

**ASSESSING THE STATE OF IMPLEMENTATION OF THE NATIONAL ARCHIVES
AND RECORDS MANAGEMENT ACT AT EDUARDO MONDLANE UNIVERSITY IN
MOZAMBIQUE**

by

RENATO AUGUSTO PEREIRA
(Student No 57637776)

Submitted in accordance with the requirements for the degree of

MASTERS
OF INFORMATION SCIENCE IN ARCHIVAL SCIENCE
at the

UNIVERSITY OF SOUTH AFRICA, PRETORIA

PROMOTER: PROF MS NGOEPE

September 2017

SUMMARY

Archival legislation is a crucial tool for the public sector to ensure the management, preservation and access of a country's national documentary heritage. In Mozambique, archival legislation has been enacted which sets the scene for records appraisal and disposition, as well as classification schemes and retention schedules for administrative records of governmental bodies falling under the auspices of the Act. As a result, public agencies in Mozambique are required by the archival legislation to adopt a systematic and organized approach to the management of their records from creation to disposal. Despite this, the records management processes of many public entities in Mozambique have remained ineffective and inefficient. This study utilized the record life cycle concept as a framework to assess the state of implementation of the National Archives and Records Management Act at Eduardo Mondlane University (EMU) in Mozambique. The study applied a quantitative research approach with triangulation of data collection tools, namely, questionnaire and document analysis. The study revealed that EMU has only established one central records appraisal and disposal committee for its directorate units, which has not coped with the records management demands from other academic units such as faculties, schools and research centers. In most of the academic units the records management staff were not involved in the training, records appraisal and disposal processes, as well as in the destruction and/or transfer of records to the Mozambique Historical Archives (MHA), as required by legislation. The study concludes that most EMU units do not comply with archival legislation resulting in few provisions of the Act being implemented. The study therefore recommends that the records management function at EMU should put in place the basic procedures of control for records management systems with the leadership taking a proactive role in the strategic planning, budgeting and monitoring. A further empirical study on the assessment of the state of implementation of the National Archives and Records Management Act throughout the entire public sector in Mozambique is recommended.

Key words: archives, archives management, archives legislation, Eduardo Mondlane University, Mozambique, public sector, records, records management, National Archives and Records Management Act.

ACKNOWLEDGEMENTS

This journey has been long and very exciting, requiring intensive work almost entirely on my own for long hours. However, I have been supported by many individuals who have played an important role in the completion of this study. I am highly indebted to my supervisor, Professor Mpho Ngoepe, for the professional and sterling guidance throughout the whole project proposal and dissertation writing. Dr Peter Sebina from University of Botswana has assisted greatly with key references. I am very grateful to Ms Vivien Esslemont and Ms Laurel Boland from the British Council in Maputo and Ms Carol Jansen in Pretoria, South Africa for the language editing throughout my study.

I want to thank Prof. Joel das Neves Tembe, the Director of the Mozambique Historical Archives, in Maputo for academic and professional support encouraging me to carry on with post graduation studies and granting me permission to do research at Eduardo Mondlane University. A further salutation to all records management staff, who are working for the Eduardo Mondlane University units in faculties, schools, special centers, research centers, directorate and special units, for their diligence and patience in completing the questionnaires during the data collection processes in this study.

Special mention is made to my colleagues at the Mozambique Historical Archives: Dr Alexandrina Buque from the local library and Dr Bartolomeu Cuamba, for sharing their working and academic experiences on information technology, as well as Dr Benjamim Botão from Eduardo Mondlane University Informatics Center. I am also grateful to colleagues at the Directorate office of the Mozambique Historical Archives, particularly Dr Catarina Nobela and Ms Kalucha Jacob Mondlane, for their administrative assistance throughout the period of this study. To everyone, including those I cannot name, I must express my deep gratitude. Last, but not the least, I would like to thank the University of South Africa (UNISA) for awarding me a scholarship in the second and third years of my study.

DEDICATION

This dissertation is dedicated to my wife, Lina Énia Henrique, and my children, Áurida Joana Pereira, Deuritece Renato Augusto Pereira and Chelsio André Pereira, together with my mother, Joana Chico, and my cousin, Firmino João for the inspiration they gave me during my studies.

DECLARATION

I declare that this study, “**Assessing the state of implementantion of the National Archives and Records Management Act at Eduardo Mondlane University in Mozambique**”, is my own work and that all the sources I have used or quoted have been indicated and acknowledged by means of complete references.

