that the research process was logical, well documented and audited to account for every changing circumstance that took place during the research process (De Vos et al. 2011). To this end, the researcher followed scientific research methods to conduct this study.

### 3.8.4. Confirmability

Confirmability refers to the objectivity of the research during data collection and analysis and recognising that subjective biases may play itself in the study and thereby threaten the confirmability of the results (Fouche, Strydom and Roestenburg,2021). Therefore, the researcher sought to subject the study to be reviewed by an external party to check the level of agreement of the study, while the coded categories were used with the view to avoid subjective biases in the analysis (Fouche, Strydom and Roestenburg,2021). To satisfy this criterion, the supervisor reviewed and read the recorded data to check if it was consistent with the coded categories used, to avoid subjective biases in analyses. Furthermore, the research process was subjected audit to confirm data, interpretations, findings, conclusions, and recommendations (Creswell, 2014).

## **3.9. Summary of the chapter**

In conclusion, research methodology which entails commencing from the study's research approach, design, data collection methods and analysis were discussed in this chapter. In terms of the research methodology, research design types and research methods used in this study were discussed. The chapter further described the methods employed for the data collection and analysis with the aim of addressing research objectives. Furthermore, a justification of the utilisation of research approach and design were provided in terms of the nature of the problem to be addressed, population studied; sampling methods used; data collection methods employed in the study; data analysis techniques; the significance of the study; and ethical considerations. The following chapter presents and analyses the findings of this study.

## **CHAPTER FOUR PRESENTATION INTERPRETATION OF FINDINGS AND DISCUSSION**

### **4.1. Introduction**

The previous chapter discussed the research methodology used for the study conducted at the Road Traffic Training Academy situated at Boekenhoutkloof, Pretoria West, Gauteng Province of South Africa. This chapter presents the discussion, presentation, and interpretation of data collected using an exploratory research design that involved the collection of qualitative data. Data for this study were collected using interviews conducted using face-to-face engagement with the research participants at RTTA during their lunch breaks. The population of the study consisted of the seventeen (17) Administrative staff and four (4) Unit Managers at RTTA. Thus, the interview guide deployed in this study had two main parts, which were Part A and Part B, consisting of five sections in the form of research objectives. As a result, the study analysed the collected data thematically as follows:

#### **Part A: Dealt with data collected from the administrative staff as follows:**

Section A: Records management in public organisations

Section B: Knowledge, competencies, and skills required for records management.

Section C: Strategies of effective records management to achieve good corporate governance

#### **Part B dealt with data collected from Unit Managers at RTTA as follows:**

Section D: The impact of records management on transparency and accountability;

Section E: The role of records management practices in fostering good corporate governance

Section F: Strategies of effective records management to achieve good corporate governance

### **4.2. Data management and analysis**

#### **4.2.1. Part A: Data collected from RTTA Administrative Staff**

##### *4.2.1.1. Section A: Records management in public organisations governance*

###### *a) Background information on the highest academic qualification*

The participants were asked about their educational level to determine their ability to deal with different kinds of records. As a result, three (3) participants indicated that

they only possess matric/grade 12 as their highest qualification; the other three (3) mentioned diploma; four (4) postgraduate diplomas; and five (5) mentioned degree as their highest qualification; while two (2) mentioned that they possess Honours as their highest qualification. Therefore, amongst the participants, none indicated that they furthered their studies to the level of master's or doctoral degrees; and none indicated records management as their qualification. These meant that most administrative staff five (5) at RTTA had a Degree as their highest qualification, followed by those who had Diplomas, which were four (4).

*b) Background information of the designation*

Furthermore, participants were requested to indicate their current designation to establish what entails their roles in the RTTA. As a result, all the seventeen (17) participants indicated that their designations were Administrative Clerks, however, they further explained that they were allocated distinguished duties in the administrative support at the RTTA.

*c) Background information on work experience*

In terms of the years of experience in the work environment, eleven (11) participants mentioned that they had over ten (10) years of experience, while three (3) had less than five (5) years and three (3) other participants mentioned that they had more than five (5) years of work experience.

*d) Records management practices*

• *Sectional roles in RTTA*

The participants were asked to explain the role played by their sections in RTTA, to assist the researcher in determining the activities that the RTTA Administration performs in the creation and management of records in this Academy. Therefore, ten (10) participants explained that their section supports the Training Delivery section by conducting the administration of training and handling examination processes. Common remarks were *“we are the busiest section in the RTTA since every person in the organisation has something to do in our section”*.

On the other hand, one (1) participant from Administrative Support: Finance at RTTA explained that their section is responsible administration of finance.

Furthermore, two (2) participants mentioned that they are responsible for administering the health and wellness, and sporting activities of the Trainees. The other participant further elaborated that *“when trainees have social issues such as a funeral at home, we are responsible to connect them with proper counselling services, we organise transport for them to go to the clinic and see private doctors since they stay on campus”*.

Finally, four (4) participants said they were responsible for the administration of the Learner Information Management System (LIMS), which involves the capturing of Trainees academic activities on this system. The other participant noted that *“we are also responsible for data capturing, administering Portfolio of Evidence (POEs), printing of progress reports, and enlisting trainees”*. The other administrative staff noted that *“we are also responsible for providing material, facilities, and other resources that enable training”*.

- *The kind of records produced in sections and their possible usage*

The researcher further sought to establish the kinds of records that the RTTA sections produce and their potential uses. In this instance, the researcher sought to understand the overall nature of the records produced in the RTTA, why they are produced, and what they are used for. The participants mentioned assessment records, which are said to be used to account for all assessments written at the RTTA; ascertain that those who wrote the examination indeed qualified to write; and making decisions about the competency of trainees. Furthermore class registers were also mentioned and said to be used to manage absenteeism and adhering to notional hours of training set by QCTO; other records mentioned were quarterly reports to account for quarterly activities of the Academy; participants further mentioned employees records which were said to be used to manage leaves, organisational discipline; financial records were also mentioned and that they were used to account for resources procured for the activities and functional requirements of the academy; and finally vehicle records which contain information about all vehicles, their movements, costs and conditions.

•*Format in which the records are created*

The researcher further sought to study and understand the format in which records are produced at RTTA. The records format may play an important role in the overall management of records in every organisation. According to Legodi (2021), there are different skills sets, equipment, budgets, etc. that are needed to manage electronic and physical records respectively. As a results, all (17) administrative staff indicated that the records in their sections are created in both paper (physical) and electronic records, and two participants noted that *“but paper records take priority in our section”*.

•*Records storage practices at RTTA.*

One of the most important factors in records management practices is the records storage strategies adopted in the organisations. In this instance, the researcher sought to establish how records are stored in the RTTA. Therefore, the participants were asked to explain how records are stored at RTTA, and all the (17) participants indicated that their records are kept separately in their own office spaces. This means that their records are not centralised. Participants reflected that records are stored separately according to the preference of the personnel involved. To validate this claim, the following are the differing views of the participants whereby one participant noted that *“there is a small office which contains active examination scripts which are usually taken out by the lecturers for marking and moderation and we put them according to the module”*, while contrary to that, the other participant indicated that *“we use boxes and steel cabinet for paper-based records while electronic records are on our personal computers which are laptops belonging to the RTTA”*. This reflects silo and haphazard storage of records, without adhering to any formal policy and procedure thereof.

•*Records retrieval easiness*

According to Mojapelo (2017), records and information retrieval are the most important records management activities in the records management practice of any organisation. The author further believed that the very objective of proper storage and management of records is the ability to find, and the speed at which records are found when they are needed for use. In this instance, the participants were asked if it was easy to retrieve records and to provide an explanation in that regard.

As a result, all the seventeen (17) participants answered “yes” to this question, reflecting that it is easy to retrieve records when they are needed. When they were asked to explain, all of them cited that because they are responsible for the storage of those records, it becomes easier for them to find those records when they are needed for usage. Notably, one participant said, *“we are the ones who are responsible for the storage of these records, and we know where and how to find them when they are needed”*.

And when they were probed with follow-up question as to whether a new employee or someone outside their section can find those records when they are needed, some said that *“no it may not be possible for someone who does not work with us to find those records”*; another participant said that *“sometimes when records are needed while we are on leave, we often receive calls and we direct them to where those records are”*; however one participant from Learner Support differed and said that, *“ yes those records can be found by anybody since we file the records, put the files in the boxes, index the boxes and finally name the box, scoresheets are stored electronically on LIMS”*.

The other participant said “NO” to the follow-up question by mentioning that, *“when I knock off I take the laptop home even when I am on leave, so no one can have access to the information in my laptop, some records that are needed may be in my laptop and those records are needed they contact me on the phone and will have to send it via email”*. Therefore, this illustrates that records may be easily found by the staff who are involved in their storage but are difficult to find for those who were not involved in the storage of those records.

- *Availability of records management policy in the RTTA and its key elements*

The study sought to establish the availability of a records management policy that govern the records management activities in the RTTA. Therefore, participants were asked if there was any records management policy in the RTTA. Therefore, all the participants said “NO”. Therefore, the response in this question indicated alignment with the responses on the item of *“storage of records”* which indicated that the way records are stored at RTTA is more uncontrolled, disintegrated, unsystematic and in silos according to the preference of each section or employee, which are the

characteristics of lack of records management policy in this Academy. In the instance that the policy may be there, participants may not be aware of such a policy.

- *The most required records during the audit and the reasons thereof*

AGSA (2023) further refers to audit as an independent process to evaluate the measures instituted by management to ensure that allocated resources are procured economically and utilised efficiently and effectively, and, if necessary to report thereon. Therefore, this statement indicates that proof in the form of records is needed to conduct the audit. As a result, the participants were asked to identify the records that are mostly required for audit purposes and provide the possible reason for the requirement of such records in the audit process. In this case, four (4) participants mentioned that assessment records are the most required in their function, and provided the reason that assessment records carries the weight of what RTTA is about, which is training, and one noted that, *“such records can answer the core questions about RTTA as a training academy in terms of its processes, budget utilised, achievements of Key Performance Indicator (KPI), which relies heavily on the training outcome which is measured through assessments outcomes”*. The other participant mentioned that *“such records paint a picture to the auditors as to what training has been offered to whom, for which purpose, how has the training been conducted, has the policies and regulatory guidelines been followed and what is the success rate (certification)”*. In agreement, another participant said that *“all the sections in the RTTA works to achieve the academic excellence of the trainees; and assessment records helps in gauging that; and I think that is why auditors are mostly interested in those records”*.

- *The current records management practices at RTTA in promoting good corporate governance*

The study sought to evaluate the contribution of the current records management practices at RTTA in promoting good corporate governance. Therefore, the participants were asked if they think the current records management practices at RTTA, promote good corporate governance and to explain reasons for holding such an opinion. As a result, thirteen (13) participants, who represent the majority, said “yes” and when they were probed to explain, they said whenever they were audited, records

were readily available for the auditors. Notably, in their explanation, one participant indicated that records are stored as follows: *“we file the records, put the files in the boxes, index the boxes, and finally name the box, scoresheets are stored electronically on LIMS”*. As a result, participants believed that this records storage strategy assists in the provision of records to any stakeholder for governance purposes such as audit, risk assessment, decision making, accountability, transparency, customer queries, etc. However, four (4) participants, who represent a minority, mentioned that there are times they fail to produce records when they are needed. One notable response is that: *“sometimes we fail to give auditors, municipalities, provincial traffic authorities and private vehicle testing stations information about their employees who are our trainees due to misplacement of some records”*. When they were probed to mention a possible worst case scenario that misplacement of records may cause to the good corporate governance at RTTA, they explained that: *“when the trainee’s examination script is lost, and their marks appears in the LIMS scoresheet, and they filled in the examination register to indicate that they wrote the examination, the certificate of that person cannot be issued because it is an audit query, the QCTO will not print such certificate and it may end up being a legal issue ”* Therefore, these indicate that misplacement of records due to poor records management practices may be detrimental to the governance of any organisation.

- *Other stakeholders in or outside who may require using RTTA records and the purpose thereof*

In this instance, the study sought to establish which stakeholders besides the auditors, may be interested in the records produced by RTTA; to seek transparency in the processes thereof through the usage of those records. As a result, all the (17) participants agreed that there are other stakeholders interested in the RTTA records and explained the kinds of records required by each stakeholder, and the purpose thereof as follows:

Municipal Traffic Authorities, Provincial Government Traffic Authorities, Private Vehicle Testing stations, training governing authorities such as QCTO and SASSETA, RTMC board members, previous trainees, and the public. When they were probed to explain the kind of information they require, they said municipalities, provincial traffic

authorities, and Private Vehicle Testing Stations require the same set of records. And such records include information about the courses their employees are enrolled in at RTTA, the amount to be paid, progress reports, and certificates of completion.

While governing authorities such as QCTO and SASSETA, require records on the processes followed to admit trainees to RTTA programmes. One participant mentioned that *“SASSETA requires that some programmes be offered to the people who passed grade 12, so they will look at the enrolment records for that”*, the other participant further noted that *“The QCTO is more concerned about the process of training such as adhering to notional hours and class attendance to release certificate, so class register is highly required for that”*. Some participants noted that the RTMC board looks for the assessment records to see modules completed to account to the Department of Transport.

Former trainees were said to be most likely to seek their academic records. In this instance, one participant said, *“former trainees, from time to time, when they seek employment, their potential employer normally wants to verify their traffic qualification with us, while they themselves also seek their academic records.”* On the other hand, the public was said to be more interested in the services provided by the RTTA. Thus, it requires the records that will indicate transparency to the public in terms of the services provided. Therefore, the course structure and enrolment processes information are found to be of interest to the public, and one participant noted that *“broachers are records that can answer that”*.

#### •Records Appraisal and Disposal

In terms of records appraisal at RTTA, the study sought to establish as to whether records are appraised and disposed of by following correct prescripts. As a result, all the (17) participants indicated that records appraisal does not take place at RTTA. However, some participants indicated that they use the dates at which the records were created as an appraisal method and thereby dispose of the previous financial year records from the shelves to make space for the records of the current financial year. one participant said, *“the records of the previous financial year are kept in the boxes to make way for the ones for the current financial year”*. However, one participant indicated a different view in that records are kept indefinitely, while the other said *“we*

*are keeping all records active on our shelves and LIMS system for a period of three years, which corresponds with the duration of most of the courses offered at RTTA*". These differing views indicate haphazardness and a lack of standardisation in records appraisal and disposal processes at this Academy.

