Records Management Compliance of Cagayan State University, Sanchez Mira Campus, Philippines: Basis on Intervention Program

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Author's contribution

The sole author designed, analysed, interpreted and prepared the manuscript.

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ABSTRACT

This study investigates the level of records management compliance at the Cagayan State University-Sanchez Mira Campus and proposes an intervention program to address identified deficiencies. The research will employ a mixed-methods approach, combining quantitative and qualitative data collection techniques. Quantitative data will be gathered through surveys administered to a representative sample of faculty, and administrative staff involved in records management activities to assess their understanding and adherence to existing records management policies and procedures. Qualitative data will be collected through interviews with key personnel involved in records management, providing insights into the challenges and opportunities within the current system. The findings will be analyzed to identify areas of strength and weakness in the current records management practices, pinpointing specific areas requiring improvement. Based on the analysis, a comprehensive intervention program will be developed, outlining specific

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strategies, resources, and timelines for enhancing records management compliance. The program will address issues such as inadequate training, insufficient resources, and outdated policies. The expected outcome will be significant in the improvement of records management practices in the campus, leading to enhanced efficiency, improved access to information, and better compliance with relevant regulations and standards. The study's contribution lies in providing a practical, data-driven intervention program tailored to the specific needs of the Cagayan State University-Sanchez Mira Campus, serving as a model for other institutions facing similar challenges. The proposed intervention program will be evaluated for its effectiveness in improving records management compliance and will offer recommendations for its long-term sustainability.

Keywords: Records management compliance; intervention program; surveys; long-term sustainability.

1. INTRODUCTION

One of the pillars that help any organization in meeting success is the records management. From academic institutions to multinational corporations, the effective handling of records ensures transparency, compliance with regulatory requirements, and preservation of institutional memory. Records office functions as the depository of all documents – administrative, fiscal, legal, archival and historical (Amodot Records management is an essential component of records office (Unegbu & Adenike 2013). Records management is the practice of maintaining the records of an institution or organization or a body from the time they are created to the time they are to be disposed. Record management is not just about document collection and keeping but more of having the knowledge of which and where are these documents are to be kept, stored, and even disposed. It is also having the knowledge of who have the access to the documents, how long should they be kept, and stored, when these documents are to be disposed.

Having a good record management can greatly impact an organization's performance. Timely retrieval, and disposal; safe keeping and storing of documents will also be achieved. These are possible when there are qualified personnel to do the management. Any organization must ensure that any record created can be used as support to any transaction, and so therefore, if record keepers do not adhere to record management policies, integrity of the record keeping system could be questioned. The importance of records management in supporting operational efficiency, accountability, and transparency of academic institutions has been increasingly recognized. If records are properly managed, better decision-making, enhancement of the institution's credibility and safeguarded rights, and interests of the organization's employees, and

stakeholders are met. However, inadequate records management practices can lead to information loss, legal complications, and decreased organizational effectiveness.

In the Philippines, record management in higher educational institutions is very important and cannot be overemphasized. This is because continuity of the institution depends largely on the availability of useful records of past activities and programmes. In a complex organization like that of the university, it is not possible to keep every information in the brain because the volume of information is so heavy and therefore records must be kept (Seniwoliba). Thus, effective records management is essential in any organization to attain success and educational institutions such as Cagayan State University is in no exemption. Cagayan State University-Sanchez Mira holds array of documents related to the organization's employees, policies, administrative documents, and the likes. The Campus faces challenges which, at times, affect the efficiency and effectiveness in providing services. These challenges, including lack of standardized procedures, insufficient staff training, limited resources, and the absence of a dedicated records management policy are sometimes causes of delay of service which affect their efficiency and effectiveness. Therefore, the vitality in conducting this study is deemed necessary to be able to address the gaps and identify the areas needing improvement.

Cagayan State University follows the International Standards Organization (ISO), as well as the Board of Resolution of Cagayan State University standards for records management. These two serve as guidelines for effective records management, covering the priciples of creation, capture, and control of records shaping the policies and procedures, including those related to records management University wide.

These resolutions provide framework for ensuring compliance with legal and regulatory requirements and support the implementation of the records management practices within the Sanchez Mira Campus.

The Cagayan State University started in 1974. Its original name – Sanchez Mira High School (1960) was later on converted to Sanchez Mira Rural and Vocational School. The old Cagayan State University-Sanchez Mira Campus was housed in Sitio Nagbaranganan, Sanchez Mira, Cagayan. Now, it is located at Centro 2, Sanchez Mira Cagayan. The Cagayan State University-Sanchez Mira Campus now houses eight colleges namely: College of Agriculture, College of Business Entrepreneurship and Accountancy, College of Criminal Justice Education, College of Engineering, College of Hospitality Management, College of Information and Computing Sciences, College of Industrial Technology, and College of Teacher Education. The Cagayan State University-Sanchez Mira Campus has a total of sixty regular members of the faculty and instruction, forty-one part time lecturers, which include the lecturers who only have classes on Saturdays and Sundays, twenty-seven regular administrative staffs, twenty-four contract of service employees and sixteen job order employees.

Despite the widespread technological advancement of records management, there are still gaps in records management which the researcher would like to focus on this study to develop and assess specific needs which will be a used as a basis for intervention program of the university. Although, these barriers can be minimised if the necessary measures are put in place. Recognizing the importance of incorporating records management in the university or institutions, students and employees may practice and maintain records from the time that they are created up to their eventual disposal which includes classifying, storing, securing and destruction (or in some cases, archival preservation) of records for record management is primarily concerned with the evidence of institutions activities and is usually applied according to the value of the records rather than their physical format (Seniwoliba). Practically, no organisation can operate effectively if it relies on memory alone to keep tract of every transaction to which the records can provide verifiable evidence of fraud that can lead investigators to the root causes of corruption. An organisation's records are a key instrument of effective administration and planning as the means by which the public and government hold that organisation accountable. Therefore records need to be properly managed to support the business of organisations. This situation justifies the need to explore the management of records in organisations and the extent to which it meets staff efficiency at work and the attainment of organisational goals. Without proper and accurate information a decision maker is never certain about the outcome of her decisions. Records management enhances accountability, business continuity, compliance and overall efficiency. The need for record keeping is indisputable, it is an ordinary and necessary component of virtually all business operations. They document an organisation's decisions, actions, transactions, and other activities. Records management concept and methods provide systematic, well developed approaches to records keeping operations that individual departments would otherwise performed themselves, without direction and, presumably with less knowledge, skills, and effectiveness.