Signature

Mr. Pereira, RA

Date

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LIST OF ABBREVIATIONS

ACARM:	Association of Commonwealth Archivists and Record Managers
AIDS:	Acquired Immune Deficiency Syndrome
CDNSAS:	Central Director of National State Archives System
CDR:	Congo Democratic Republic
CEDIMO:	Centre of Documentation and Information of Mozambique
CIDOC:	Institute of Documentation Sciences of Mozambique
CPISE:	Permanent Commission of State Classified Information
DAPDI:	Directorate of Administration, Patrimony and Institutional Development
DIRKS:	Design and Implementation of Records Keeping Systems
DVD:	Digital Video Disc
EDRMS:	Electronic Document and Records Management System
EGUM:	Mozambique University and General Studies
EMU:	Eduardo Mondlane University, also locally known as UEM
ESARBICA:	Eastern and Southern Africa Regional Branch of the International Council on Archives
ERM:	Electronic Records Management
ESJ:	Higher School of Journalism
FBLP:	Bibliographic Fund of the Portuguese Language
HEI:	Higher Education Institutions
HIV:	Human Immunodeficiency Virus
ICA:	International Council on Archives
IMAP:	Medium Institute of Public Administration
IRMT:	International Records Management Trust
ISAP:	Higher Institute of Public Administration
ISO:	International Standard Organisation
MAEFP:	Ministry of State Administration and Public Affairs
MC:	Municipal Council
MHA:	Mozambique Historical Archives also locally known as AHM

Min.:	Ministry
MMR:	Mixed Method Research
MSAPA:	Ministry of State Administration and Public Affairs, locally known as MAEFP
NA:	National Archives
NCA:	National Council on Archives
NCRAD:	National Commission of Records Appraisal and Disposal
NSW:	New South Wales
PA:	Provincial Archives
Prov.:	Province
PS:	Permanent Secretary
RMS:	Records Management System
SAPA:	State Administration and Public Affairs
SAREC:	Swedish Agency for Research Cooperation with Developing Countries
SIGA:	Integrated System of Academic Records Management
SIGE:	System for the Management of Records and Despach
UEM-DRA:	Eduardo Mondlane University-Directorate of Academic records
UK:	United Kingdom
ULM:	University of Lourenço Marques
UNESCO:	United organization on Education, Science and Communication
UNISA:	University of South Africa
USA:	United States of America
USSR:	United Soviet Socialist Republics
WWW:	World Wide Web

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CHAPTER ONE

INTRODUCTION

1.1 Background

Many countries in the world have developed national archives and records management legislation for the public sector (IRMT 1999:3; Wamukoya & Lowry 2013:153). Legislation that establishes the legal and administrative infrastructure not only allocates roles, power and responsibilities among central state departments and public agencies, but also protects the rights of citizens with respect to recorded information (ICA 2004:5). Archival legislation is a crucial tool for the public sector to ensure the management, preservation and access to the country's national document heritage (IRMT 1999:3). However, some public government agencies do not function effectively despite the availability of records and archival legislation. Ngoepe (2014:7) argues that having legislation and not implementing it is as good as not having it. In Africa, lack of implementation is partially due to the fact that most pieces of archival legislation are not costed (Ngoepe & Saurombe 2016). Mozambique also enacted the National Archives and Records Management Act in 2007 (See Appendix A for a copy of the National Archives and Records Management Act No. 36 of 2007).

According to the National Archives and Records Management Act, the Mozambique Historical Archives (MHA) plays an advisory role, concerning the design of records management systems, the monitoring of records appraisal processes and management of permanent records with regard to the Act. As a part of the Eduardo Mondlane University (EMU), the MHA is also in charge of the management specifically of current, semi-current and permanent records within the EMU units. This implies that the EMU through MHA plays a contradictory double role regarding the management of public sector records as the referee and player (regulator and regulated). The key goals of the MHA at EMU are as follows:

- To formulate specific records management documents for the EMU.
- To implement key records management documents such guidelines, regulations, procedures, standards and tools.
- To monitor records appraisal and disposal processes.

- To ensure the protection and preservation of the enduring administrative, permanent and scientific records within the EMU units.
- To ensure the public accessibility of records complying with other regulations related to the access to information and issues of state secrecy.
- To evaluate the training needs on records management.