- *Criteria for records appraisal*

The participants were asked to indicate the criteria used to appraise the records at RTTA. Therefore, there seems to be no standard criteria used for records appraisal at this Academy as all (17) participants indicated that no criteria exist for this purpose. However, they insisted that the duration of the course and the financial year is an indicator of the value of the records. One participant said that *"when the course is finished, we close the files and put in boxes off the shelves"*. Therefore, since there is no formal appraisal there will be no criteria for appraisal.

- *Legal framework for records disposal*

In terms of records disposal, participants were asked as to whether any legal framework exist that the RTTA use to dispose of records. As a result, all (17) participants indicated that such framework does not exist. Notably, similar response that were found on records appraisal were noted on the records disposal in that *"all records were never formally destroyed, we just put them in boxes neglect them"*; and participants lack appreciation of what records disposal is. The other participant expressed that *"I am not aware of any legal framework that governs the disposal of records"*. Amongst the concerning responses were that *"if we see that the records are no longer used frequently, we just shred them"*, which represents malpractice in the records management fraternity. Maseh and Mutula (2016) identified amongst other records management disasters, a lack of records appraisal and disposal schedules.

#### *4.2.1.2. Section B: Knowledge, competencies, and skills required for record management*

##### *a) Records management training at RTTA*

The participants were asked whether they received training in records management. As a result, all (17) participants were found to have never been in records management

training. This confirms the previous response, which indicated that records were destroyed haphazardly.

*b) Records management workshops, conferences, and seminars attendance*

When they were asked about the frequency at which they attend records management workshops, conferences, or seminars, all (17) participants were found to have never attended any records management workshops, conferences, nor seminars.

*c) Electronic records management as part job description at RTTA*

The participants were asked as to whether electronic records management are part of their job description, only four (4) participants representing minority mentioned that it is their job description, while thirteen (13) said it was not their job description.

*d) Organising for training on e-records management for RTTA personnel*

The participants were probed from the previous question about electronic records being part of their job description. As a result, and the four (4) participants whose job description include electronic records, indicated that the Information Technology Personnel from RTMC head office provided training for Learner Information Management System usage, which is the system used to store and manage trainees' records. However, all other thirteen (13) participants believed electronic records management training is not necessary for them as it is not part of their job description. In his study, Legodi (2021) found similar mixed reactions on the electronic records management in that "Some hinted to the need for more training while others indicated the need for sufficient training". Thus, the need for training on electronic records in organisations tend to depend on the task performed by individual employees, as opposed to being a common need.

*4.2.1.3. Section C: Strategies of effective records management to achieve good corporate governance*

*a) The general challenges faced in line with records management at RTTA.*

The participants were asked to explain the general challenges relating to records management in RTTA, in response, ten (10) mentioned misplacement or loss of records, and shortage of space for records storage. One participant noted that "some

*records are lost between offices or are put into the wrong boxes, and this delay the usage of that records".* However, all other seven (7) participants indicated that records can only be found by personnel who worked on or stored them. Furthermore, one participant expressed frustration by mentioning that RTTA records management systems were *"person based as opposed to system based which is problematic as a person on leave can be called to direct the people on duty on the whereabouts of the records, what happens if we do not find that person, it is a disaster"*.

*b) Possible recommendations for RTTA to:*

- *Provide access to information to the stakeholders i.e., auditors, executive, customers etc. quickly and (b) ensure clean audit opinion*

Moreover, participants were asked to suggest strategies for records access and provision to stakeholders. As a result, eight (8) participants, indicated that the current systems were more effective; and that there were no challenges experienced in the provision of records to the auditors, municipalities, provincial governments and RTMC management. While on the other hand, nine (9) participants proposed that proper policies, procedures be implemented, and training be organised to reduce the loss and misplacement of records.

- *Ensure that records management receive supports from senior managers within RTTA*

For stimulation of managerial interest in records management at RTTA, most participants (13), mentioned that they do not have ideas for improvement. While on the other hand, four (4) participants suggested that whenever an audit finding relates to records management challenge, a business case or proposal be written to management citing the audit finding embedded by possible records management solution. One participant was noted saying that *"misplaced records are often realised during audit period, and it is a negative audit finding for RTTA to fail to produce a record, mostly scripts when the auditors picked them for audit, it makes the whole qualification offered at RTTA questionable"*. The participant was further asked to elaborate, and the response was, *"the competency of the managers is gauged by the audit outcome as to whether the senior managers are accountable, transparent and lead good corporate governance, audit outcomes are able to show that, so senior*

*managers hate negative audit report and are most likely to respond to avoid recurrence of the findings*". This indicates the role of records management practice in promoting good corporate governance. Therefore, minority participants (4) believe that business cases written with the records management findings as a rationale will be most likely to receive positive attention of senior managers, while the majority (13) do not have idea on the possible improvements for records management in RTTA.

- *Ensure the enhancement of recordkeeping in support of the RTTA corporate governance*

On the records management supporting RTTA corporate governance, it was generally agreed amongst the participants (17) that records are important part of their successful audit, without which audit would not be possible. To curb the silo and individual preference records management strategies taking place at RTTA, participants suggested that records management procedures and policies be devised. One participant was noted saying *"Procedures of records management, which will be universally applied will assist us in good record keeping which will contribute to the RTTA being accountable during audits and thereby achieve good corporate governance"*; while the other suggested universally applied file plan in that, *"a universal file plan will help a lot so that we do the same thing"*.

- *Any other records management strategies that can lead RTTA to achieve transparency and accountability*

The participants were further asked to describe any other records management strategies that can lead to transparency and accountability. Therefore, all (17) participants were generally advocating for the creation of records management policies and procedures; central storage of records; and training on records management.

#### **4.2.2. Part B: Data Collected from RTTA Unit Managers**

##### **4.2.2.1. Section D: *The impact of records management practices on transparency and accountability***

*a) The sections managers are responsible for in the RTTA*

The four (4) participants were asked about sections of their responsibility in the RTTA. As a result, they mentioned the following four sections: one Theoretical Training Manager, one Practical Training Manager, one Learner Support Manager, and one Administrative Manager respectively.

*b) Managerial roles and responsibilities in this section*

Furthermore, they were asked about their personal responsibilities in their respective sections. As a result, the managers from Training Delivery for theoretical and practical modules were found to be conducting the same activities in their respective functions, their difference was that one manager was responsible for practical while the other for theoretical section. As a result, they both belonged to Training Delivery section, and indicated the following as their duties: conducting monitoring of examination documents; verifications of examination scripts; monitoring of examinations processes; verification of portfolio of evidence files; learning material development; and ensuring that lectures and trainees adhere to notional hours principle by ensuring adequate lecture attendance as per the prescripts of QCTO and SASSETA.

Furthermore, the participant whose responsibility was to manage Administration and the one for Training Support provided the same set of answers in that they both provide support to Training Delivery (theoretical and practical) which was referred to the core business of the RTTA. Amongst their responsibilities, they mentioned ensuring that training takes place by providing resources that enables it through budgeting; devising procurement plans; ordering and allocating training material; creation and management of documents and files for all trainees and lectures; provision of library services; preparation of assessments and other miscellaneous administrative support to the entire Academy.

When the relationships between these four sectional managers were tested through probing questions, it was found that the manager for Training Delivery: Practical and the Manager Training Delivery: Theoretical, report to the General Manager: Training Delivery; while on the other hand, the manager for Administration and the Manager for Learner Support are reporting to the General Manager: Administration and Learner Support. Hence, their line of answers can be condensed to two categories, namely two managers in Training delivery and two in Administration and Learner Support.

c) *The overall role of the section of each manager in the entire RTTA*

With the purpose of establishing activities that may contribute to the creation of records in RTTA from Unit Managers, participants were asked to mention the overall role of their sections in the RTTA. As a result, two participants from Training Delivery, both theoretical and practical, mentioned ensuring that training delivery takes place: adherence to all quality standards by aligning them with the quality training control bodies such as QCTO, RTMC-TNS, SAQA, and SASSETA. Furthermore, the other participant was noted saying that *“their section is responsible for the delivery of training to all trainees, meaning we are responsible for offering lessons to these trainees, we set examinations and administer other forms of assessment”*.

The participant from Administration mentioned that *“We are responsible for overall administrative activities of providing support to training processes in the RTTA, by providing resources that will assist in the provision of training”*. Finally, the participant from Learner Support said, *“We are a bit of an extension of Administration since we report under the same General Manager for Administration and Learner Support, and we are responsible for providing learner support services in terms of their wellbeing while they are still on campus”*.

d) *RTTA’s current internal and external stakeholders*

- *Who are these stakeholders, and how does RTTA relate to them?*

To establish the RTTA’s responsibility for accountability and transparency to its stakeholders, the participants were asked to explain the current internal and external stakeholders of RTTA. Therefore, for external stakeholders, participants mentioned and explained the following stakeholders:

The first external stakeholder mentioned and explained by the participants was the QCTO. This stakeholder was said to be the quality assurance body responsible for the quality of training programmes offered by RTTA. One participant was noted mentioning that *“we get our certificates from this stakeholder”*.

The second external stakeholder mentioned was SASSETA, which was explained to be the education and training authority in the safety and security sector. This stakeholder was further said to be responsible for the verification and ensuring that quality training takes place in the sector that the RTTA operates in, thus the traffic and

security sector. the participants from Administration basically indicated *“that every trainee coming into the Academy must be have been enrolled with SASSETA according to its envisaged kind of trainee”*, they further exemplified that *“for instance, only the trainees who are medically fit and have a minimum qualifications of grade 12 certificate should be enrolled, and we administer that in line with SASSETA”*; One participant from Training Delivery further said *“this stakeholder verifies the processes that are followed when training takes place and thereby issues statement of results for unit standards and certificates thereof if processes and material used for training meet the set standard”*.

The third external stakeholder mentioned and explained was the Auditor General of South Africa. The participants referred to AGSA an oversight stakeholder undertaking constitutional mandate to audit all government entities for compliance with legislative mandates each are operating in. one participant exemplified that: *“as the academy, we are to follow the Public Finance Management Act to avoid fruitless and wasteful expenditure and execute our budget as per the vote, so the AG looks at that”*,

The fourth external stakeholder mentioned was the Department of Transport, the other participant was noted saying *“we are an entity of the Department of Transport, and we must account to them as a mother body”*.

The fifth external stakeholders mentioned and explained were the customers of RTTA, to whom, according to the participants, Training is offered for a fee. Therefore, participants identified municipalities, Provincial Governments, and Private Vehicle Testing Stations. In this instance, one notable response was that *“these are our customers that we provide training support to their staff members, however, we are in a relationship with some municipalities which we have a Memorandum of Understanding for the usage of their Driving License Testing Centres (DLTC) and shooting for practical training”*.

For the internal stakeholders, the participants mentioned and explained The Road Traffic Management Corporation Training Norms and Standards (RTMC-TNS). One participant noted that *“this is an internal stakeholder who is responsible for ensuring compliance with all traffic education and training in the country and helps the RTTA in*

*attaining such compliance*". The other participant further exemplified that, *"RTMC-TNS audit the learning material development to align them with industry dynamics, quality check the setting and the writing of examinations; and ensure that the RTTA examination centres are registered with the relevant training authorities; responsible for all assessments and moderation for the RTTA and other Traffic colleges in South Africa to ensure the achievement of quality training in the RTTA and South Africa"*. This stakeholder, according to the RTMC website (2024), operates on a national mandate as opposed to being limited to RTTA.

Furthermore, the second internal stakeholders mentioned and explained was RTMC Internal Auditors, one participant was noted explaining that *"this stakeholder is responsible for auditing the entire Academy's processes in line with policy compliance before the Auditor General does their audit"*. Therefore, according to RTMC (2024), the mandate of this stakeholder organisation is wide as opposed to being limited to RTTA.

Finally, the third stakeholder mentioned and explained was the RTMC Office of the Chief Executive Officer and the Board, these were said to be internal stakeholders who hold the Academy to account as per internal accounting governance structures of RTMC. One participant explained that *"the RTTA is a unit in the RTMC, and the Executive Manager of RTTA accounts to the RTMC CEO, and the CEO accounts to the RTMC Board, while the RTMC board account to the National Department of Transport"*. Therefore, that already reflect how records are created and moved for accountability and transparency in this organisation.

- *RTTA usage of records to become transparent and accountable to these stakeholders*

All (4) participants indicated that records such as examination scripts, mark reading sheets, and enrolment information are very important for transparency and accountability to the stakeholders. Moreover, participant was summarised explaining that externally, QCTO and SASSETA are interested in the mentioned records to audit the training processes and thereby issue RTTA trainees with certificates. Thus, to certify trainees competent for training programmes offered by RTTA. Notably, one participant further mentioned that *"no trainee is competent unless SASSETA and*

*QCTO audit the programmes offered*". Therefore, this indicates that for certification, transparency, and accountability purposes, RTTA uses assessment and enrolment records.

Other external stakeholders mentioned in the usage of records for transparency and accountability were the customers, namely: the Department of Transport, Provincial government, municipalities, and Private Testing Stations. One participant mentioned that *"such customers often require to see assessment records to establish value for money and detect the progress of their employees who were subjected to training for a fee by RTTA"*.

It was further mentioned that Memorandum of Understanding Documents (MOU) help to manage the agreements between the RTTA and the Municipalities; and to account for the RTTA's side of the bargain and benefit in these agreements. One participant said that *"the MOU contracts are consulted from time to time to establish terms of reference and to conduct amendments to govern our relationship with municipalities"*. Thus, without MOU records, the relationship with municipalities may not be governable.

The other participant noted that *"annual reports that are audited by the AG also happens from these records; and the auditor may choose to verify those records to validate the claims in the annual report"*.

- *RTTA's current records management practices in assisting sections in promoting accountability and transparency with stakeholders*

In this instance, all (4) participants did not identify any challenge in the current records management practices. However, they narrated their success stories with the current records management practices in that transparency and accountability were challenged by the current records management. As a result, one respondent narrated that *"one day we had to deal with former trainees who were not satisfied with the marks allocated in their academic records and lodged a complaint, we were able to find scripts, test it against the scoresheet and provided those trainees with the relevant answers"*. Thus, according to the participants, the current records management systems assist the RTTA to achieve transparency and accountability.