1.1 Statement of the Problem

Having the Record Management System in Cagayan State University – Sanchez Mira Campus plays a crucial role in ensuring the efficient and effective delivery of services of the employees and to the whole university; it also has a good impact to the performance of the organization. However, there are concerns about the current state of records management and its impact on the overall organizational performance of the Campus.

The researcher sought to addressed the main problem of the study on how this record management compliance and its impact to the organizational performance of Cagayan State University-Sanchez Mira Campus. Specifically, this study sought answers to the following problems:

1. What is the the profile of the respondents for the academic year CY 2023-2024 along with their:
a. Employment Status
b. Number of Years in Service
2. Perception of the employees of CSU-SM with regards to the current state on the Records Management Policies, Procedures and Filing.

3. Status of the Records Management Practices in CSU-SM.
4. Challenges associated with Records Management encountered by the university.
5. Impact of Record Management on Organizational Performance of the CSU-SM.
6. Interventions that could be forwarded to improve records management compliance in Cagayan State University-Sanchez Mira.

2. THEORETICAL FRAMEWORK

The study on records management compliance of Cagayan State University- Sanchez Mira Campus: Basis on Intervention Program can be supported by the following theories:

According to the International Standards Organization (ISO), records are 'information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business.' The Organization goes on to define records management as 'the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records'. It states that records management includes activities such as: setting policies and standards; assigning responsibilities and authorities; establishing and promulgating procedures and guidelines; providing a range of services relating to the management and use of records; designing, implementing and administering specialized systems for managing records; and integrating records management into business systems and processe (ISO 2001a). On one other hand, records management defines a record as an account in writing or other permanent form serving as a memorial or authentic evidence of facts or events. It is regarded as information handed down or preserved (Funk and Wagnalls 2000).

As to the efficiency and effectiveness of record management which emphasizes that the effectivity is not only beneficial in ensuring compliance with the Freedom of Information, but, more significantly, it develops the efficiency and effectiveness of an organization (Kyobe et al. 2009) and for the organizational performance of record management, the accuracy of information,

the record keeping contextualizes and facilitates the records management and the risk management by ensuring the accuracy of information, (Mahammed) and its efficiency and effectiveness of the Public Service, the proper records management leads to enhance the efficiency and effectiveness of the public service. Proper records management is indeed a strategic resource which can be used to improve the organization's effectiveness, efficiency, and productivity (Amodot) and for Continuity of Service in the Event of Disaster, the Budget should be allocated to records management to secure the supplies and equipment and staff should be sent to formal education in proper records keeping and management so in the event of disaster, the continuity of service will still be given (Nwaomah 2017).

As to Record Management Policies, Procedures and Filing, there is a policy in protecting vital records wherein records management policy is vital in any organization to track the the documents that are necessary to be kept and for how long. Governement organizations are required to make policies in records management to regulate records management activities (Nwaomah 2017).

Leading to the technological advancemement of record management, related studies in foreign and local studies is being considered by the researcher. Based on the reference (Nwaomah 2017). stated that records management is one of the crucial tasks in an organization, be it in a private or a public setting since it includes an array of documents that are necessary for the function of the organization. (Mahammed). Records management is the process by which an organization manages all the elements of records, whether externally or internally generated and in any format or media type, from their inception/receipt all the way through to their disposal. Records management helps any organization achieve their public responsibility by helping the organization manage the way records are created, used, and kept (Nwaomah 2017). Record management's primary function is to facilitate the free flow of records through an organization, to ensure that information is readily available whenever and wherever it is needed. For the record management to function, it needs an effective, efficient records management program (Amodot). An effective records management allows the organization render a better customer service, so it is necessary to award high priority to records

management to avoid organizational problems that may arise to owing poor handling of office records.

In line with the records management practices, the study examines the importance of records management to every organization for it helps in the achievement of certain goals set by an organization. A study conducted at the state of Ethiopia states that records management were assessed in different aspects: record keeping format; record retrieval method; state of records management; storage media used; how the organization deal with its inactive records; kinds of records management system practice in the organization; and the current state of records management practice. Records management has practices to have their work done efficiently and effectively, without these practices, it is impossible to provide a good service to the employee and others who may need the service of the records management (Nwaomah 2017). In record keeping formats, both manual and electronic formats were given priority. As for the retrieval method, most of the respondents of the study chose using file index as their tool in retrieving it from their storage location. Out of the respondents from the state of Ethiopia, 50.5% of the respondents said that the state of their records management is good (Mat) Good record-keeping practices have been neglected, which results to the organization's risks from various quarters. If records are not given proper retention periods, it makes the information control ineffective (Nwaomah 2017). This study that was conducted in Ethiopia found out that more than half of the respondents disagreed on the availability of some of the records practices in the state such as Disaster Management Plan which protects records in all forms, budget specifically dedicated to records management, disposal and retention schedule.

Furthermore, the records keeping is integral to the function of any business, as it enables the control of one of the most important resources in any organisation (information resources). The design and implementation of a policy on records management is prudent. A policy must be formulated for regulating records management activities. Records management rules and regulations will guide records management activities and ensure that all records created and received are recorded in an appropriate manner. The existence of a records management policy will guide the management of records and provide the operational basis for effective management. Management must employ the principle of accountability, transparency, integrity and protection to privacy. It is the responsibility of staff to ensure that users records are highly protected and monitored. Staff must know that they are entrusted with the responsibility to monitor and protect records. The life cycle concept of records management must be applied at all levels of the organisation. The principal reason for applying the life cycle concept of records management is to ensure that the records being created and held by the institution are managed and maintained properly. Wena (2003) suggested that keeping active records and semi-active records could pose serious storage and retrieval problems. Active and semi-active records must be separated for effective storage facilities.