In order to ensure that records are “created, used, appraised, preserved and accessed in an appropriate manner”, the archives and records management responsibilities were assigned and the standards, guidelines, procedures, and tools were also produced by the Centre of Documentation and Information of Mozambique (CEDIMO) with technical assistance from MHA (CEDIMO 2013:3; 2014:2). This means CEDIMO is responsible for the management of public records in Mozambique, with regard to the management of current and semi-current records, and EMU, through MHA plays an advisory role on records and archives management issues to Central Director of The National State Archives System and is also responsible for the management of permanent records making them available for the public.

With the enactment of the National Archives and Records Management Act in August of 2007 (Moçambique 2007:21), the EMU, through the MHA as one of its special units, plays an advisory role (Moçambique 1976:1; Moçambique 1995:11; Moçambique 2007:21). As a result, the MHA has been undertaking several initiatives towards developing programmes for good recordkeeping within the university since 2007. This is in line with the University Strategic Plan, which emphasises the need for evidence-based good governance, including effective procedures for retrieval of its records complying with the National Archives and Records Management Act. Nevertheless, the main challenge is to ensure that specific records management rules, tools and procedures are developed to implement the National Archival and Records Management Act in governing the records and archives management within the University (Moçambique 2007:22-28). Public agencies in Mozambique including the EMU have been struggling to implement the requirements of archival legislation concerning to records management. This is also the case with other countries in eastern and southern Africa. For example, Ngoepe (2008; 2012; 2016) reveals the poor state of records management in South Africa; Nengomash (2013) identifies lack of skills in managing records in Namibia; Kemoni (2007) gives similar information for Kenya and

Chaterera (2012) for Zimbabwe, to mention just a few countries. The situation is the same in Mozambique although there is scarcity of literature due to the language barrier. Studies in archives and records management in southern Africa, for example, Ngoepe and Saurombe (2016) and Mnjama (2005), often exclude Mozambique because Portuguese is the first official language.

The present study utilized the life cycle concept as a framework to assess the state of implementation of the Mozambican National Archives and Records Management Act at EMU as a means to ensure the efficient and effective archives and records management within its administrative, academic and special units for the future.

1.2 Background to archives and records management in Mozambique

The background presented here refers to historical periods of archives and records management in Mozambique both before and after independence from the Portuguese. It identifies and describes the key changes that occurred in the Archival and Records Management Act, particularly between 1992 and 2007. Such changes were made within the public administration in order to ensure that information was accessible for as long a period as possible, with an efficient and effective public service delivery.

1.2.1 Mozambique under Portuguese colonial administration

According to the first known national literature on archival science, the history of archives and records management in Mozambique dates back to the creation of the MHA in June 1934 by the Portuguese colonial government through Portaria 2.267 (Costa 1987:4; Nharreluga 1999:62; Inhangumbe 1999:18; Silva 2000:71; Monteiro 2000:66; Mangué 2015:17). The MHA was first administered by the Library Statistics Department and was then passed to the Department of Instruction Services in 1957. However, its role was only clearly defined by the legislative Diploma No. 635 of 1939. The crucially important objectives were to collect and preserve not only archival materials, but also to create a bibliographic collection about Mozambique. Furthermore, its responsibility was enhanced in 1939 because of the necessity for setting up library, history and administrative archival records sections as well as a General Register Office

for the colony. In December 1958, the MHA was recognised as the General Archives and Legal Deposit of the province (Nharreluga 1999:63). It was an archives service separate from the Portuguese colonial administrative services. This has been seen as the motivation for the establishment of a modern administration in Mozambique (Manguele 2009:44).

Aside from establishing the role of MHA, the Portuguese colonial government in Mozambique formed a specialised committee on 12 April 1938, in order to investigate the organisation of administrative services, including book systems used for records registration (Moçambique 1940:1236). The committee concluded that the archives and records management within Portuguese colonial administration was characterized by a lack of clear archival and records operation objectives. There was a lack of organised, standardised and structured archival and records management services, but Ngoepe and Keakopa (2011:147) contend that the archival and records work could no longer be managed on an ad-hoc basis by the archival and administrative staff. Consequently, there was a need for ensuring that records and archives were preserved as long as possible, dating as far back as the beginning of the colonial administration (Ngoepe & Keakopa 2011:147). As a result, the Portaria No. 4: 244 from 16 December 1940, containing procedures for the Portuguese colonial administrative services, was enacted and updated in both 1960 and 1969, respectively (Moçambique 1960:1969). This Portaria also did not state the role of the MHA regarding the management of public records within the Portuguese colonial administrative services (Silva 2000:71). Before 1910, the archives and administrative services were not subject to central control, as was the case in South Africa (Ngoepe & Keakopa 2011:147). The attempts outlined above were made in order to ensure that all the records produced by colonial administrations in Africa were preserved for a long period (Ngoepe & Keakopa 2011 :148).