- *Possibility of achieving an acceptable level of transparency and accountability in the absence of records management at RTTA*

The participants were asked to explain if it was possible to achieve the acceptable level of transparency and accountability in the absence of records management. In this instance, all participants said “no”. Therefore, they acknowledged the importance of proper records management for accountability and transparency. They indicated that in the absence of records management, loss of records will persist, resulting in which would be poor accountability and transparency, and ultimately poor corporate governance. William and Davis (2021) share the sentiment that good corporate governance is not possible without an organisation being accountable and transparent.

#### *4.2.2.2. Section E: The role of record management in fostering good corporate governance at RTTA.*

##### *a) The process of auditing at RTTA*

In terms of the role of records management practices by administrative staff and Unit Managers in fostering good corporate governance at RTTA, the participants were asked to explain the process of auditing at RTTA. This assisted the researcher in determining the role of records management practices in auditing in this Academy. Therefore, All the four (4) participants referred the researcher to the RTMC and RTTA audit agreement charter, which specifies the process of audit in the RTTA. They said that during periods, *“the auditors normally send the Executive Manager (EM) of RTTA a letter of audit intends, which inform us about the envisaged audit”*.

Moreover, one participant mentioned that *“the EM circulate the letter to the managers in RTTA, who then activate their units to be ready for audit”*. When participants were probed on the contents of the letter, one participant said, *“in that letter the terms of audit engagement between the auditors and the RTTA are set out, the objectives and scope of the audit are established”*.

Furthermore, in terms of the audit scope, they mentioned that the previous audit scope was more on the maintenance of learner records; time table and attendance of lectures by trainees; credits per module spit into notional hours and teaching contact time; progress and assignments reports; Portfolio of Evidence (POEs); assessments; assessor and moderator qualifications requirement; Learner Information System;

Occupational Health and Safety (OHS) relating to training facility and the accommodations; and finally administrative and operational activities to identify risks. Therefore, all the records related to the scope of the audit would be needed as a means of verification.

*b) The role played by records management practices in auditing*

The participants were asked to explain the role of records management in the audit process. As a result, they indicated that they use the scope of the envisaged audit to prepare the records for audit. One participant provided an example that *“for instance, on assessments as part of the scope, we have to prepare examination question papers, memorandums, rubric, mark reading sheets and LIMS for records that will support good conduct on the assessment in RTTA”*. They further maintained that records assist the auditors to get the general compliance or deviation evidence. The other participant said records are used as a means of verification in the audit process. Thus, to prove adherence to policies, regulations, procedures and instructions predetermined for every task under review. The other participant was noted acknowledging that *“lack of records tantamount to lack of evidence and lack of evidence is lack of performance”*.

*c) RTTA delivering on its mandate in the previous financial year*

Participants were asked as to whether the RTTA delivered on its mandate in the previous year. That would assist the researcher determine the role of records management in that. Therefore, all the four (4) participants said “yes” to this question and when they probed, they mentioned that they had secured certification of the second cohort of trainees who were completing the Traffic Diploma on NQF level 6, which was their mandate in the 2023/2024 financial year.

*d) The role of records management practices in RTTA achieving its mandate*

When they were probed on the role of records management achieving its mandate in the previous year. Therefore, the response was that records that contains policies; strategies; procedures; internal instructions; and the legislations to be adhered to for RTTA to achieve its mandate. Thus to this end, one participant said *“there are records that help us to document the strategy of the entire organisation, which helps us to*

*create the budgets, which are also a records that guide our spending to respond to the strategy” ; while the other one noted that “there are records of procedures that needs to be followed to reach the mandate such as policies of RTTA, QCTO, SASSETA etc and with that we produced 490 traffic trainee graduates”.*

e) *The positive outcomes have been achieved by RTTA in the previous financial year*

They participants said in the previous financial year, they produce 490 traffic trainee graduates who are now operating in the South African national roads.

f) *The role of records management practices in RTTA achieving its positive outcomes*

The participants said that the role of records management practices the RTTA achieving positive outcome in the previous financial year. The role was that records were used as a communication enabler between RTTA and its stakeholders; by accounting to them especially for certification process where the RTTA needed to produce assessments records, class attendance registers, examinations registers, moderation and assessor files and POEs. The participants said that with such records produced were produced and well organised for ease of retrieval. Notably, the other participant said that *“we were able to prove to the QCTO, SASSETA and the RTMC CEO to issue certificates and allow the RTTA EM to declare those 490 trainees competent and proceed with graduation”*

g) *Explanation on the extent to which records management practices assist in governing this academy*

Participants were asked to express their thoughts on how records management assists in good corporate governance at RTTA. In their response, they expressed that records management practices assist the RTTA in record retrieval as and when they were needed for use. One participant recognised that *“in each and every working space, records are produced, and those records represent the activities that took place and thereby creates precedence which is file for future reference”*. The other participant said, *“When there is a need to be transparent and accountable about activities that took place, maybe to the auditors, QCTO, SASSETA, TNS, CEO or even deciding on*

*matters, records were searched, found and consulted to provide guidelines and evidence”.*

#### *4.2.2.3. Section F: Strategies of effective record management and practices to achieve good corporate governance.*

##### *a) The general challenges regarding records management at RTTA.*

Participants were asked to explain the prevailing records management challenges in the RTTA. As a result, three (3) out of four (4) participants could not specify the type of the challenge that they face with records management at RTTA. When they were probed as to whether do they find the current records management practices suitable for their work, they agreed that it is working for them. However, one out of four participants said that there were few occasions where loss or misplacement of assessment records took place in their section, which threatened the clean audit report because the loss of evidence contained in those records.

##### *b) What can the Academy do to:*

- *Provide access to information to the stakeholders i.e., auditors, executive, customers etc. quickly*

Three (3) out of four (4) participants indicated that the status quo should be maintained. While one participant said that there should be a proper filing plan, and the responsibility for dealing with records be attached to certain identified and qualified individuals.

- *Ensure that records management support clean audit opinion*

While the three participants did not respond to this question, one participant said there should be proper filing plans and policies for records management; and the implementation of consequence management for the loss of important records.

- *Ensure that records management receive supports from senior managers within RTTA*

One participant said that due to the previous frustration due to loss of important records in their section; which brought about an unpleasant audit finding, the recommendation was that such findings should be well documented and linked to poor records

management; and be presented to the senior managers. The three (3) participants did not respond to this question.

- *The enhancement of recordkeeping in support of the RTTA governance*

All the participants expressed that they recognise the value of records, and that records should be well kept. They recommended the creation of policies and procedures for records keeping and the training of staff in line with proper records management. One participant acknowledged that *“what we are doing now with records is haphazard, and I think it is a matter of time before one or more trainees are refused graduation because either SASSETA or QCTO cannot find their records for verification, and that will be poor governance in RTTA”*. The participants were probed to suggest better solution and they further said, *“we must have a dedicated place to store records, a system or a catalogue that reflect which record entered in that storage and which one left so that we can keep stock of records at RTTA”*.

- *Please describe any other records management strategies that can lead RTTA to achieve transparency and accountability*

While other participants declined to answer this question, one participant recommended that there should be a well-planned records organisation, access and retrieval training and awareness in the entire RTTA. They believed that would ensure that staff understand the sensitivity of the records and implication thereof. The participant was further noted saying that *“we need a file plan, central location for all records because it is not safe for us to put the records in our offices, our staff go home with laptops that has sensitive information, so the central registry or something will help in putting these records in one place accessible by everybody”*.

### **4.3. Research results**

#### **4.3.1. Part A: Data collected from RTTA Administrative Staff**

##### *4.3.1.1. Section A: Record management in public organisations*

*a) Results on the background information on the highest academic qualification*

The first aspect of the objective “record management practices in the public organisations” dealt with the background information of the participants, which included the highest academic qualifications, designation and work experience.

Therefore, in terms of academic qualifications, in his study regarding records management qualifications amongst registry officers and records managers in Municipalities around Polokwane, Makgahlela (2021) found that there was a lack of formal records management qualifications in that population of his study. That aligned with the findings in this study because, even though participants mentioned their qualifications, all of them indicated that they do not possess any formal records management qualifications. This is indicative that records management in RTTA cannot be professionally handled due to lack of formal records management qualifications amongst the administrative staff in this organisation. However, this finding does not mean that the participants cannot totally deal with records management or Information and Communication Technologies (ICTs) thereof, some studies suggested that they can, but to a certain extent. Such studies include but not limited to Legodi (2021), which stresses the importance of any formal education in utilisation of ICTs and enablement in employees’ performance of their duties and records management is not excluded.

Moreover, the findings in this study are that majority of administrative personnel in RTTA possess undergraduate level of studies, thus Diploma and degree, followed by those who possess postgraduate studies, thus postgraduate Diplomas and Honours, while minority only possess grade 12. This indicate that majority of administrative staff have qualifications in other field than records management. Therefore, they can deal with ICTs and other roles assigned to them including basics of records keeping.

*b) Results on the background information of the designation of the participants*

In terms of designations the study found that, even though all the participants Administrative Clerks, their duties and tasks differ as follows: thus, some are administrators in General Administrative Support, Administrative Support: Finance, Administrative Support: Learner Affairs while others are in Administrative Support:

Learner Support. These findings are very important in that, according to the Department of Arts and Culture (2006),

*“Every staff member shall create records of transactions while conducting official business, and they shall manage those records efficiently and effectively by allocating reference numbers and subjects to paper-based and electronic records according to the file plan; sending paper-based records to the registry for filing; ensuring that records are destroyed/deleted only in accordance with the written disposal authority issued by the National Archivist”.*

Therefore, this is an indication that regardless of staff member’s qualifications in records management, they are required to manage the records created during the conduct of their respective duties in their units. As a results, it is apparent that administrative staff in this study should efficiently and effectively manage records they create during the conduct of their business.

#### *c) Results on the background information on work experience*

In terms of work experience, it has been found that majority of the participants has over ten years of experience in the work environment, followed by those who have more and less than five years. This indicates that most of the staff complement in the RTTA administration were experienced in their duties.

#### *d) Results on records management practices*

##### *•Sectional roles in RTTA*

The participants were asked to explain the role of their sections, such explanation assisted the researcher in determining the activities that the administration section perform in the creation and management of records in the RTTA.

Therefore, the results indicated majority the administrative personnel in RTTA, support Training Delivery section by conducting administration of training examination and other assessments, through the printing of question papers; memorandums; and packaging thereof; prepare register; mark reading sheets and controlling the movements of those questions papers and scripts between lecturers; Trainees, invigilators, data captures, quality assurance for moderation and to Management.

Furthermore, the study discovered that the Administrative Support: Finance at RTTA was responsible for administration of finance involving interaction with the external customers such as Municipal Traffic Authorities; Provincial Government Traffic Authorities; and Private Vehicle Testing Stations. The study revealed that the service that RTTA provides involves provision of training for a fee.

Furthermore, the study established that Administrative Support: Learner affairs was responsible for administering the health and wellness, and sporting activities of the Trainees. The elaboration such that: *“when trainees have social issues such as funeral at home, we are responsible to connect them with proper counselling services, we organise transport for them to go to the clinic and see private doctors since they stay in campus”* indicated the kind of activities that this section is engaged in and the kind of records that emanate from such activities.

Finally, the study made a discovery that Administrative Support: Learner Support section was responsible for administration of Learner Information Management System (LIMS) which involves the capturing of Trainees academic activities on this system. The other participant noted that *“we are also responsible for data capturing, administering Portfolio of Evidence (POEs), printing of progress reports and enlisting trainees”*. The other administrative staff noted that *“we are also responsible for providing material, facilities and other resources that enable training”*.

• *Results on the kind of records produced in sections and their possible usage*

The researcher further sought to establish the kinds of records that the RTTA sections produces and their potential uses. The study discovered that the RTTA's various sections are engaged in activities that produces records according to their contribution to the overall RTTA objectives and goals. Thus, according to RTMC website (2023), provision of training, teaching and learning to various stakeholders in traffic fraternity. The study further discovered that sections are good with regards to creation, storage, retrieval, archival, and disposal of records in RTTA. Proper records management ensures the systematic control of the creation, maintenance, use and disposition of organisational records (Ncube and Rodrigues, 2017). The study in this instance established the kinds of records produced in the RTTA sections and their potential uses. The understanding of overall nature of records production and the potential value

thereof has been established in such a way that results from this study indicated that various sections produce various records for the purposes of decision making about training activities, accountability and transparency to various stakeholders. This is in line with the findings in the study conducted by Coetzer (2012) for University of Kwazulu Natal that “Records are a vital asset in ensuring that the institution is governed effectively and efficiently, and is accountable to its staff, students and the community that it serves. The author further observed that “records support decision-making, organize documents, provide evidence of policies, decisions, transactions and activities, and support the university in cases of litigation”.

In terms of records usage, the study discovered that in RTTA, records are mostly used for decision making, accountability and transparency, which according to (Mojapelo, 2017), are the particles of good corporate governance. This can be seen in the responses such as that “sometimes we are called by the Supply Chain section from Head Office (RTMC Ecopark) to seek knowledge about what have we utilised the resources for, so this list is helping us to account”, thus accountability usage of records in RTTA. Another response relating to the transparency usage of records is that which relate to Portfolio of Evidence records where one participant noted that, “the QCTO needs evidence that, the training has taken place”. Therefore, such records are found to be used to provide details of how training took place with the purpose of being transparent and accountable to this stakeholder; and finally the response that indicated that records are used in the RTTA for proper decision making are those related to Trainee Progress Reports, which participants said “we gauge their progress through this records and decide to progressing them to higher grades, and to prove to the authorities that indeed trainees are competent or not yet competent according to the marks obtained”. Therefore, such record is found be used to assist the RTTA to make decisions about progressing trainees to higher grades based on marks obtained from examinations written for certain modules.

•*Results on the format in which the records are created*

In terms of the format in which the records are created, the researcher sought to understand the format of the records that the RTTA produces. As a result, the study discovered that more records are produced in a paper format than in electronic format.

The records format was found to play important role in the management of records in every organisation in the study by Legodi (2021) in that, it calls for different skills sets, equipment, budgets etc. that are needed to manage electronic and physical records. Furthermore, the National Archives and Records Service of South Africa (2005) provides that a record is recorded information irrespective of how it was produced in terms of medium or format used for its creation, reception, usage, access and maintenance in a particular organisation containing evidence and other supporting information for its mandates, legal obligations, and transactions of its business activities. Therefore, the study found that records in RTTA are mostly produced in the paper than electronic format. It is so because out of four sections in the RTTA, three which are the General Administration, Learner Affairs and Finance mentioned that their records are mostly in paper format. Moreover, the participants mentioned that even though they produce both electronic and paper records, paper records take priority, the response that, “but paper records take priority in our section” indicated that RTTA prioritised the production of paper records.