There is also an evaluation that in every organisation has its needs for records and information. Records are necessary for planning, resources management, and proper management of daily activities and business transactions. Records serve as memory of an organisation. They document the information needed for operating the firm. The success of any organisation depends on effective records management practice that ensures the right records are available at the right time for effective business operation. Successful decision making and problem solving is made possible through the availability of reliable and complete records. The importance of records management in today's world cannot be overemphasised; records and information are the life blood of every organisation and they are the basis in which decisions are made. The purpose of records management is not only to manage records but also to use them for maximizing the value of the organisation, mission and vision accomplishment, and improving productivity. Without a records management policy, a university has no foundation or guide for the effective management of records, meaning that there is no framework for supporting documents such as procedures, business rules and disposal schedules (Barata et al. 2016).

Thus, having a poor records management creates an opportunity to commit fraud and corruption. Sound records management is therefore necessary to root corruption and malpractice which increases detection of fraud and corruption. National and international efforts to reduce poverty, improve services, control corruption and strengthening democracy depend

on reliable authentic records. Therefore a clearly established legal framework for records management administration is required. Records are consulted as proof of activities by senior management, auditors, and concerned citizens or by any one inquiring a decision, process or the performance of an organisation or individual. Poor records keeping practices hinder accountability and transparency of organisations. Good records keeping saves time since there is no hassle when searching for information. Records support decision making, improve accountability and transparency (World Bank 2008).

By actively embracing and practicing the proper records management leads to good management because an organisation's activities are based on the information found in records. Records are basic tools of government administration. They provide information for planning and decision making, from the foundation for government accountability, and are often subject to specific legal requirements. Proper records management helps an organization get most out of its records. It also helps limit cost and risks that can come with poorly managed records (Bhana 2008), in his article on "The contribution of proper records

keeping towards auditing and risk mitigation: Auditor General of South Africa's Perspective," stated that records management is an enabler because without it things like auditing and financial management will not be possible. To achieve this objective records must consider qualities and stretegies in order to have a proper records management.

3. METHODOLOGY

3.1 Research Paradigm

The research paradigm of the study is presented in Chart 1. The Profile of the respondents for the academic year CY 2023-2024 along with employment status and number of years in service, the perception of the employees of CSU-SM with regards to the current state of the Records Management Policies, Procedures and Filing and status of the Records Management Practices in the university, the challenges associated with the records management system/practice encountered by the university and the interventions and recommendations could be forwarded to improve records management compliance in Cagayan State University-Sanchez Mira.
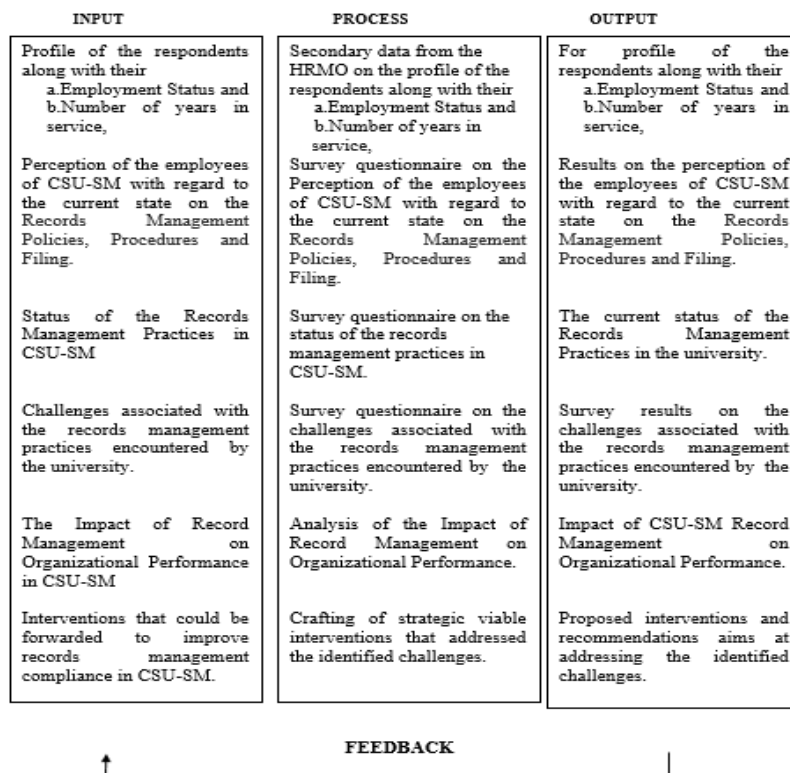
INPUT	PROCESS	OUTPUT
Profile of the respondents along with their a.Employment Status and b.Number of years in service,	Secondary data from the HRMO on the profile of the respondents along with their a.Employment Status and b.Number of years in service,	For profile of the respondents along with their a.Employment Status and b.Number of years in service,
Perception of the employees of CSU-SM with regard to the current state on the Records Management Policies, Procedures and Filing.	Survey questionnaire on the Perception of the employees of CSU-SM with regard to the current state on the Records Management Policies, Procedures and Filing.	Results on the perception of the employees of CSU-SM with regard to the current state on the Records Management Policies, Procedures and Filing.
Status of the Records Management Practices in CSU-SM	Survey questionnaire on the status of the records management practices in CSU-SM.	The current status of the Records Management Practices in the university.
Challenges associated with the records management practices encountered by the university.	Survey questionnaire on the challenges associated with the records management practices encountered by the university.	Survey results on the challenges associated with the records management practices encountered by the university.
The Impact of Record Management on Organizational Performance in CSU-SM	Analysis of the Impact of Record Management on Organizational Performance.	Impact of CSU-SM Record Management on Organizational Performance.
Interventions that could be forwarded to improve records management compliance in CSU-SM.	Crafting of strategic viable interventions that addressed the identified challenges.	Proposed interventions and recommendations aims at addressing the identified challenges.

FEEDBACK

Chart 1. The research paradigm shows the process of the research

3.2 Research Design

The study will make use of descriptive survey research design. It will determine the informations on the record management compliance and its impact to the organizational performance of Cagayan State University-Sanchez Mira Campus.

3.3 Locale of the Study

The study was conducted in Cagayan State University-Sanchez Mira Campus for the academic year 2023-2024 because it aimed to obtain information and described the status vis-à-vis performance on the different variables on the records management compliance as a basis for intervention program for CY 2025.