Therefore one (1) section amongst the four (4) in RTTA, which is Learner Support section mentioned that they maintained electronic record management system called Learner Information Management System (LIMS). Furthermore, to validate this claim, one participant said, “due to the Learner Information Management System (LIMS) that we are using; which is electronic in nature; where most of our activities are run, our records are more electronic than paper-based records”. The other participant concurred by mentioning that, “even the auditors compare scripts with our electronic records for integrity and authenticity checks”, which indicated that only this section in the RTTA was found to be purely producing and dealing with electronic records. Therefore, it can be concluded that the RTTA is engaged in a hybrid records format production and management, but paper-based records were found to be more prevalent than the electronic records.

•*Results on the records storage practices at RTTA.*

In terms of records storage practices at RTTA, Ncube and Rodrigues (2017) maintained that systematic control of records in its entire life cycle, thus from the creation, maintenance, use through to its ultimate disposal in any organisation is an

important aspect of proper records management. The study discovered that only Learner Management Information System (LIMS) was partially good regarding electronic records creation, storage, retrieval, archival, and disposal of records in RTTA, which is not the case in terms of paper-based records which were found to lack integration. Therefore, in the RTTA this aspect is partially found only in only one section which is the Learner Support Section.

The study found the following weaknesses in the RTTA records storage practices: records storage are not centralised nor integrated, they are rather haphazard and unsystematic, meaning that sections stores records according to their own individual preference, this finding is deduced from the responses such as “there is a small office which contains active examination scripts which are usually taken out by the lecturers for marking and moderation and we put them according to the module”; contrary to that, other sections mentioned that they use boxes and steel cabinet for paper-based records while electronic records are stored on their personal computers which are laptops belonging to the RTTA.

Moreover, it was further found that other sections had the shelves in their office spaces used for records storage, while others used LIMS for electronic records storage. Therefore, results indicated that there are different strategies for records storage amongst RTTA sections. Thus, each section stores records separately in their own devised methods, while electronic records are on the personnel’s personal computers and LIMS system.

• *Results on the records retrieval easiness*

According to Mojapelo (2017), records and information retrieval is one of the important records management activities in the records management practice, and it is the objective of proper record storage and management since it involves finding the records when they are needed for use. According to the finding in this study, there seem to be no difficulty in records retrieval. To validate this claim, all the seventeen (17) participants agreed that it was easy to retrieve records when they are needed. However, the challenge arises when they cited that it is because they were responsible for the storage of those records. Thus, such records storage strategies seclude the benefit of ease of records retrieval from those who were not engaged in their actual

storage. Therefore, according to Ncube and Rodrigues (2017), such records storage strategies does not represent systematic records management practice as it is not system dependant, rather human dependant. Therefore, to validate the statement by the author, the responses such as “we are the ones who are responsible for storage of these records, and we know where and how to find them when they are needed”; pointing to RTTA records retrieval systems to be depending on the human factors involved in the records storage, then the system-based records storage.

Furthermore, the study found that records stored on RTTA allocated personal computers are taken home, meaning whenever personnel were on leave, it would be difficult to find those records. To corroborate this claim, the response that “sometimes when records are needed while we are on leave, we often receive calls, and we direct them to where those records are”.

However, the study found slightly different practice from Learner Support which represent somewhat systematic storage of records which if explained to any personnel may represent easy retrieval system. To validate this claim, the response that “yes, those records can be found by anybody since we file the records, put the files in the boxes, index the boxes and finally name the box, scoresheets are stored electronically on LIMS”, which indicated that records retrieval was easy for records dealt with in this section. Contrary to that, the response that “when I knock off I take the laptop home even when I am on leave, so no one can have access to the information in my laptop, some records that are needed may be in my laptop and when those records are needed they contact me on the phone and will have to send it via email” .Therefore, this illustrate that records may be easily found by the staff who are involved in their storage, but difficult to find by the those who are outside of that section, which further proves that indeed records storage and retrieval systems in RTTA were more human oriented than system oriented.

- *Results on the availability of records management policy in the RTTA and its key elements*

In terms of the availability of records management policy, the study found that there is lack of policy for records management in the RTTA. Therefore, all the participants indicated that there is no records management policy in this organisation.

Consequentially, if their response is inaccurate, then it means that they were not aware of the availability of records management policy. In South African context, Coetzer (2012) found that sound records management programme is modelled for both paper-based and electronic records which are meant to be backed by the availability records management policies “endorsed by the heads of government bodies, their top management teams and the National Archives and Records Service; and records management procedures to back the records management policy”. Furthermore, the author advised that such policy should incorporate the uniqueness of functions, structures and resources of each governmental organisation in South Africa. Therefore, it becomes clear that records management policy is one of the important documents created to provide for organisational guidelines to ensure uniformity in the organisation wide records management practices, lack of which organisation will embark on more uncontrolled, disintegrated, unsystematic and silo records management practices. Such records management traits were apparent in RTTA from records related storage practices as per the views of the study participants.

• *Results on the most required records during audit and reasons thereof*

AGSA (2023) refers to audit as an independent process to evaluate the measures instituted by management to ensure that allocated resources are procured economically and utilised efficiently and effectively and, if necessary to report thereon. Therefore, this statement indicates that proof in the form of records is needed to conduct the audit. As a result, the participants were asked to identify the records that are mostly required for audit purposes and provide the possible reason for the requirement of those records in the audit process. Therefore, the definition by AGSA (2023) indicated that proof in the form of records is needed to conduct the audit. Therefore, the study found that assessment records were the most required due to these records carrying the weight of what RTTA is about, which is training; and such records can answer the core questions about RTTA as a training academy in terms of its processes, budget utilised, achievements of Key Performance Indicator (KPI) which relies heavily on the training outcome which is measured through assessments outcome. To concur with this finding, the response such as, “such records paint a picture to the auditors as to what training has been offered to whom, for which purpose

and how has the training been conducted (has the policies and regulatory guidelines been followed) and what is the success rate (certification) ; and that “when auditors come here, they will mostly look for the examination scripts, to compare the marks on the scripts with the captured on LIMS to check the integrity ” and that “all the sections in the RTTA works to achieve the academic excellence of the trainees and assessment records helps in gauging that and I think that is why auditors are mostly interested in those records”, were provided as reasons for assessment records to be mostly sought by the auditor. Thus, in essence to become accountable and transparent to the auditors about the training programmes taking place in the RTTA.

Furthermore, the study discovered that in the Finance Section, auditors are most interested in the enrolment list, quotation and proof of payment and financial statement to ensure that the right amount of money is paid to the right account for the right student and the right course. The response that “all they want from us is the proof that proper payments has been made for the relevant courses” shows that the auditors are not only interested in the training programmes and progress at RTTA, but also at the how part in terms of training, for accountability and transparency which finance records were able to provide indication thereof.

Finally, in terms of Administration Learner Affairs, the study found that auditors were more interested in how the RTTA uses financial resources to implement the wellness of their trainees. This was indicated by the response that, “what they most likely to look for is records of the trainees who sought to be released for medical attention which is capable of illustrating how much money is spent on the wellness of the trainees”. This response further stresses that financial accountability, and transparency was the leading reason for auditors to look for records in the organisation.

- *Results on the current records management practices at RTTA in promoting good corporate governance*

The study found that majority of the participants believed that the current records management practices at RTTA contribute to the good corporate governance at this organisation. To further highlight the importance of records management in the promoting good governance in organisations, the study conducted by Asogwa (2012) observed that organisations lacking control over its financial records provide fertile

ground for poor corporate governance activities such as fraud, embezzlement, impeding control of revenue leading to difficulty in fiscal planning whereby accountability and transparency relating to business transactions and decisions. Thus, posing a threat in the audit process.

The study further found that contrary to the majority believe, minority of the participants in the study believed that the current records management practices at RTTA does not adequately contribute to good corporate governance in this organisation. This is validated by the response that “sometimes we fail to give auditors, municipalities, provincial traffic authorities and private vehicle testing stations information about their employees who are our trainees due to misplacement of some records”. This indicated that there was a challenge of poor records management, which may lead to loss of records at RTTA and thereby hamper good corporate governance. The participants went on to provide examples of worst case scenario of records management practices relating to governance at RTTA that “when the trainee’s examination script is lost, and their marks appears in the LIMS scoresheet, and they filled in the examination register to indicate that they wrote the examination, the certificate of that person cannot be issued because it is an audit query, the QCTO will not print such certificate and it may end up being a legal issue”; and that “there were some eight trainees from a certain government organisation who queried their failing marks and demanded to see their scripts, some of those scripts were not found and the public protector was involved .” Therefore, these indicated that, misplacement of records due to poor records management practices may be detrimental to the good corporate governance at RTTA.

- *Results on the other stakeholders in or outside who may require using RTTA records and purpose thereof*

Yunus et...al (2020) postulate that gaining and retaining trust between the organisations and their stakeholders is a function of transparency and accountability, which assist in providing stakeholder assurance in terms of values and interests governing the relationship, and proper records management practices could become enabler thereof. Therefore, the study sought to establish which stakeholders beside the auditors may be interested in the records at RTTA to seek the transparency in the processes thereof through the usage of records. As a result, the study found that

Municipal Traffic Authorities; Provincial Government Traffic Authorities; Private Vehicle Testing stations; training governing authorities such as QCTO and SASSETA; RTMC board members; previous trainees and the public.

In terms of the purpose for which stakeholders may use such records, the study found that records are needed for transparency and accountability. For the purpose of this study, it was found that stakeholders such as municipalities, provincial traffic authorities and Private Vehicle Testing Stations and previous trainees require the same set of records such as information about the courses they/their employees were enrolled for, amount to be paid, progress reports, and certificates. Thus, these stakeholders need records for transparency related issues, and RTTA needs to prove through records that it has kept its part of the bargain in the relationship in terms of training as per stakeholder terms of agreement.

Furthermore, the study found that governing authorities such as QCTO, SASSETA and RTMC board need records for the purposes of accountability. The sentiment is shared in the responses that “The QCTO is more concerned about the process of training such as adhering to notional hours and class attendance to release certificate, so class register is highly required for that”. Thus, these stakeholders are mostly interested the governance of the RTTA during the provision of training, teaching and learning.

•*Results on the records appraisal and disposal*

In terms of records appraisal at RTTA, the study sought to establish as to whether records are appraised and the correct prescripts in the ultimate disposal were followed. Therefore, the study by Malake and Phiri (2021) found that delayed records retrieval in most organisations is a direct result of lack of policy on records retention and disposal schedules, which emanates from the records appraisal which refers to taking stock of the value of records in the organisation. In line with Malake and Phiri (2021), the study found that there was no formal records disposition and appraisal schedules in RTTA in that, all 17 participants agreed that there was no formally agreed upon criteria used to appraise records in RTTA, however they differed in the way in which they appraise and dispose of the records. In their different account, the study found that some use financial year end as a determiner or criteria of the value records, and to that effect the response that “the records of the previous financial year are kept in

the boxes to make way for the ones for the current financial year”; which differed from those using the duration of the course as a determiner of value in the disposal and retention of record who said, “we are keeping all records active on our shelves and LIMS system for a period of three years, which correspond with the duration of most of the courses offered at RTTA”; which provided evidence that there was no records appraisal and disposal policies in this Academy.

•*Results on the criteria for records appraisal*

According to IRMT (1999) the importance of records appraisal rests on its ability to use professionalism in “determining the continuing usefulness of records, defining the requirements for their retention and disposal and designing and applying disposal schedules”. This shows that professionally, prior records disposal, value thereof should be determined so that records of value are not destroyed and valueless records retained. The study found that records appraisal did not follow professionalised methods and only the duration of the course and the financial year were used as the indicators for the value of the records. This present a risk according to IRMT (1999) that valueless records may be kept ahead of records that are still useful to the RTTA. This was indicated in one of the responses that: “*when the course is finished, we close the files and put in boxes off the shelves*”. Therefore, since there were no formal appraisal policies, there would be no criteria thereof.

•*Results on the Legal framework for records disposal*

Study by Kennedy and Schauder (1994) found that “records retention schedules enable organisations to meet regulatory requirements and control the costs of records storage through disposing records at the end of their business life”. In south African context, National Archives and Records Service of South Africa Act (Act No. 43 of 1996, as amended) (NARSSA Act) provides for all aspects of handling the records in terms of the “identification, security, safe custody, disposal and retrieval of records”. Therefore, the study found that there is no legal framework followed for records disposal in RTTA; and that records are disposed of informally and haphazardly; which is against the Act which stipulates that the National Archivist should always be engaged and approve disposals for records management. To validate this findings, the study found that all 17 participants believed that there was no legal framework for records

disposal, with some further mentioning that “all records were never formally destroyed, we just put them in boxes neglect them”; the other notable one was that “I am not aware of any legal framework that governs the disposal of records” ; while the other said “if we see that the records are no longer used frequently, we just shred them”. Therefore, these findings contradict the prescripts of NARSSA in terms of which is a proper records management practices in South Africa. Furthermore, these findings were mixed in terms of the adherence to legal framework relating to records disposal at RTTA, with indication that valuable records may be disposed of or destroyed without adherence to proper procedures thereof. In line with findings in this study, Malake and Phiri (2020) shared these sentiments that organisations should find a uniform systematic way of sorting, storing and destroying records, and adherence to legal requirements for disposal may be a better solution.

#### *4.3.1.2. Section B: Knowledge, competencies, and skills concerning required for record management*

##### *a) Results on records management training at RTTA*

###### *• Involvement in the records management training*

Mojapelo (2017) observed that lack of adequate skills and training among records management practitioners play a role in the poor records management practices in achieving good corporate governance. Therefore, the study found that all 17 participants in RTTA have never been involved in the records management training, workshop, conference nor seminars. This finding resonates with their assertion that records are destroyed or disposed of without following proper procedures. The study further found that lack of knowledge of records appraisal and disposal amongst the participants might have emanated from lack of records management training. The other factor that indicated lack of training in records management was the methods used for records storage which were in silos and without integration. Furthermore, sharing the sentiments, the study by Mohammed et al. (2018) and Makgahlela (2021) found that amongst other records management challenges in the organisations, there is a challenge of inadequate professionally trained records managers and lack of formal records management qualifications, which is the case in the RTTA. This claim

is validated by all the participants indicating that they do not have professionally recognised records management qualifications.

•*Records management workshops, conferences, and seminars attendance*

The study found that there was a lack of attendance to records management workshops, conferences, and seminars as no participant indicated that they have attended either of the training.

•*Electronic records management as part job description at RTTA*

In terms of electronic records management as part of job description, the study found that thirteen (13) out of seventeen (17) participants representing the majority, did not have electronic records management as their job description, while four (4) indicated that it is part of their job description due to the Learner Management Information System that they operate. However, the study further found that of the thirteen (13), eight (8) said that even though they are not formally having electronic records management as their job description, they were still required to deal with those records. Therefore, it can be said that no specific personnel are solely responsible for records management at RTTA, however it is dealt with as a by-product of activities that produces the records.

•*Organising for training on e-records management for RTTA personnel*

Legodi (2021) pointed out the importance of impartation of records management skills and knowledge in records management professionals “where most records are captured and administered through computer technologies is indeed an essential element”. Therefore, the study discovered that only four (4) participants which represent minority of the participants were subjected to electronic records training offered internally from RTMC IT department. Furthermore, (13) thirteen participants representing majority of them were never subjected to e-record training.

4.3.1.3. *Section C: Strategies of effective record management to achieve good corporate governance.*

a) *Results on the general challenges you faced in line with records management at RTTA.*

The participants were asked to explain the general challenges relating to records management in the RTTA. The study discovered that of the seventeen (17) participants ten (10), which are majority, mentioned misplacement and loss of records and shortage of space for records storage as two major challenges in terms of records management in RTTA. Furthermore, it was discovered that: *“some records are lost between offices or are put into the wrong boxes, and this delay the usage of that records”*. However, seven (7) participants, which are minority indicated that records can only be found by personnel who worked/stored them. Therefore, it can be concluded that RTTA’s system of records management was found to be person based as opposed to system based. Thus, personnel take records home with their laptops and when they do not report for duty, records accessibility may be affected.

b) *Results on the possible recommendations for RTTA to:*

- *Provide access to information to the stakeholders i.e., auditors, executive, customers etc. quickly and (b) ensure clean audit opinion*

Some studies found that the most important elements of good governance are accountability, transparency, good decision-making, whereby Chaterera (2016) referred to accountability as taking responsibility for utilising resources allocated for maintenance of stakeholder relationship such as finance, contracts which are proven by provision of records during audit sessions where decisions about matters of governance are made; Mojapelo (2017) postulated that transparency involves the ability to show the stakeholders that utilisation of resources were according to the set terms of that relationship, and the principles of openness forms part of transparency; and Wamukoya and Mutula (2005) refers to good decision-making as devising and making choice about better strategic options fit for the proliferation of the organisation, and records were vital in this instance because they serve as proof to all these elements of good corporate governance.

The study found that eight (8) participants were satisfied with the status quo of the current records management practices. These meant that, when all stakeholders seek for records, they were easily retrieved and provided. Therefore, of the seventeen (17) participants, nine (9) proposed that policies, procedures and trainings be put into place to reduce the loss or misplacement of records. Such strategies align well with the challenges found in the records management practices, where participants cited difficulty in records retrieval by the people outside a particular section in RTTA. It is also found that four participants representing minority, suggested that a central records registry with procedures and policies be established to put proper control on the overall records management, and that align with the records storage challenge and retrieval in RTTA which are said to be more human oriented than system oriented.

- *Results on ensuring that records management receive supports from senior managers within RTTA*

The study conducted by Mojapelo (2017) found that records management in the public sector “has a huge impact on the organisational mandate because the audit opinion is provided based on the available records or documentation, and without the available records to use as evidence, a disclaimer will always be issued”. This indicates that management were always concerned about the audit opinions and the achievement of the organisational mandate. The sentiments are shared by the participants in this study whereby out of seventeen (17), four (4) which are minority mentioned that an audit finding relating to records management challenge be put as a reason for proposal for change for motivation to the senior management. Therefore, to validate these statements further, the following were the responses: “misplaced records are often realised during audit period, and it is a negative audit finding for RTTA to not produce a record, mostly scripts when the auditors picked them for audit, it makes the whole qualification offered at RTTA questionable” ; and “the competency of the managers is gauged by the audit outcome as to whether the senior managers are accountable, transparent and lead good corporate governance, audit outcomes are able to show that, so senior managers hate negative audit report and are most likely to respond to avoid recurrence of the findings”. Therefore, such responses indicated that these audit findings were most likely to attract management’s attention should they be used as

motivation for the support for records management. However, thirteen out of seventeen (17) participants, (13) which are the majority did not have idea on how to stimulate management interest in records management. This is an indication that there may be lack knowledge or passion for proper records management.

- *Results on ensuring the enhancement of recordkeeping in support of the RTTA corporate governance*

Asogwa (2012) concluded that “effective recordkeeping provides evidence of business transactions between individuals, groups or organizations; it guarantees transparency and accountability, revamps continuity in civil service functions and strengthens financial management”. This statement is a highlight of the importance of good records keeping in the corporate governance. Therefore, this study found that all the seventeen participants shared the sentiment held by Asogwa (2012) and acknowledged the importance of records management practices in corporate governance in RTTA. Such proposals included that, “Procedures for records management which will be universally applied will assist us in good record keeping, which will contribute in the RTTA being accountable during audits and thereby achieve good governance” and that, “a universal file plan will help a lot so that we do the same thing”. This indicates that, for effective records management there is a need for records management systems standardisation through proper procedure and file plans.

In terms of Any other records management strategies that can lead RTTA to achieve transparency and accountability, the study found that creation of records management policies and procedures, central storage of records, training on records management were proposed to be amongst strategies that can be implemented for that purpose.

- *Results on any other records management strategies that can lead RTTA to achieve transparency and accountability*

For any other records management strategies that can lead RTTA to achieve transparency and accountability, the study found that there was advocacy amongst RTTA Administrative personnel for the creation of records management policies and procedures, central storage of records, training on records management.

### **4.3.2. Part B: Data collected from RTTA Unit Managers**

#### *4.3.2.1. Section D: The impact of records management practices on transparency and accountability*

##### *a) Results on the sections managers are responsible for in the RTTA*

The study found that amongst the four Units Managers, each one represented each unit in the four units of RTTA as follows: one Theoretical Training Manager, one Practical Training Manager, one Learner Support Manager, and one Administrative Manager.

##### *b) Results on manager's roles and responsibilities in this section*

The study found that in terms of personal responsibility in their respective sections, the manager from the Training Delivery for theory and the manager for Training Delivery practical were found to be conducting the same activities in their respective functions, the only difference was that one was managing practical and the other theoretical section. As a result, the study found that Training Delivery, conduct the following duties: Monitoring of exam documents, verifications of examination scripts, monitoring of examinations, Verification of portfolio of evidence files, learning material development and ensuring that lectures and trainees attend their classes, and training and lecturing is taking place adequately in line with the prescripts of QCTO and SASSETA in terms of notional hours.

It has further been discovered that both Administration and Training Support work together to provide training support to Training Delivery (theoretical and practical) which is the section conducting the core business of the RTTA, thus training; teaching and learning through lecturing; physical training; and practical training. Furthermore, it was found that these two sections ensure that training takes place by providing resources that enables it, through budgeting; procurement plans; ordering training material; creation and managements of documents and files for all trainees and lectures; provision of library services; support Training Delivery in preparation of assessments; and other miscellaneous administrative support to the entire Academy including catering for trainees' wellbeing.

When the relationships between these four sectional mangers were tested through probing questions, it was found that the manger for Training Delivery: Practical and the

Manager Training Delivery: Theoretical report to the General Manager: Training Delivery; on the other hand, the manager for Administration and the Manager for Learner Support are reporting to the General Manager: Administration and Learner Support. Hence, their line of answers can be condensed to two categories, namely Training delivery and Administration and Learner Support.

*c) Results on the overall role of the section of each manager in the entire RTTA*

In this regard, the study found that the Training Delivery section, both theoretical and practical, are responsible for ensuring that training delivery takes place in adherence to the quality training control bodies such as Quality Council for Trades and Occupation (QCTO); The Road Traffic Management Corporation Training Norms and Standards (TNS); South African Qualification Authorities (SAQA); and Safety and Security Sector Education and Training Authority (SASSETA). The responses such as that: “our section is responsible for the delivery of training to all trainees, meaning we are responsible for offering lessons to these trainees, we set examinations and administer other forms of assessment”, indicated that Training delivery section contain the core business of RTTA, while all other sections perform a support function. To further validate the sentiment, one participant from Administration expressed a view that: “We are responsible for overall administrative activities to support training in the RTTA, we are responsible for the provision of resources that will assist in the provision of training”.

*d) Results on RTTA's current internal and external stakeholders*

*• Who are these stakeholders and how does RTTA relate with them?*

To establish the accountability and transparency with stakeholders, the participants were asked to explain the current internal and external stakeholders of RTTA. Therefore, the study established that external stakeholder, The Quality Council for Trades and Occupations (QCTO) ,which is a Quality Council established in 2010 in terms of the Skills Development Act 97 of 1998, with the role overseeing the design, implementation, assessment and certification of occupational qualifications, including trades, on the Occupational Qualifications Sub-Framework (OQSF), which RTTA training programme subscribe to, is the external stakeholder that the Academy account to in terms of training quality of the training programme they offer (QCTO,2024).

Furthermore, the response such as that “we get our certificates from this stakeholder” validates the finding that RTTA have a duty to be accountable and transparent to this stakeholder especially for certification purposes which needs proper records that reflect the training processes.

The secondly, SASSETA, which was explained to be the education and training authority in the safety and security sector, to provide learning programs that lead to recognised occupational qualifications; responsible for the verification and ensuring that quality training takes place in the sector that the RTTA operate in, which is the traffic sector (SASSETA,2024). To further show the relationship between RTTA and SASSETA, a response such as that: “every trainee coming into the Academy must be have been enrolled with SASSETA according to its envisaged kind of trainee”, and that: “for instance, only the trainees who are medically fit and have a minimum qualifications of grade 12 certificate and are fit to become officers should be accepted, and we administer that in line with SASSETA”; and that: “this stakeholder verifies the processes that are followed when training takes place and thereby issues statement of results for unit standards and certificates thereof if they were satisfied with the processes and material used for training”. These indicated that SASSETA is also a very important stakeholder in the training fraternity within which RTTA operates, and it would require that RTTA produces records for both transparency and accountability.

Thirdly, the study found that the Auditor General of South Africa (AG) is a very important stakeholder for the purposes of accountability on a national level, which the Auditor General South Africa (2024) defined as the oversight stakeholder mandated by the constitution of the Republic of South Africa Act 109 of 1996 to audit all government entities to check compliance with legislative mandates they are operating in. Therefore, the study found that the RTTA subscribes to the Public Finance Management Act and the AG uses this Act to audit the Academy. Therefore, responses such as: “As the academy, we are to follow the Public Finance Management Act to avoid fruitless and wasteful expenditure and execute our budget as per vote, so the AG looks at that”, exemplify the importance of this stakeholder in terms of accountability, transparency and thereby good corporate governance by using records to conduct audit and come with the audit opinion according to the proof provided.

Fourthly, the study found that the Department of Transport is amongst the external stakeholders that the RTTA should be accountable and transparent to. Therefore, this sentiment is validated by the response that: “we are an entity of the Department of Transport, and we must account to them as a mother body”. This indicated that in the annual report of the Department of Transport, RTTA feature as an entity thereof and proper reporting through authentic records is very important for accountability and transparency Malake and Phiri (2020).

Fifthly, customers of RTTA such as municipalities; Provincial Governments; and Private Vehicle Testing Stations which receives training in the traffic fraternity from the RTTA were identified in this study. Therefore, the response such as: “these are our customers that we provide training support to their staff members, however we are in relationship with some municipalities which we have MOU for usage of their Driving License Testing Stations and shooting for practical training” validate the finding. Further findings were that the RTTA constantly engaged in the activities that produce records to become transparent and accountable to these stakeholders if they are to be considered practicing good corporate governance.

For the internal stakeholders, the study found that The Road Traffic Management Corporation Training Norms and Standards (TNS). Thus, such finding come from the responses such as: “this is an internal stakeholder who is responsible for ensuring compliance with all education and training stakeholders in the country and help the RTTA attaining such compliance”, and that: “TNS audit the learning material development to align them with industry dynamics, quality check the setting and the writing of examination and ensure that the exam centres are registered with the relevant training authority, responsible for all assessments and moderation for the RTTA to ensure the achievement of quality in training”. Further finding was that the TNS as an internal compliance stakeholder, would constantly seek to examine the records at the RTTA to quality assure the training programme alignment with national training prescripts and legislation. Therefore, it can be concluded that without proper records management, this stakeholder may not be able to clearly audit the process and legislative alignment within the RTTA.

Furthermore, the study found that the other internal stakeholder with interest to RTTA records is RTMC Internal Auditors. one participant was noted explaining that “this

stakeholder is responsible for auditing the entire academy's processes in line with policy compliance before the Auditor General conduct their audit".

Finally, it was also found in this study that RTMC Office of the Chief Executive Officer and the Board, hold the Academy into account as per internal accounting structures of RTMC. Therefore, these makes them very important stakeholders relating to the governance structure of the RTTA in terms of transparency and accountability. This can be better understood from the response that: "the RTTA is a unit in the RTMC, and Executive Manager of RTTA accounts to the RTMC CEO, and the CEO accounts to the RTMC Board". Therefore, further finding was that accurate records need to be found when they are needed for the purposes of accounting and being transparent to this stakeholder and such records should be well managed.

- *Results on RTTA usage of records to become transparent and accountable to these stakeholders*

The study found that mostly examination scripts, mark reading sheets, enrolment information assists the RTTA to be transparent and accountable to the stakeholders mentioned. Furthermore, it was found that externally, participants recognised that stakeholders such as QCTO, SASSETA are interested in the mentioned records for securing certificates to certify trainees competent for training programmes offered by RTTA. The response that: "no trainee is competent unless SASSETA and QCTO audit the programmes offered" further indicated that there was a high level of transparency and accountability that the RTTA should demonstrate to convince these stakeholders that the trainees that are said to be competent were indeed rightly competent. That is when the records such as examination scripts, mark sheets, attendance registers and enrolment process records would be produced for these stakeholders for the purposes of verification; accounting and transparency; which are indeed the particles of good corporate governance (Mojapelo ,2017).