The secondary data on the profile of the respondents for the academic year CY 2023-2024 along with employment status and number of years in service was gathered from the Human Resource Management Office (HRMO) of the university, the perception of the employees of Cagayan State University-Sanchez Mira with regards the current state and status of the Records Management Practices, the challenges associated with the records management system/practice encountered by the university and types of interventions to be implemented to improve records management compliance among CSU-SM employees was based from the survey questionnaire which was distributed to the involved respondents in records management activities by the researcher, as well as those employees whose performance and productivity are related to the state of records and the collected data or results of the study was reviewed for future viable interventions and recommendations.

Fig. 1. Map of Cagayan

3.4 Respondents of the Study

The respondents of this study consisted of employees of Cagayan State University – Sanchez Mira who are directly involved in records management activities, as well as those employees whose performance and productivity can be affected by the state of their records.

The number of respondents depended on the size of the employees and the nature and scope of the study. A suitable sample size was determined using appropriate statistical methods to ensure the findings are representative of the entire employee population at Cagayan State University – Sanchez Mira Campus.

3.5 Research Instruments

The researcher made use of questionnaire as the primary tool in measuring the record management compliance and in determining the basis for intervention program for records management of Cagayan State University-Sanchez Mira Campus. The questionnaire was initially floated to a different campus to check its reliability and validity. The questionnaire was composed of two parts: Part I is the Profile of the Respondents and Part II is the record management compliance and its impact to the organizational performance which was adopted and contextualized from the study conducted by Ramzi Ali Mahammed in his study titled " Assessing the Impact of Record Management on Organizational Performance in Selected Government Organization in Harari Regional State, Ethiopia, March 2019".

Informal interview was also conducted to gather more information on how to improve the services of the records office and to determine other concerns and/or issues with the current record management system.

3.6 Data Gathering Procedure

The researcher made used of three data gathering procedure that helped achieved the objectives of the study. First, the researcher sought permission from the Campus Executive Officer of the Cagayan State University-Sanchez Mira Campus for the conduct of the study and coordinated with the Head of the Human Resource Management Office for the secondary data on the the profile of the respondents for the academic year CY 2023-2024 along with the employment status and number of years in service in Cagayan State University – Sanchez Mira.

Second, the researcher conducted a survey through the use of a questionnaire to selected respondents, randomly chosen from the employees of Cagayan State University – Sanchez Mira, preferably the records management personnel.

Third, the researcher conducted a Focused Group Discussion for the presentation of the results of the data gathered which includes the retrieved, collected, tabulated, and analyzed.

3.7 Statistical Treatment of Data

In determining the response of the respondents, frequency and percentage was used to compute the mean of the profile of the respondents. Weighted mean was used to measure and identify the existing status and current state of the records management practices of the organization; the challenges associated with records management; the impact of records management to organizational performance; and the interventions for non-compliance in submission of important documents. Pearson correlation coefficient was used to identify the relationship between the record management and its impact to the organizational performance of Cagayan State University-Sanchez Mira Campus.

The statistical tools used for the existing status of Records Management Policies, Procedures and Filing, Current State of Records Management Practices in Organization, the Challenges Associated with Records Management, Impact of Record Management on Organizational Performance were the frequency distribution, weighted mean, ranking, and percentage. Below are the scales with each interpretation.

Scale	Scale Range	Interpretation
5	4.20-5.00	Strongly agree
4	3.40-4.19	Agree
3	2.60-3.39	Nuetral
2	1.80-2.59	Disagree
1	1.00-1.79	Strongly disagree

For the the statistical tools used for the interventions for Interventions that could be forwarded to improve records management compliance in CSU-SM are also were the frequency distribution, weighted mean, ranking, and percentage.

Below are the scales with each interpretation.

Scale	Scale Range	Interpretation
5	4.20-5.00	Highly Effective
4	3.40-4.19	Moderately Effective
3	2.60-3.39	Effective
2	1.80-2.59	Somewhat Ineffective
1	1.00-1.79	Ineffective

4. RESULTS AND DISCUSSION

This chapter presents the analysis and interpretation of the data gathered providing answers to the problem of the study particularly concerning workforce composition and record management practices at Cagayan State University - Sanchez Mira Campus. The analysis provides a comprehensive overview of the campus's human resources landscape and its approach to managing critical records. The examination of workforce composition reveals a strong foundation of full-time employees, with regular faculty and administrative staff constituting the core of the campus personnel. This foundation is augmented by a notable presence of part-time and contract-based staff, highlighting the diverse nature of employment arrangements within the institution.

4.1 Profile of the Participants

Table 1 shows the analysis of the employment status at Cagayan State University - Sanchez Mira Campus with a total of 92 employees as the respondents of the study and and the workforce at is marked by a solid foundation of permanent employees, with regular faculty constituting the largest segment at 34.87%. This base of seasoned educators and administrators contribute to the stability and institutional knowledge, ensuring consistent practices and a rich pool of expertise within the campus.

Furthermore, permanent staff serves as the core of the university, part-time faculty also play an important role, accounting 23.91% of the workforce. This dependence on part-time instructors provides flexibility in course offerings and staffing modifications, while potentially reducing costs. Followed by regular administrative staff with 22. 83%, while contract of service employees with 9.78%, job order employees with 7.61%. The smallest group, which comprises only of 1.09% of employees, falls into the "Others" category, underscoring the university's focus on well-defined roles and responsibilities.

On the distribution of employee experience at Cagayan State University - Sanchez Mira Campus, it reveals that the campus exhibits a workforce with a notable concentration of employees in the early stages of their careers. A striking 47.83% of the staff have 0-4 years of service, suggesting a recent influx of new hires and a potential focused on recruiting fresh talent. This could indicate a period of growth or transition for the university, with opportunities for innovation and new perspectives.