The study further found that customers, which are the Department of Transport, Provincial Governments, Municipalities, and Private Testing seeks to use RTTA records for transparency and accountability. This was found from the response that: "such customers often require to see assessment records to establish value for money and detect the progress of their employees who were subjected to training by RTTA".

In this regard, it was found that it was vitally important that records were well organised for the purpose of retrieval whenever such a need arise.

It was further found that Memorandum of Understanding Documents (MOU) were amongst the documents that were mostly required by the municipalities for the governance of their relationship with RTTA. Thus, the response such as: “the MOU contracts are consulted from time to time to establish terms of reference and conduct amendments to govern our relationship with municipalities”, validate this claim.

- *Results on RTTA’s current records management practices assisting sections in promoting accountability and transparency with your stakeholders*

The study found that the current records management practices assisted the sections in RTTA in promoting accountability and transparency in that, all the seventeen (17) participants believed that all the records requirements were met and the as well as the audit findings were positive. This is echoed by the response such as: “one day we had to deal with former trainees who were not satisfied by the marks allocated in their academic records and lodged complaint, we were able to find scripts, test it against the scoresheet and provided those trainees with the relevant answers”. Thus, achieving transparency and accountability with the use of records management practices in RTTA which ensured that records were found when they were needed for this purpose.

- *Results on the possibility of achieving acceptable level of transparency and accountability in the absence of records management at RTTA*

The study found that in the RTTA, unit mangers believed that in the absence of records management, the acceptable level of accountability and transparency cannot be achieved. Hence all of them affirmed and acknowledged the importance of proper records management in that, in the absence of which the records that are needed for accountability and transparency would be difficult to be found when needed. These findings, share a sentiment with the study by Chiware (2022) which found that “Walter Sisulu University had improved its records management because when records are properly managed, they become a powerful tool for accelerating transparency and accountability, which leads to good governance”.

#### *4.3.2.2. Section E: The role of record management in fostering good corporate governance.*

##### *a) Results on the process of auditing at RTTA*

The study found that the RTMC which is the mother body of RTTA has devised an audit charter that is followed organisation wide which carries terms of reference and the scope of the audit that needs to be conducted. It was further revealed that during audit periods, the letter explicating the intention to audit is sent to the Executive Manager (EM) of RTTA which is later circulated to all the managers to be audit ready. This would mean to put their records in such a way that they are accessible should they be required. The example provided by the participants showing the activities and the kind of records that are mostly needed in the audit, indicated what is needed by the managers to be audit ready, the response such as: “the maintenance of learner records, time table and attendance of lecturers by trainees, credits per module spit into notional hours and teaching contact time, progress and assignments, Portfolio of Evidence (POEs), assessments, assessor and moderator qualifications requirement, Learner Information System, OHS relating to training facility and the accommodations; and finally administrative and operational activities to identify risks”, further shows that these are the records of significant activities in RTTA during the audit sessions.

##### *b) Results on the role played by records management practices in auditing*

On the role of records management in the audit process, the study found that the RTTA use the scope of the envisaged audit to prepare the records according to the tasks in that scope. one participant provided example that “for instance, on assessments as part of the scope, we have to prepare examination question papers, memorandums, rubric, mark reading sheets and LIMS as records that will support good conduct on the assessment in RTTA”. Further findings are that records assist the auditors to get the general compliance or deviation evidence, and that the presence of records is the presence of means of verification that what was supposed to be done, indeed took place in the manner that policies; regulations; procedures and instructions predetermined. The response such as “lack of records is lack of evidence and lack of evidence is lack of performance”, indicated that unit managers in RTTA acknowledged

the role of records management in the audit process, and that they were most likely to devise proper records management programme if they were to be advised.

*c) Results on RTTA delivering on its mandate in the previous financial year*

The study found that the RTTA has delivered on its mandate in the previous financial year, and it was reasoned that they had secured certification of the second cohort of trainees who were completing the Traffic Diploma on NQF level 6, which was their mandate in the 2023/2024 financial year. This means that the RTTA was able to become transparent and accountable to the oversight bodies such as QCTO and SASSETA in such a way that they secured approval of issuance of certificates.

*d) Results on the role of records management practices in RTTA achieving its mandate*

It has been established in the study that records that contains policies, strategies, procedures, internal instructions and legislations which when they were followed; were able to reach their mandate. Furthermore, the response that: “there are records that helps us to document the strategy of the entire organisation, which helps us to create the budgets which are also a records that guide our spending to respond to the strategy, there are records of procedures that needs to be followed to reach the mandate such as policies of RTTA , QCTO, SASSETA etc. and with that we produced 490 traffic trainee graduates”; indicated that records management practices played a significant role in the achievement of the RTTA mandate as all the oversight stakeholders were satisfied with the records provided for the approval.

*e) Results on the positive outcomes have been achieved by RTTA in the previous financial year*

In terms of the positive outcome achieved in the previous financial year, the study found that the RTTA produced 490 traffic trainee graduates in the previous financial year, who are now operating in the South African national roads.

*f) Results on the role of records management practices in RTTA achieving its positive outcomes*

The study discovered that the records management practices enabled the RTTA to relate with stakeholders by accounting to them, especially for certification process where the RTTA needed to produce assessments records; class attendance registers; examinations registers; moderation and assessor files and POEs. The response such as: “we were able to prove to the QCTO and the RTMC CEO to issue certificates and allow the RTTA EM to declare those 490 trainees competent and proceed with graduation” which relates to the evidential value of records (IRMT,1999).

*g) Results on the extent to which records management practices assist in governing this academy*

The study found that unit managers in RTTA believed that records management practices assist the RTTA in finding records whenever the need arise. The response such as that: “in each and every working space, records are produced, and those records represent the activities that took place and thereby create precedence which is file for future reference”; and that: “When there is a need to be transparent and accountable about activities that took place, maybe to the auditors, QCTO, SASSETA, TNS, CEO or even deciding on matters, records were searched, found and consulted to provide guidelines and evidence”, indicated that records management practices at RTTA assist the academy to govern its affairs in a transparent and accountable manner in that records were found when they are needed.

*4.3.2.3. Section F: Recommendation on strategies of good record management to achieve good corporate governance.*

*a)Results on the general challenges line with records management at RTTA.*

In terms of the strategies that will enhance good records management practices to achieve good corporate governance at RTTA, the study found that there were instances of the loss or misplacement of assessment records that sometimes become prevalent in some sections in the RTTA. Furthermore, it was found that such phenomena threaten the clean audit report at RTTA due to lack of sufficient evidence

contained in those records. Thus, it may lead to poor audit results and thereby leading to poor corporate governance at RTTA.

Moreover, out of four (4), three (3) participants could not specify the type of the challenge that they face with records management at RTTA, which may point to two possible findings, the first one may be that the RTTA records management practices were perfect without challenges; and secondly there may be lack of records management awareness amongst unit managers at RTTA which might have led to participants 'inability to pinpoint the records challenges. However, the study found that contrary to the majority, one participant clearly articulated the records management challenge that "there are instances of the loss or misplacement of assessment records that sometimes becomes prevalent in their section, which threatens the clean audit report due to lack of sufficient evidence contained in those records".

*b) Results on What can the Academy do to:*

- *Provide access to information to the stakeholders i.e., auditors, executive, customers etc. quickly*

The study found that majority of participants advocated for the maintenance of the current records management practices whereby three (3) out four (4) participants indicated that the status quo should be maintained. Furthermore, it was found that one participant suggested that there should be a proper filing plan and the responsibility for dealing with records be attached to certain identified and qualified individuals. individuals.

- *Ensure that records management support clean audit opinion*

In terms of ensuring records management support clean audit opinion, the study found that proper filing plans and policies for records management and implementation of consequence management for the loss of important records were suggested.

- *Ensure that records management receive supports from senior managers within RTTA*

In terms of records management receiving support from senior managers within the RTTA, the study found that, due to the previous frustration because of loss of important

records in their sections which brought about unpleasant audit findings, the recommendation was that findings should be well documented and be linked to the poor records management; and be presented to the senior managers.

- *The enhancement of recordkeeping in support of the RTTA governance*

The study found that the creation of policies and procedures for record-keeping and the training of staff in line with proper records management were highly recommended. Further challenge found was that: “what we are doing now with records is haphazard, and I think it is a matter of time before one or more trainees are refused graduation because either SASSETA or QCTO cannot find their records for verification and that will be the poor governance”. The proposal for solution related to this challenge were that “we must have a dedicated place to store records, a system or a catalogue that reflect which record entered in that storage and which one left so that we can keep stock of records at RTTA”. This indicated that participants believed that there was an opportunity for growth in the record-keeping practices of RTTA

- *Results on the description of any other records management strategies that can lead RTTA to achieve transparency and accountability*

The study found that, it was recommended that a well-planned records organisation; access and retrieval; training and awareness in the entire RTTA be implemented to ensure that staff understand the sensitivity of the records management and the implication thereof on good corporate governance. To further validate the finding, one participant was noted saying that “we need a file plan, central location for all records because it is not safe for us to put the records in our offices, our staff go home with laptops that has sensitive information, so the central registry or something will help in putting these records in one place accessible by everybody”. Therefore, it can be concluded that central storage of records; accessibility and availability thereof; training and awareness in line with records management would solve some of the identified challenges.

#### **4.4. Summary of the chapter**

This chapter presented the results and analysis of the data collected using an exploratory research design that involved the collection qualitative data. Data for this study was collected using interviews which were conducted using face-to-face engagement with the research participants at RTTA the during their lunch breaks. The population of the study consisted of the 17 Administrative staff and 4 Unit managers at RTTA, thus the interview guide deployed in this study had two main parts, which is part A and B consisting of five sections in the form of research objectives. As a result, the study analysed the collected data thematically as follows:

Part A: Dealt with data collected from the administrative staff addressing the following objectives, which were divided into: Section A: Record management practices at RTTA, thus records creation, usage, maintenance, and disposal in achieving good corporate governance at RTT; Section B: RTTA Administrative Staff's level of education, competencies, and skills concerning dealing with record management in achieving good corporate governance at RTTA; and Section C: Recommendation on the strategies that may enhance good record management and practices to achieve good corporate governance at the RTTA.

Part B dealt with data collected from Unit Managers addressing the following objectives which were divided into Section D: The level at which records management practices by RTTA Unit Managers and Administrative Staff impact on transparency and accountability as particles of good corporate governance at RTTA; Section E: determined the role of record management practices by RTTA Unit Managers and Administrative staff in fostering good corporate governance at RTTA; and Section F: dealing with recommendation on the strategies that may enhance good record management and practices to achieve good corporate governance at the RTTA.

## **5. CHAPTER FIVE (RECOMMENDATIONS AND CONCLUSION)**

### **5.1. Introduction**

The previous chapter provided the discussion, presentation and interpretation of findings in the form of data management and analysis, research results presentation and the overview of research findings. The aim of this chapter is three-fold: to draw conclusion and recommendation on the research design and method, interpretation of findings, provide conclusion and recommendation on the research findings, contribution and limitation of the study and draw final conclusions of the research study in view of the problem statement.

### **5.2. Research design and method**

The study used exploratory research design which aimed at studying and discovering the role of records management practices amongst the RTTA Administrative staff and Unit Managers in achieving good corporate governance this academy. As a result, a qualitative research approach was adopted which involved the collection of qualitative data through semi-structured interviews, using interview guide as an instrument for data collection. Therefore, research participants were interviewed following the ethical principles approved by the University of Limpopo TREC, the face-to-face interviews were conducted with research participants during their lunch breaks. The population of the study consisted of the seventeen (17) Administrative staff and four (4) Unit managers at RTTA, thus the interview guide deployed in this study had two main parts, which is part A, focusing on the administrative staff and part B, focusing on Unit Managers. Furthermore, the interview guide consisted of five sections which took the form of research objectives used in the literature review. Thereafter, the study analysed the collected data thematically using the research objectives as themes in the data analysis process.

### **5.3. Interpretation of the research findings**

Based on the objectives of the study mentioned in Chapter One (see Section .3.2), the study established that:

### 5.3.1. Record management in public organisation

Therefore, it is widely acknowledged that record management practices at RTTA, thus records creation, usage, maintenance, and disposal play very important role in achieving good corporate governance at RTTA. However, the study concludes that there is a lack of professionalism; integration; policies; and systems that provides for proper records management in RTTA amongst administrative staff members. It can also be concluded that, currently, records management practices at RTTA were found to be haphazard. Therefore, in terms of the background of the participants, the study showed that academically, RTTA lack personnel with formal qualification relevant to records management. Additionally, results indicated that the administrative staff at RTTA can deal with records management but only to a limited extend due to inadequate requisite knowledge and qualifications in this field. in terms of work experience, majority of the participants have been in the working environment for more than ten years, which keeps them in a positive light in terms of their performance in this organisation.

In terms of records management practices, *on the Sectional roles in RTTA*, the results showed that different sections at RTTA are engaged with myriads of activities to achieve the training goal of this Academy; and thereby produce various records in the process. And that, such records were used as evidence and tools of transparency and accountability to ensure good corporate governance at RTTA. The results of the study further suggested that the good corporate governance at RTTA relied on good stakeholder relations management, whereby various stakeholders such as customers for, and oversight authorities, audit and scrutinised this Academy for accountability and transparency with the quest to achieve good corporate governance at this Academy. Furthermore, it can be concluded that findings on the role record management practices at RTTA; thus records creation, usage, maintenance, and disposal pointed to a concerning level characterised by lack of professionalism, integration, policies and systems that provides for proper records management in RTTA amongst administrative staff members. Moreover, there were observed weakness of records management in RTTA which is characterised haphazardness. Unegbu (2021) indicated that “administration should make sure that professionals are employed. Having a degree does not make one competent to work in a records centre”. This point

to the observed lack of professionalism and reluctance in the implementation of regulations, legislation and policies for records management governance in the RTTA.

#### 5.3.2. The role of record management in fostering good corporate governance.

In terms of determining the role of records management practices by Unit managers and administrative staff in fostering good corporate governance at RTTA, the results of the study indicated that the current records management practices at RTTA contributed to the good corporate governance at this organisation. However, the results presented contradicting views in that minority amongst the administrative staff believed that the current records management practices at RTTA does not adequately contribute to good corporate governance in this organisation, citing its silo and haphazard techniques of records management.

#### 5.3.3. Knowledge, competencies, and skills required for record management

In terms of RTTA Administrative Staff's level of education, competencies, and skills in dealing with records management in achieving good corporate governance at RTTA, there is an observed lack of formal education in relation to records management fraternity in the RTTA. This further exacerbate haphazard management of records, whereby records are not cared for as per records life cycle model from creation to disposal or destruction, which may lead to valuable records being destroyed and invaluable records being kept. the results showed the evidence of lack of adequate skills and training among records management practitioners play a role in the poor records management practices in relation to achieving good corporate governance. Furthermore, there is an indication in the results that all administrative staff at the Academy were not trained in records management and that records are destroyed without following proper legislative disposal procedures and policies.

#### 5.3.4. The impact of records management practices on transparency and accountability

In terms of the level at which records management practices by RTTA Unit Managers and Administrative Staff impact on transparency and accountability as particles of good corporate governance at RTTA; the study established that records management play a significant role in the RTTA achieving its mandate and positive outcomes for its

financial year targets and good governance. The results of the study further showed that RTTA unit managers believed that no successful auditing without evidence contained in the records; and that good corporate governance and the audit outcomes are the major indicators of whether corporate governance is good or poor. The results further indicated that records management provides evidence that embodies proof for adherence to policies, procedures, protocols and legislation through which good corporate governance is achieved. Based on the results of this study, the role of records management in good corporate governance is that of providing evidence on the compliance to the legislation, protocols, procedures, policies and systems laid down by the training authorities such as SASSETA and QCTO for the RTTA. In this study, results showed that lack of records is lack of evidence without which audit cannot take place and thereby result in poor corporate governance, this further indicated that records management play a significant role in the RTTA achieving its mandate and positive outcomes for its financial year targets; and thereby achieve good corporate governance.

#### 5.3.5. Strategies for effective record management to achieve good corporate governance.

The role of record management practices by RTTA Unit Managers and Administrative staff in fostering good corporate governance at RTTA has been determined in such a way that, the current record management practices at RTTA are not adequately professionalised; and cannot fully foster good corporate governance due to its lack of systems and its silo and human oriented nature. The results of the study further highlighted the following in terms of the strategies that may enhance good record management practices to achieve good corporate governance at the RTTA:

For the provision of access to information to the stakeholders i.e., auditors, executive, customers etc. quickly, the results indicated advocacy for the maintenance of the status quo of records management practices; and that there should be a proper filing plan. Furthermore, on this item it was recommended that the responsibility of dealing with records be attached to the dedicated qualified individuals, as opposed to those whose qualifications are totally unrelated to this profession. In terms of ensuring records management support clean audit opinion, the results indicated that there should be

implementation of consequence management for the loss of important records. While on the other hand, records management receiving support from senior managers within RTTA the results highlighted that, the audit findings be documented and linked to the poor records management and be presented to the senior managers which will spark their interest in the records management.

To enhance recordkeeping in support of the RTTA governance, the results indicated that RTTA should embark on the creation of policies and procedures for records keeping and the training of staff in line with proper records management. Finally, in terms of recommendation of any other records management strategies that can lead RTTA to achieve transparency and accountability, the results highlighted that there should be a well-planned records organisation, access and retrieval training and awareness in the entire RTTA to ensure that staff understand the sensitivity of the records and the implications thereof.

#### **5.4. Recommendations**

Recommendations on the role of records management practices in achieving good corporate governance in RTTA are as follows:

Makgahlela (2021) found that “in terms of records auditing and the regulatory role, the study revealed that there was no one, at the time, conducting records audits in the registry offices of the selected municipalities” that he was studying. This indicated poor records regulatory framework implementation, which is the case in the population of this study in that there was no file plan mentioned; records are not appraised before disposal and destruction; and they are not stored in a central location for ease of retrieval. Thus, it makes it nearly impossible for the provision of access to information to the stakeholders i.e., auditors, executive, customers etc. quickly.

Therefore, it is recommended that records management practices at RTTA adhere to the legislative frameworks governing the records practices in South Africa, as well as observing the international best practices. Therefore, according to Touray (2021), when records management legislative frameworks and best practices are incorporated into the records management practices at RTTA, there will be effective records management that will lead to the achievement of good corporate governance. It is so because the author highlighted the importance of effective records management in

every organisation such as RTTA, in that “in academic institutions, poor records keeping can lead to inability to graduate students whose grades are misplaced, cancellation of certificates and transcripts due to inaccurate grades or wrongly recorded grades. Managing records in educational institutions is important because good records that are accurate, comprehensive and authentic store important information needed for administrative, historical and evidential purposes”.

Furthermore, in terms of the role of records management in fostering good corporate governance, Chen (2023) and Touray (2021) define corporate governance as a system of rules, regulations, policies, procedures, legislative frameworks, governance structures, practices, and processes put in place to assist in directing and controlling an organisation towards achieving its goals; objectives; and mandates. Therefore, academically, in RTTA, there are identified stakeholders such as QCTO and SASSETA which are very important in the verification of training records in the Academy as far as certification is concerned. As a result, records management practices that are well legislated and regulated may prevent loss and misplacement of academic activities records and thereby achieve good corporate governance practices.

Furthermore, the study recommends that records management find expression in various activities and strategies in the echelon and high structures of the RTTA. This according to Makgahlela (2021), would raise records management importance awareness as a strategic resource in the RTTA, and “lobbying for support from top management and integrating the records management programme” in the Academy strategic planning sessions. Therefore, this recommendation when implemented would automatically resolve the issue of lack of senior management support on records management initiatives in RTTA and the challenge of haphazard filing systems characterised by reliance on individual personnel strategies; and thereby achieve good records creation, storage and retrieval , well planned records appraisal , disposal and destruction in line with the records management life cycle model; which advocated for the care of records from creation to disposal or destruction; and even resurrection of records in terms of electronic records covered by the records management continuum model.

Some participants advocated for the maintenance of the status quo of records management practices in RTTA since it works for them. However, it is totally against proper records management since it encourages silo and haphazard methods of records management, whereby other participants were quoted saying “it is easy for us to find the records when we need them, but such records cannot be found by anyone outside our section”. Thus, it highlighted that at the basic level, well trained records management personnel who are well versed with the care of records from creation to destruction; and adhering to the prescribed legislative frameworks governing records management in South Africa; be assigned specifically for records management in the RTTA. Furthermore, a proper filing plan known by everyone in the RTTA should be implemented.

The study recommends that further study be conducted that will extend to other Business Units of Road Traffic Management Corporation in line with the role of records management practices in achieving good corporate governance in those sections.

#### **5.5. Contributions of the study**

The findings of the study are to be used to encourage organisations to embrace the role of records management as a fundamental tool to promote good corporate governance and foster accountability and transparency in the provision of training and educational services in the South African traffic fraternity and beyond. The results of the study further provide some insights to the policy makers such as RTTA executives to comply with legislative framework and policies regulating records management, which in the process will assist in the achievement of accountability and transparency and thereby practice good corporate governance in this organisation. This research will also be beneficial to academics, students and experts who are interested in this area of study. Therefore, when an article from this study is published, it will add to the body of existing knowledge in the field of records management, and even provoke some thoughts on further research in this topic in different institutions.

#### **5.6. Limitations of the study**

According to RTMC website (2024), with the inclusion of the RTTA, there are nine business units at the Road Traffic Management Corporation. The study was limited to

RTTA which is the Academy Business Unit of RTMC. As a result, the findings in this study cannot be generalised to the entire corporation, rather it was limited to the RTTA. The limitations of this study are that it focuses on the RTTA unit managers and administrative staff only. Furthermore, the study was conducted with the awareness that some organisations may have different challenges from what was found in the RTTA, however it was conducted with the expectation that its contribution will extend beyond this Academy to other governmental bodies and academies; to provide sufficient guidance and recommendations in the role of records management in enhancing good governance, accountability, and transparency. Furthermore, the sequencing of the research objectives was altered in deviation from the research proposal in order to reflect the separation in objectives for data that collected from the RTTA Administrative staff, and the data collected from the Unit managers. These two categories of participants had only one common objective which is the “strategies of effective records management to achieve good corporate governance” and the other four objectives were mutually exclusive. However, this does not affect the research findings.

### **5.7. Summary of the chapter**

The main findings of the study were summarised considering the theoretical framework and objectives; research methods and design were recapped followed by the interpretation of the findings, which led to recommendations on basis of the findings. The summary, recommendations and conclusions in this chapter were done under the following topics:

- Record management in public organisation
- Knowledge, competencies, and skills required for record management
- The impact of records management practices on transparency and accountability
- The role of record management in fostering good corporate governance
- Strategies for effective record management to achieve good corporate governance.

The study recommends that further study be conducted that will extend to other business units of Road Traffic Management Corporation in line with the role of records

management practices in achieving good corporate governance in those sections. That is because the study was limited to RTTA which is the Academy of RTMC.

## **6. CHAPTER 6 (SUMMARY AND CONCLUSIONS)**

The previous chapter addressed the recommendations and conclusions of the study in relation to the research objectives, and the problem statement. Thereafter, the limitations of the study were addressed. The previous chapter also provided the significance of the study and recommendations for further studies. Therefore, this chapter addresses the summary and conclusions of the study according to the research objectives.

### **6.1. Conclusion on the record management in public organisations.**

The study established that the records management practices at RTTA were haphazard and that there was a concerning lack of records management professionalism, accompanied by a high level of ignorance of the legislative guidelines that governs the records appraisal and disposal or destruction. Therefore, based on that, the study concluded that the RTTA was vulnerable to poor audit results, accompanied by a failure to provide information and records to important functional stakeholders for accountability and transparency. Thus, RTTA may easily be exposed to lead to poor corporate governance. Furthermore, it can be concluded that the RTTA is more at risk of practicing poor corporate governance if the status quo of records management remains. As a result, this academy should invest more in bringing seasoned records management practitioners who would deal with records from creation to disposal and/or destruction.

### **6.2. Conclusion on the Knowledge, competencies, and skills required for record management.**

The study further established that the RTTA Administrative Staff's level of education, competencies, and skills were inadequate. Furthermore, there was a lack of professionalism in RTTA records management practices exacerbated by lack of professional and formal education and training in line with records management amongst the administrative staff who are responsible for records management at this Academy. Therefore, it can be concluded that for RTTA to have proper records management practices, attractive mechanism such as bursaries to study records

management, workshops presented by records professional in line with records be provided to the administrative staff at RTTA. These will professionalise and spark awareness of proper management of records as opposed to the haphazard records management practices prevailing at RTTA currently.

### **6.3. Conclusion on the impact of records management practices on transparency and accountability**

The study established that the importance of records management in achieving good corporate governance in the RTTA were duly recognised by Unit Managers at RTTA. Furthermore, the study acknowledged that the records management practices play a significant role in the RTTA achieving its mandate and positive outcomes in its financial years' targets and good governance as there was an observed ability in the RTTA to provide records to stakeholders whenever the need arose. Therefore, it can be concluded that, besides the observed risks and weaknesses that are found in records management practices at RTTA, training activities were successfully accounted for to stakeholders such as QCTO and SASSETA who used the governance methods such as auditing for accountability and transparency; to verify the training process at this institution and thereby resulted in the certification and graduation of the trainees, which translated into RTTA achieving its mandate.

### **6.4. Conclusion on the role of record management in fostering good corporate governance**

In this instance, the study concluded that the current record management practices at RTTA were not adequately professionalised, and there were risks of loss of important evidence in the records and cannot fully foster good corporate governance. The systems of records management were reliance on the personnel dealing with those records which undermine the principle of storing records in such a way that they may be found whenever the need arose, thus it is established that record retrieval in RTTA was difficult in the sense that for one to easily find the record, they should have been involved in their storage processes. Thus, it defeats the purpose of proper records storage. Moreover, the study arrived at the conclusion that records in the RTTA were difficult to retrieve, presenting a major risk, in that personnel hold files in their personal

computers even when they are off duty. This may delay or deny disclosure of records access for governance purposes such as auditing, accountability, decision-making and transparency.

### **6.5. Conclusion on the strategies of effective record management to achieve good corporate governance**

In this regard, the study concluded that there is acknowledgement of the shortcomings in the current records management practices amongst both RTTA Administrative staff and Unit managers in that, they provided the researcher with the envisaged solutions. As a result, recommendations by both RTTA Administrative staff and Unit Managers were established and summarised as follows:

- a proper filing plan should be devised, dedication of qualified records management personnel to records management duties, implementation of consequence management for the loss of important records,
- the audit findings be used to encourage and convince the senior managers to for their support the records management initiatives at RTTA.
- creation of policies and procedures for records keeping and the training of staff in line with proper records management
- well-planned records organisation, access and retrieval training and awareness in the entire RTTA to ensure that staff understand the sensitivity of the records and the implication thereof.

### **6.6. Conclusion**

The current study explored the role of records management in promoting good corporate governance at Road Traffic Training Academy in Gauteng Province, South Africa. It was studied against the background that the RTTA is a unit in the RTMC, has a mandate to deliver on the road safety in the country through the provision of training programs to its stakeholders such local, provincial, national, and private sector. The training programme offered are registered with and regulated by the external stakeholders such as QCTO and SASSETA; which were found to be stakeholders interested more in the governance of training processes in RTTA for accreditations, certification and graduation purposes. The study objectives explored in this study were

to establish records management practices, thus records creation, usage, maintenance, and disposal in the RTTA; determine the role of records management in fostering good corporate governance in the RTTA; assess RTTA staff's level of education, competencies, and skills concerning dealing with records management; establish the level at which records management practices impact on transparency and accountability of the RTTA and finally develop strategies for effective records management at the RTTA. The study employed qualitative research approach complemented by exploratory survey research design to study the phenomena of interest to this study. The population of the study was twofold in that, part A concentrated on the seventeen (17) Administrative staff and Part B on the four (4) Unit managers at RTTA, which translated to twenty (21) participants who were sampled using non-probability purposive sampling. The data was collected from these participants through semi-structured interviews using interview guide as a data collection tool, thereafter the data was analysed thematically using the objectives of the study. The study highlighted the important role of records management in fostering good corporate governance through governance tools such as auditing, transparency and accounting. It was brought to light in this study that stakeholder relationship requires transparency, accountability and decision-making backed by evidence found in the records, which are well managed. Therefore, amongst other challenges found in this study were lack of professional records practitioners; haphazard records management systems; loss and displacement of records; lack of training in the records management topic; poor management support in the records management programme; and lack of formalised systems such as policies and regulations that governs the records management activities in the RTTA. Therefore, in line with the challenges, the study highlighted the possible solutions which included implementation of proper filing plan; employment of qualified records management personnel; implementation of consequence management for the loss of important records; gaining support of the senior records management programme; and the creation and implementation of policies and procedures for record-keeping at RTTA. The study established that RTTA cannot fully harness the benefits attached to the role of proper records management towards achieving good corporate governance. It is so according to the findings in the study, that the RTTA is highly regulated by its stakeholders such

as QCTO and SASSETA who set the standards for training, which RTTA needs to adhere to and be accounted for using the provision of records which contains evidence that proper procedures were followed as per the prescripts regulating and governing the training in this Academy. As a result, due to the current weaknesses in the records storage and retrieval systems in RTTA, it can be concluded that, even though the role of records management practices is found to be important in the governance, especially on the governance tools of auditing, accountability and transparency, the RTTA is constantly at risk of not providing records when they are needed due to the lack of proper records management systems and regulations at RTTA. Thus, it led to poor corporate governance. Therefore, to avoid poor corporate governance due to a lack of records and thereby achieve good corporate governance, the RTTA should put records management systems such as filing plans, records appraisal, and disposal schedules in place to ensure that records are easily retrieved whenever the need arise.