However, the data also reveals a limited number of long-serving employees, with only 8.70% having 20 years or more of service. This might

Table 1. Profile of the respondents along with the employment status and years in service

Profile of the Respondents		Frequency Counts	Percentage
Employment Status	Part Time	22	23.91%
	Regular Faculty	32	34.87%
	Regular Admin	21	22.83%
	COS	9	9.78%
	Job Order	7	7.61%
	Others	1	1.09%
	Total	92	100%
Years in Service	0-4 Years	44	47.83%
	5-8 Years	19	20.65%
	9-12 Years	13	14.13%
	13-16 Years	3	3.26%
	16-19 Years	5	5.43%
	20 Years and above	8	8.70%
	Total	92	100%

Table 2. Existing CSU-SM status of the records management policies, procedures and filing

Statement	Mean Score	Interpretations
CSU Records management personnel has the knowledge in legislative framework on record management.	4.39	Agree
CSU has a clear policy for records management.	4.45	Strongly Agree
CSU has established policy to protect vital records.	4.47	Strongly Agree
CSU has procedure for records management.	4.39	Strongly Agree
CSU has received trainings on procedure for records management.	4.28	Strongly Agree
CSU has filing system for records management.	4.27	Strongly Agree
CSU has implemented a file system to track the movement of records.	4.41	Strongly Agree
Weighted Mean	4.38	Strongly Agree

point to challenges in retaining experienced staff or a history of higher turnover in certain roles. While new talent brings fresh ideas, a balance of experienced personnel is essential for institutional knowledge and mentorship. Further investigation into the reasons behind this distribution of years of service could inform strategies for employee retention and long-term organizational development.

As shown in Table 2, the respondents strongly agree that the existing status of the Records Management Policies, Procedures and Filing of Record Management at Cagayan State University (CSU) revealed a clear understanding that they were aware on the institution's or state university's established policy to protect vital records as they regulate records management activities.

CSU Sanchez Mira Campus demonstrates a generally positive attitude towards records management practices, as evidenced by the consistently high weighted means across all statements. Notably, the highest weighted means (4.47 and 4.45) are observed for statements regarding established policies for records management and vital records protection. This suggests a strong foundation and awareness of the importance of records management within the institution.

While the overall sentiment is positive, there is an opportunity to further enhance records management practices. The statement regarding training on records management procedures received a slightly lower weighted mean (4.28). This suggests that strengthening training programs or promoting wider participation could be beneficial in ensuring that all staff members are well-equipped to handle records effectively and efficiently. By addressing this area and maintaining existing strengths, CSU Sanchez Mira Campus can further solidify its commitment to strong records management practices.

As shown in Table 3, landscape of record management in Cagayan State University (CSU) through a recent survey reveals a nuanced picture. While a strong procedural framework is evident, with the highest mean score of 4.24 indicating strong agreement on the existence of records professionals that manage its records and 4.22 mean for having a training courses in records management practices, as they have a high awareness on records management that helped them achieve efficient records management along with their proper education, and regular training covering technical, legal, and ethical issues.

The areas which received the lowest mean score of 4.00 state that CSU has records storage location that is secured against unauthorized access and implemented a system to track the movement of records; considering documents/records when properly managed, with proper security measures, cannot be misused, misplaced, and misfiled, which may not lead to possible violation of privacy and confidentiality of records. As the CSU demonstrates commendable state of Records Management Practices in Organization, yet records management compliance need not to be this difficult, instead a clear and actionable records management strategy should be considered as the the heart of the institution's records and information, processes and procedures. So, the CSU-SM needs to create and thoroughly document records and information management processes and procedures to ensure that staff have access to the documentation and clearly identify the accountability of those who handle records and understand how this strategy will fit within institution's strategic plan.

Table 3. Current state of CSU-SM records management practices

Statement	Mean Score	Interpretations
CSU has a daily records of performed activities.	4.11	Agree
CSU has adequate storage location for its records.	4.04	Agree
CSU has a records storage location that is secured against unauthorized access.	4	Agree
CSU has records storage location conducive for its records.	4.13	Agree
CSU has separated active from inactive records.	4.04	Agree
CSU has Records Professionals that manage its records.	4.24	Strongly Agree
CSU has training courses in records management practices.	4.22	Strongly Agree
CSU has Disaster Management Plan that effectively protects records in all formats.	4.07	Agree
CSU has a sensitive records classified according to their level of sensitivity in order to provide them with adequate protection.	4.19	Agree
CSU has a dedicated budget specifically allocated for records management.	4.04	Agree
CSU has a disposal authority of records.	4.13	Agree
CSU has established records retention and disposal scheduled for all its records.	4.11	Agree
CSU has maintained an updated records inventory.	4.11	Agree
CSU has implemented a system to track the movement of records.	4	Agree
CSU has implemented practices to protect vital records.	4.13	Agree
Weighted Mean	4.10	Agree

As shown in Table 4, record-keeping practices at Cagayan State University - Sanchez Mira Campus reveals a fascinating blend of tradition and modernity. While the institution demonstrates a strong reliance on established methods, with folders emerging as the preferred storage medium (mean score of 4.00), a simultaneous embrace of electronic record-keeping is evident in the balanced approach reported by respondents (mean score of 3.57) (Astin 1993). This suggests a conscious effort to leverage both manual and electronic formats, potentially enhancing flexibility and accessibility in managing information (Shepherd & Yeo 2003).

However, a notable absence is observed in the utilization of compact discs as a storage medium (mean score of 1.00). This apparent aversion to a once-popular digital storage solution hints at a potential gap in embracing the full spectrum of digital tools available for data preservation and accessibility (Kuh 2008). In an increasingly digital world, exploring and adopting diverse digital storage strategies could further strengthen CSU's record-keeping practices and ensure the long-term integrity and availability of its valuable information assets (National Archives and Records Administration. 2016).

As shown in Table 5, challenges hindering effective records management of the Cagayan State University - Sanchez Mira Campus; resource constraints emerge as a dominant theme. Inadequate budget (mean score of 4.05) and a lack of essential resources (4.02) are perceived as the most significant barriers, highlighting the need for increased investment in this crucial area. These findings suggest that staff members agree that the limitations imposed by financial constraints and resource scarcity, potentially impact their ability to effectively manage records.

Conversely, challenges related to organizational structure and policy frameworks are viewed as less pressing. Both "lack of clear records management policy" and "unavailability of proper organizational structure" received the lowest mean score of 3.25. This indicates a more neutral perspective on these issues, suggesting that while they may require attention, they are not perceived as critical barriers compared to the more pressing concerns of funding and resource allocation. This contrast highlights a potential opportunity for the institution to strategically prioritize its efforts by addressing the most pressing resource constraints while also acknowledging and gradually improving the less critical issues related to policy and structure.

Table 4. Current State of CSU-SM records management practices

Statement	Mean Score	Interpretations
CSU Maintenance of Records		
Manual Format	1	Strongly disagree
Electronic Format	2	Disagree
Both Manual and Electronic	3.57	Agree
Methods of retrieving records		
Drawer Labels	1	Strongly disagree
File Indexes	2.73	Nuetral
Automated Retrieval	2	Disagree
CSU rate in state of Records Management.		
Excellent	1	Strongly disagree
Very Good	2.25	Disagree
Good	2.67	Nuetral
Poor	3.5	Agree
Very Poor	0	
CSU has storage media used for keeping records.		
Folders	4	Agree
Compact Disks	1	Strongly disagree
Micro Film	2	Disagree
Hard Drive	1.25	Strongly disagree
CSU status on dealing with its inactive records.		
Archived	3.57	Agree
Destroyed	2	Disagree
Transferred	2	Disagree
CSU records management system practices.		
Centralized	4	Agree
Decentralized	2	Disagree
Others (Please Specify)	1	Strongly disagree

Table 5. Challenges associated with the CSU-SM records management

Challenges	Mean	Interpretations
Inadequate budget	4.05	Agree
Lack of required resources	4.02	Agree
Lack of automated records management program	4	Agree
Inadequate storage facilities	3.92	Agree
Poor maintenance culture	3.76	Agree
Lack of proper attention from higher officials	3.7	Agree
Lack of skilled personnel	3.65	Agree
Lack of clear records management procedures	3.63	Agree
Unfavorable climatic conditions	3.55	Agree
Low salary rate for records professionals	3.5	Agree
Lack of training	3.45	Agree
Erratic power supply	3.43	Agree
Lack of proper security for records	3.4	Agree
Lack of clear records management standards	3.3	Nuetral
Lack of clear records management policy	3.25	Nuetral
Unavailability of proper organizational structure	3.25	Nuetral

As shown in Table 6, the perceived contributions of sound record-keeping practices at Cagayan State University - Sanchez Mira Campus, a clear champion emerges: good governance. With a resounding mean score of 4.49, the contribution to promoting good governance garnered strong agreement among respondents, highlighting a shared belief in the vital role record management plays in fostering transparency, accountability, and organizational integrity. This underscores a

Table 6. Impact of CS-SM record management on organizational performance

Statement	Mean	Interpretations
Contribute to the Promoting of Good Governance	4.49	Strongly Agree
Plays Role in Ensuring Service Delivery	4.44	Strongly Agree
Ensure Good Governance to the Customer	4.36	Strongly Agree
Timely Availability of Accurate Information	4.36	Strongly Agree
Support the Organization's Achievements	4.42	Strongly Agree
Support Administrative Decision-Making	4.33	Strongly Agree
Provide Continuity in the Event of a Disaster	4.33	Strongly Agree
Enhance the Effectiveness of Public Service	4.32	Strongly Agree
Enable the Organization to Perform Its Functions Successfully	4.34	Strongly Agree
Support the Legal Requirements of the Organization	4.27	Strongly Agree
Support the Accountability Requirements of the Organization	4.40	Strongly Agree
Maintain Organization Memory	4.29	Strongly Agree
Enhance the Efficiency of Public Service	4.32	Strongly Agree
Provide Continuity in Service Delivery When Staff Leave the Organization	4.32	Strongly Agree
Support Business Processes of the Organization	4.26	Strongly Agree
Weighted Mean	4.06	Agree

recognition that well-managed records serve as a cornerstone for building trust and achieving broader institutional goals.

However, a subtle distinction arises when considering the perceived contribution to supporting business processes. Although still viewed positively, with a mean score of 4.26, this aspect received comparatively less enthusiastic endorsement. This suggests that while respondents acknowledge the importance of record management in streamlining operations, there may be a sense that current systems haven't reached their full potential in optimizing business processes. This nuance identifies a potential area for growth where targeted improvements could further enhance efficiency and organizational performance.

As shown in Table 7, the Interventions for the Cagayan State University - Sanchez Mira Campus to improve records management compliance, a thematic analysis was conducted based on survey data collected from faculty and administrative staff. The following delves into key areas on:

I. Strengthening the Foundation: Policies and Procedures:

1. I.Develop Comprehensive Policies has a mean score of 4.18 which is Moderately Effective; the university can create a robust records management policy that outlines the organization's approach to creating, maintaining, using, and disposing of records. This policy should clearly define roles and responsibilities, retention schedules, and security measures.
2. Implement Clear Procedures with a mean score of 4.15 (Moderately Effective): CSU-SM can develop detailed procedures for each stage of the records lifecycle, from creation to disposal which can be easily followed by all the employees.
3. Ensure Accessibility with a mean score of 4.05 (Moderately Effective). CSU-SM can make sure that records are easily accessible to authorized personnel. The organization can also implement a system for classifying and indexing records, using metadata to facilitate efficient retrieval.
4. Regularly Review and Update with a mean score of 4 (Moderately Effective). CSU-SM policies and procedures can be reviewed and updated periodically to reflect changes in regulations, business needs, and technology.

II. Leveraging Technology for Efficiency:

1. Suggested interventions to Implement Records Management Software, Embrace Digital Transformation, Integrate Devices and Systems, and Utilize Automation are highly effective for records management if

CSU-SM can invest in a robust records management system (RMS) to streamline the process of capturing, storing, managing, and disposing of records. RMS can automate tasks, improve security, and enhance collaboration through application of the transition to digital records whenever possible, for this reduces storage costs, improves accessibility, and simplifies the management of large volumes of information through the utilization of multifunctional devices like printers and scanners that can integrate with existing workflows and RMS. This facilitates seamless capture and storage of records and will employ automation tools for tasks like record identification, classification, and retrieval. This frees up time for more strategic activities.