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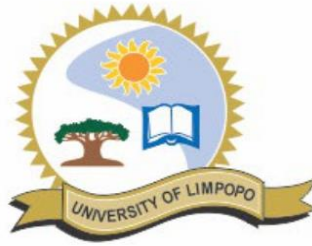
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## ANNEXTURE A: APPROVAL FROM THE UNIVERSITY OF LIMPOPO



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**TURFLOOP RESEARCH ETHICS COMMITTEE**  
**ETHICS CLEARANCE CERTIFICATE**

**MEETING:** 23 July 2024  
**PROJECT NUMBER:** TREC/1409/2024: PG  
**PROJECT:**

**Title:** The role of records management in promoting good corporate governance at Road Traffic Training Academy in Gauteng Province, South Africa  
**Researcher:** MR Mokgehele  
**Supervisor:** Prof L Makgahlela  
**Co-Supervisor/s:** N/A  
**School:** Languages and Communication Studies  
**Degree:** Master of Information Studies

**PROF D MAPOSA**  
**CHAIRPERSON: TURFLOOP RESEARCH ETHICS COMMITTEE**

The Turfloop Research Ethics Committee (TREC) is registered with the National Health Research Ethics Council, Registration Number: REC-0310111-031

**Note:**

- i) This Ethics Clearance Certificate will be valid for one (1) year, as from the abovementioned date. Application for annual renewal (or annual review) need to be received by TREC one month before lapse of this period.
- ii) Should any departure be contemplated from the research procedure as approved, the researcher(s) must re-submit the protocol to the committee, together with the Application for Amendment form.
- iii) PLEASE QUOTE THE PROTOCOL NUMBER IN ALL ENQUIRIES.

## **ANNEXTURE B: LETTER SEEKING APPROVAL FROM THE ROAD TRAFFIC TRAINING ACADEMY**

The Executive Manager  
Road Traffic Training Academy  
8b, Atlas Rd, Bonaero Park,  
Kempton Park,  
1622

Dear RTTA EM, Ms Mobeng Z

### **Request to conduct a study at RTTA.**

This letter serves to request your approval to conduct a research study at RTTA Academy. I am a Master of Information Studies at the University of Limpopo, conducting research “The role of record management in promoting good corporate governance at Road Traffic Training Academy in Gauteng Province, South Africa”.

The Academy will benefit a lot from this study. The results of this study will assist in the creation of awareness for the Academy to embrace records management as the fundamental tool to promote good corporate governance and foster accountability in the provision of training and educational services in the South African traffic fraternity and beyond.

In completion of the study the researcher will inform the Academy about the findings as well as assisting in the implementation of the recommendations. Confidentiality will be ensured on the data collected for the study. Attached is the letter issued by my supervisor on behalf of the Programme of Information Studies as a means of verification for my studies.

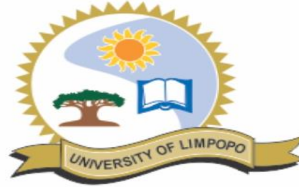
Thanking you in advance for your forthcoming positive response.

Yours sincerely,

---

Rudolph Mokgehle

## ANNEXTURE C: GATE KEEPER'S LETTER



**UNIVERSITY OF LIMPOPO**

**FACULTY OF HUMANITIES**

**SCHOOL OF LANGUAGES AND COMMUNICATION STUDIES  
DEPARTMENT OF COMMUNICATION, MEDIA AND INFORMATION STUDIES**

**PRIVATE BAG X1106, SOVENGA, 0727  
Email: Lefose.Makgahlela@ul.ac.za  
Tel: 015 268 4635**

20/ 05/ 2024

The Executive Manager  
Road Traffic Training Academy  
8b, Atlas Rd, Bonaero Park,  
Kempton Park,  
1622

Dear: Sir/Madam

**RE: REQUEST FOR SCHOLARLY RESEARCH DATA COLLECTION: MR  
MOKGEHLE M.R.**

I am writing to you to request permission for the above-mentioned student to collect research data from the Road Traffic Training Academy. The title of the research is "The role of record management in promoting good corporate governance at Road Traffic Training Academy (RTTA) in Gauteng Province, South Africa". The purpose of the study is to explore the role of record management in promoting good corporate governance at Road Traffic Training Academy

*Finding solutions for Africa*

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The study will adhere to the general principles of research ethics as set by the University of Limpopo and comply with principles relating to access, power, harm, deception, and confidentiality. Upon completion of the study the researcher will inform the Academy about the findings as well as assisting in the implementation of the recommendations.

Your assistance will be highly appreciated.

Yours Sincerely  
Prof L A Makgahlela  
Supervisor



## **ANNEXTURE :D INFORMED CONSENT**

**349 Witch-Hazel Avenue Ecopark Estate, Centurion, 0144, South Africa  
Tel: (012) 9995200, Email: Mmatlou.mokgehle@rtmc.co.za**

---

Dear Participant

I am conducting a study for my Master of Information Studies degree at the University of Limpopo on “The role of record management in promoting good corporate governance at Road Traffic Training Academy in Gauteng Province, South Africa” under the supervision of Professor Lefose Makgahlela.

My aim is to gather information about your views on the subject. Please be assured of the following:

- Your identity will be kept confidential and anonymous throughout the study
- Your participation is voluntary. You can withdraw and discontinue participation without penalty.
- You may also refuse to answer any questions you don't want to answer and still remain in the study.
- I may also withdraw you from this research if circumstances arise that warrant doing so.

If you volunteer to participate in this study, I expect you to do the following things:

- Sign the consent form that is attached.
- Participate in the interview, wherein the questions relating to the study will be asked

Please do not write your name on any of the pages or documents you submit.

Thank you for your co-operation.

Yours Sincerely

Mr MR Mokgehle

0761844602

### **INFORMED CONSENT**

I hereby agree to participate in research on “The role of record management in promoting good corporate governance at Road Traffic Training Academy (RTTA) in Gauteng Province, South Africa”. I understand that I am participating freely and without being forced in a way to do so. I also understand that I can stop participating in the interview process at any point should I not want to continue, and that this decision will not in any way affect me negatively.

I understand that this is a research project whose purpose is not to necessarily to benefit me personally.


I understand that this consent form will not be linked to me personally and that my answers will remain confidential.

I understand that, if possible, feedback will be given to RTTA on the results of the completed research.

.....

Signature of participant      Date

# ANNEXTURE E: LETTER OF ACCEPTANCE: ROAD TRAFFIC TRAINING ACADEMY

  
**Road Traffic**  
Management Corporation

**Physical Address**  
Eco Origin Office Park, Block F  
349 Witch-Hazel Street  
Highveld Ext 79, 0157  
Centurion, Gauteng  
South Africa

**Email:** info@rtmc.co.za  
**Tel:** (012) 999-5200  
**Fax:** (012) 991-0371

**Postal Address**  
Private Bag X147  
Pretoria, 0001

The Road Traffic Management Corporation (RTMC)  
is an Agency of The Department of Transport and a  
Member of the United Nations Road Safety Collaboration

The Executive Manager  
Road Traffic Training Academy  
8b, Atlas Rd, Bonaero Park,  
Kempton Park, 1622

Dear Mmatlou Rudolph, Mokgehle

This letter serves to provide approval to you, Mr Mmatlou Rudolph Mokgehle as per the request to collect data to conduct the study at RTTA Academy for your Master of Information Studies at the University of Limpopo, titled "The role of record management in promoting good corporate governance at Road Traffic Training Academy in Gauteng Province, South Africa". You are therefore, cordially encouraged to adhere to the prescripts of this organization during the conduct of the study.


The Academy will appreciate if the results of this study will be availed for the success of the records management programme at this institution.

You are therefore granted permission to conduct the research at RTTA premises.

Your sincerely Acting EM  
General S. Nyalungu

Date: 06-08-2024

<b>Road Traffic Management Corporation</b>
Private Bag X147, Pretoria, 0001
06 AUG 2024
<b>Road Traffic Training Academy</b>

  
ARRIVE ALIVE  
Department of Transport

**DECADE OF ACTION FOR ROAD SAFETY**  
2021 - 2030

Board of Directors: Ms N Mufamadi (Chairperson), Prof. M Mphahlele, Ms T Thankge CD(SA), Dr E Thebe, Adv. X Stemela, Ms L Magalo, Prof C Twaala, Mr NJ Kudzingana, Adv. J Makgatho\*  
Chief Executive Officer: Advocate MS Msibi  
Company Secretary: Ms S Petse  
\*Departmental Representative

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202340019 research report 2024

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## ANNEXTURE: G EDITORS CERTIFICATE



Van Schalkwyk Editorial Services

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Email: [arayofhope1@gmail.com](mailto:arayofhope1@gmail.com)

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LinkedIn profile: <https://www.linkedin.com/in/ar%C3%A9-van-schalkwyk-0214202a/>

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06/11/2024

### DECLARATION OF PROFESSIONAL EDIT

**"The role of records management in promoting good corporate governance at Road Traffic Training Academy in Gauteng Province, South Africa"**

by

Mmatlou Rudolph Mokgehle

I declare that I have edited this research report. My involvement was restricted to language usage and spelling, completeness and consistency, reference style, and formatting of headings, captions and tables of contents. I did no structural rewriting of the content and did not influence the academic content in any way.

A handwritten signature in black ink, appearing to read 'Aré van Schalkwyk', written in a cursive style.

Mr Aré van Schalkwyk

BA (Languages)

Accredited service provider of the University of Pretoria, Stellenbosch University,  
the University of Johannesburg, Unisa and other institutions

## ANNEXTURE H: INTERVIEW SCHEDULES

### FOR RTTA ADMINISTRATIVE STAFF

#### 1. To establish records management practices, thus records creation, usage, maintenance, and disposal in RTTA

##### 1.1. Background information

a) What is your highest academic qualification?

b) Please indicate your current designation

c) What is your work experience?

##### 1.2. Records management practices

a) Kindly explain the role of your section in RTTA?

b) What kind of records does your section produce?

c) Kindly tell us what are these records used for?

d) In what format are the records created?

e) Kindly explain how the records are stored.

f) Is it easy to retrieve the records when they are needed for use? please explain.

g) Is there any records management policy in the RTTA? If yes, what are its key elements?

h) During audit seasons, what are the most required records? And what may be the reason?

i) Do you think the current records management practices at RTTA promote governance? Please explain.

j) Besides auditors, are there any other stakeholders in or outside the RTTA who may require using RTTA records? if yes, kindly explain the kind of records do they require for which purpose.

### 1.3. Records Appraisal and disposal

a) At what point are records appraised in the RTTA?

b) What criteria do you use to appraise the records?

c) Does the RTTA base the disposal of the records on any legal framework? Please Explain

## 2. The level of knowledge, competencies and skills pertaining to records management in RTTA.

2.1. Have you been involved in any records management training since you joined RTTA?

2.2. How often do you attend records management workshops, conferences, and seminars?

2.3. Is the management of electronic records part of your job description?

2.4. If yes has any training on e-records management been consciously organized for you?

## 3. Developing strategies for effective records management at RTTA.

3.1. Please explain the general challenges you faced in line with records management at RTTA.

3.2. What can the Academy do to:

- a. Provide access to information to the stakeholders i.e., auditors, executive, customers etc. quickly?

- b. Ensure that records management support clean audit opinion?

- c. Ensure that records management receive supports from senior managers within RTTA?

- d. The enhancement of recordkeeping in support of the RTTA corporate governance?

- e. Please describe any other records management strategies that can lead RTTA to achieve transparency and accountability?

Thank you for your responses!

## FOR RTTA HEAD OF PROGRAMME/SUPERVISORS

### 1. Determining the extent to which records management practices impacts on transparency, and accountability as particles of good corporate governance in RTTA.

1.1 Which section in the RTTA are you responsible for?

1.2. What are your roles and responsibilities in this section?

1.3. What is the overall role of your section in the entire RTTA?

1.4. Can you briefly tell me about RTTA's current internal and external stakeholders?

a. Who are these stakeholders and how does RTTA relate with them?

b. To what extent does the RTTA use records to become transparent and account to these stakeholders?

c. How did RTTA's current records management practices assist your section in promoting accountability and transparency with your stakeholders?

d. In your view, in the absence of proper records management practices, will acceptable level of transparency and accountability be achieved in RTTA? Please explain.

### 2. Determining the role of records management in fostering good corporate governance in the RTTA.

2.1. Can you please take me through the process of auditing in the RTTA?

2.2. What is the role played by records management practices in that?

2.3. Did the RTTA delivered on its mandate in the previous financial year?

2.4. What was the role of records management practices in that?

2.5. What positive outcomes have been achieved by RTTA in the previous financial year?

2.6. What was the role of records management practices in that?

2.7. Can you please explain the extent in which you think records management practices assist in governing this academy?

**3. Develop strategies for effective records management to achieve good corporate governance at RTTA.**

3.1. Please explain the general challenges you faced in line with records management at RTTA.

3.2. What can the Academy do to:

a. Provide access to information to the stakeholders i.e., auditors, executive, customers etc. quickly?

b. Ensure that records management support clean audit opinion?

c. Ensure that records management receive supports from senior managers within RTTA?

d. The enhancement of recordkeeping in support of the RTTA governance?

e. Please describe any other records management strategies that can lead RTTA to achieve transparency and accountability?

Thank you for responses!