III. Cultivating a Culture of Information Awareness:

Suggested interventions by Providing Comprehensive Training, Promoting Collaboration, Establishing a Dedicated Records Management Team and Regularly Communicating are also highly effective if CSU-SM can focus or train employees on proper records management practices, including how to create, maintain, use, and dispose of records. Encourage the employees to understand the importance of information security and compliance. Likewise, foster a collaborative environment where employees share information and best practices, their encouragement on the use of digital collaboration tools can facilitate efficient document sharing and review through their established Dedicated Records Management Team which is responsible for overseeing the records management program. This team is responsible for developing and implementing policies, procedures, and training programs while having a Regular Communication to keep employees informed about the changes in policies, procedures, and technology. This will ensure that everyone is aware of their responsibilities and how to comply with regulations.

IV. In Addressing Specific Challenges and Best Practices:

Having an Understanding with the Legal and Regulatory Requirements, Conducting an Information Inventory, Identifying Incorrect Processes, Establishing Clear Goals and a Roadmap, Securely Storing and Disposing of Records, and Tracking and Monitoring Records are rated Moderately Effective; interventions on the records management by thoroughly understanding the legal and regulatory requirements for record retention and disposal specific to your industry and location, this ensures compliance and avoids potential penalties, CSU-SM can create a comprehensive inventory of all information stored and processed by the organization which can help identify records, understand their purpose, and determine appropriate retention period by analyzing existing processes and identifying any discrepancies between current practices and ideal records management procedures. This helps prioritize areas for improvement. While establishing a clear Goals and a Roadmap wherein specific goals for the records management program, aligning with CSU-SM's overall mission, the roadmap outlining the steps needed to achieve these goals and prioritize implementation based on importance and urgency. Likewise, a Securely Storage and Disposal of Records can ensure records are stored in a secured location, accessible only to authorized personnel. Implement a secure disposal process for outdated or non-essential records, protecting sensitive information. Lastly, Tracking and Monitoring Records can maintain accurate records including their location, access history, and disposition. This provides visibility and control over information and helps ensure compliance.

Table 7. Interventions that could be forwarded to improve records management compliance of Cagayan State University-Sanchez Mira

Interventions	Mean Score	Interpretations
1. Strengthening the Foundation: Policies and Procedures.		
1.Develop Comprehensive Policies	4.18	Moderately Effective
2.Implement a Clear Procedures	4.15	Moderately Effective
3. Ensure Accessibility	4.05	Moderately Effective
4. Regular Review and Update	4	Moderately Effective

Interventions	Mean Score	Interpretations
II. Leveraging Technology for Efficieny		
1.Implement Records Management Software	4.20	Highly Effective
2.Embrace Digital Transformation.	4.40	Highly Effective
3. Integrate Devices and System.	4.35	Highly Effective
4. Utilize Automation	4.40	Highly Effective
III. Cultivating a Culture of Information Awareness		
1.Provide Comprehensive Training	4.38	Highly Effective
2.Promote Colloboration	4.20	Highly Effective
3.Establish a Dedicated Records Management Team	4.40	Highly Effective
4. Regularly Communicate	4.50	Highly Effective
IV. Addressing Specific Challenges and Best Practices		
1.Understand Legal and Regulatory Requirements.	4.19	Moderately Effective
2.Conduct an Information Inventory.	4.12	Moderately Effective
3.Identify Incorrect Processes	4	Moderately Effective
4.Establish Clear Goals and a Roadmap	4	Moderately Effective
5.Securely Store and Dispose of Rcords	4.16	Moderately Effective
6.Track and Monitor Records	4.05	Moderately Effective
Weighted Mean	4.21	Highly Effective

5. SUMMARY OF FINDINGS

This research evaluated the Records Management System of the Cagayan State University – Sanchez Mira Campus for the academic year CY 2023-2024 towards an efficient and effective delivery of services to the whole university which help developed and assessed specific needs as basis for interventions and recommendation program for the University.

The descriptive evaluative method was used because it aimed to obtain information and describe the employment status and number of years of the respondents vis-à-vis on different variables on the records management compliance as a basis for intervention program for CY 2025 and identified key areas for improvement to enhance the efficiency and effectiveness of service delivery.

Key Findings:

1. Employee Profile: The study reveals a workforce dominated by regular faculty (34.87%), followed by part-time faculty with a 23.91%, then the regular administrative staff (22.83%). This indicates a strong emphasis on a regular faculty, likely reflecting a prioritization of continuity in teaching and administrative functions. However, the presence of a significant number of contract of service employees (9.78%) and job order with 7.61 % suggests a degree of flexibility in staffing.

2. Years of Experience: The majority of employees have 0-4 years of experience, indicating a recent influx of new personnel. This suggests a need for focused onboarding and training programs to ensure new staff are equipped with the necessary knowledge and skills for effective records management.

3. In terms of the Existing Status of Records Management Policies: While respondents strongly agree on the existence of clear policies and procedures for records management, there is a slight discrepancy in their understanding of the legal framework governing record management. This highlights the need for comprehensive training that covers both procedural and legal aspects of records management which are highly effective interventions to improve the records management in CSU-SM.

4. Current State of Records Management Practices: CSU-SM demonstrates strong practices in terms of having records professionals and providing training in records management. However, the lower mean score for secure storage and tracking of records suggests a need for improvement in physical security measures.

5. For the Record-Keeping Practices: The study reveals a balanced approach to record-keeping, with a reliance on traditional folders alongside electronic records. However, the lack of utilization of compact discs indicates a potential gap in embracing the full spectrum of digital storage solutions.

6. For the Challenges Hindering Effective Records Management: The most significant challenges identified are resource constraints, including inadequate budgets and lack of resources. These highlights the need for increased investment in records management to ensure the effectiveness of CSU-SM records management system.

7. For the Contributions of CSU-SM Sound Record-Keeping Practices: The study highlights the strong contribution of sound record-keeping practices to promoting good governance. However, the study also suggests that record management's contribution to supporting business processes could be further enhanced.

8. For the Interventions that could be forwarded to concerned personnel whose activities involves record management to improve records management compliance in Cagayan State University-Sanchez Mira, a continuous journey of improvement for effective records management is an ongoing process that requires constant attention and adaptation. By implementing the suggested interventions, the university can create a robust and efficient records management program that supports compliance, improves efficiency, and minimizes risks. Remember, a successful records management program that supports compliance, improves efficiency, and minimizes risks. A successful records management strategy requires a commitment to continuous improvement, embracing new technologies and fostering a culture of information awareness.

6. CONCLUSION

Based from the findings of the study, the following conclusions were drawn:

1. Cagayan State University-Sanchez Mira campus has a well defined employment structure particularly on the records management personnel that almost employees has regular status which comprised the largest employee group percentage in the study underscoring the institution's emphasis on a stable, full-time teaching core for quality educational delivery.

2. Cagayan State University-Sanchez Mira employees' records on the number of years of experience characterized a preponderance of individuals in the early stages from 0-4 years of experience in their respective fields of their professional careers which significantly influx of newer personnel within the institution. Hence, the observed distribution underscores a workforce composition that skews towards those with less experience, with a gradual decline in representation as experience levels increase. This pattern may be indicative of various factors, including institutional hiring practices, staff retention rates, and the prevailing dynamics within the broader academic employment landscape.

3. For the Records Management Policies, Procedures and Filing of Record Management of Cagayan State University (CSU)-Sanchez Mira Campus; it has an available well defined policies and procedures relative to records management's legislative framework, however, there is an implementation gap due to lack of familiarity on the guidelines of records managements and arranging timely training of the employees. The university has filing system, however, records movement tracking system is not effective due to unelevating expertise of employees and this can contribute to a more robust and resilient record-keeping environment within the institution if it might be given more attention and prioritization.

4. On the Current State of Records Management Practices in Organization of CSU-SM, proper records management leads to timely availability of accurate information, maintain organization memory, that can enhance the efficiency and effectiveness of the public service and can support administrative decision-making. Majority of the respondent's rating strongly agree that proper records management with proper education, and regular training covering technical, legal, and ethical issues lead to support the legal requirements and accountability of the institution or university to fit within institution's strategic plan.

5. The study identified several challenges facing records management within the institution, which includes, inadequate budget, lack of essential resources and skilled personnel which are perceived as the most significant barriers, highlighting the need for increased investment in this crucial area. Other key challenges related to organizational structure and policy frameworks includes: "lack of clear records management policy" and "unavailability of proper organizational structure", which require more attention for the institution to strategically prioritize its efforts by addressing the most pressing resource constraints while also acknowledging and gradually improving the less critical issues related to policy and structure.

6. Finally, the study concluded proper records management practices of Cagayan State University - Sanchez Mira Campus can lead to good governance highlighting a vital role in ensuring the effective and efficient service delivery with transparency, accountability, and organizational integrity building a trust and achieving broader institutional goals considering the record management in streamlining operations.

7. RECOMMENDATIONS

Based on the findings, the following recommendations are proposed to enhance the Records Management System in Cagayan State University -Sanchez Mira Campus, preferably those involved in records management activities, as well as those employees whose performance and productivity can be affected by the state of their records.

Cagayan State University-Sanchez Mira Campus, even if aligned with the (ISO) International Standards Organization, as well as Board of Resolution of Cagayan State University's standards and best practices, still needs to develop and implement a clearer, more comprehensive records management policies, standards, guidelines, and procedures to maintain and regulate records management activities, and improve the management of records of the university. Records management serves as guidelines for effective records management, covering the principles of creation, capture, and control of records. These standards help in shaping the policies and procedures, including those related to records management in the University wide. These resolutions provide framework for ensuring compliance with legal and regulatory requiements and support the implementation of the records management practices within Sanchez Mira Campus.

A University-Wide Endorsement is also necessary for them to secure formal endorsement of policies from the University President and ensure institutional commitment and accountability. The endorsement should be clearly communicated to all staff.

The strict monitoring and implementation of the policies, standards, guidelines and procedures need an enforcement mechanism to see to it that each employee involved in the records management abides by these regulations, and establish a robust mechanism for monitoring compliance with the newly developed policies and that severe disciplinary actions will be given to those who fail to comply with these. This should include regular audits, reporting procedures, and clearly defined disciplinary actions for non-compliance. For the policy to be effective, it has to be endorsed by the head of the institution or the President of the State University that should be properly addressed, communicated and monitored throughout the institution.

The institution or university should identify and develop programs in records management in order for the records management staff to update and improve their skills, the Staff Training and Development, a targeted training program for staff or employees that will develop and implement programs for records management staff. This should include short-term courses, workshops, and opportunities for advanced education, particularly for staff lacking prior records and archives knowledge. The training should cover all aspects of the newly established policies and procedures.

An integrated approach for records management programs should be adopted without downplaying any of the components of records managements and addresses all components of records management without neglecting any area. The institution or university should adopt a holistic and realistic approach in the establishment, implementation, and administration of comprehensive records management program and ensure comprehensive coverage and avoid gaps in the system.

The study recommends for the resource allocation and budgetary considerations, a dedicated budget funding from the Commission on Higher Education (CHED) for records management, specifically allocating resources for supplies, equipment, and staff training. This budget should align with ISO standards and best practices.

Records Management Awareness Programs, should also be considered in the campus to implement regular awareness programs, led by records management professionals to educate staff on the importance of effective records management and its role in providing effective and efficient public service. This will foster a culture of compliance and support for the records management team.

The university should adopt Technological Integration for the advancement of the Information and Communication Technology (ICTs) in the management of records. In embracing the adoption of ICT, it can improve records management. It includes the digitization of existing records, and implementation of robust records management system to enhance the creation, maintenance, access, use, stirage preservation, and security of records. The system should be chosen carefully to meet the specific needs of the University, and comply with data privacy regulations.

Lastly, a continuous improvement is highly recommend for the implementation of these recommendations as they view the ongoing process. Regular review and evaluation of the records management system are crucial to identify areas for improvement and ensure continued compliance with ISO standards and best practices. This should include regular audits, feedback mechanisms, and adjustments to policies and procedures as needed.

Conclusion: By implementing these recommendations, Cagayan State University-Sanchez Mira Campus can establish a robust, efficient, and compliant records management system. This will not only ensure compliance with ISO standards but also improve operational efficiency, transparency, and accountability, ultimately benefiting the entire institution. The success of this initiative hinges on strong leadership commitment, adequate resource allocation, and the active participation of all staff members.

CONSENT

As per international standards or university standards, informed written consent has been collected and preserved by the author(s).

ETHICAL APPROVAL

As per international standards or university standards written ethical approval has been collected and preserved by the author(s).

COMPETING INTERESTS

Author has declared that no competing interests exist.

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