As a public state organisation, EMU was created by decree-law No.44.530 of 21 August 1962 under the name Estudos Gerais e Universitários (EGUM). From that time, it had to comply with the Archival and Records Management Portaria No. 4:244 of 1940. Initially, its organisational business was directed at only a minority of Portuguese citizens and a handful of civilised local African people (Tembe & Pereira 2015:1). As Quilambo (2015:4) observes, the EGUM offered academic programmes in education, medicine, agronomy, veterinary sciences, civil engineering,

mining and electrical and chemical engineering. These programmes were extended in 1968 when the institution was elevated to the status of university, adopting the name of the University of Lourenço Marques (ULM) through Decree No. 48790 of 23 December 1968. Apart from the teaching and learning processes, research activities were also given considerable attention as the core business of the university (Chilundo 2012:5). Other academic extended programmes included applied mathematics, physics, chemistry, biology and geology, as well as Roman philology, history, geography, economics and metallurgical engineering (Quilambo 2015:4).

To sum up, the role of the MHA within the Portuguese colonial administrative services was not stated in Portaria No.4: 244 of 1940, which was updated in 1960 and 1969. This Portaria merely regulated the records registration and classification of incoming and outgoing records within the administrative services.

1.2.2 Mozambique after independence from Portuguese colonial administration

The Mozambican state was officially created on 25 June 1975, and it became independent of the Portuguese colonial administration. One year later, the MHA, through Decree No. 26/76 of 17 July 1976, was moved from the Ministry of Education to EMU. Playing its role as a National Archives, the MHA began collecting archival records from all over the colonial administrative services as well as from outside the country, such as in Portugal, Goa, Italy, France, Holland, Switzerland and Samanca (Costa 1987:5). This project was funded by the Swedish government in 1978 (Nharreluga 1999:63).

The first legislation on Mozambique's national archival and records systems was launched on 26 October 1992 through Act No.33/92. This legislation was an extremely broad framework with some specific limitations on classification, retention period, appraisal and destruction procedures of records. The MHA was given a mandate to guide the archives and records management practices in the entire central state departments and public government agencies, at the provincial and district levels. The present study, however, is based on internal implementation at EMU of the new National Archives and Records Management Act No. 36/2007. As a result of the continuing political, economic and social reforms since 1987, the Mozambican government

launched a global strategy for public reform in June 2001, in order to ensure the integrity, transparency, efficiency and effectiveness of the public sector (Autoridade Nacional da Função Pública 2006:4). This strategy for public reform was divided into two phases: The first, from 2001 to 2005 and the second, from 2006 to 2011 (Autoridade Nacional da Função Pública 2006:4). Part 8 of the second phase of the public reform was devoted to fighting and reducing the level of corruption within central government departments, provincial and district public government agencies through the creation of systems for the management of and access to government information, including the establishment of the e-government network (Autoridade Nacional da Função Pública 2006:31). Among other issues of public interest, this second phase defined, as a priority, the organisation and standardisation of the archives and records management function in the public sector (CEDIMO 2013:1). In 2003, a records management assessment was carried out at national, provincial and district levels. As a result, in 2006 the Mozambique Government approved the Strategy of Archives and Records Management and introduced significant changes in the public administration.

In order to establish more effective records management practices, a new National Archival and Records Management Act was enacted in 2007 (Act No. 36/2007, from 28 August 2007), which created the national state archival systems, followed by several pieces of related secondary legislation, namely: a) the Ministerial Diploma No. 30/2008, which approved the methodology for designing the classification scheme and retention schedule for specific records; b) the Ministerial Diploma No. 31/2008, which approved the standards for records appraisal and disposition; and c) the Ministerial Diploma No.37/2010, which dealt with the standards of operation. In addition, there was Act No.36/2010, which created the National Commission on Records Appraisal and Disposal (NCRAD) and approved a procedures manual on current records, as well as Law No. 31/2014, on the right of access to public information and general guidance on control and disaster planning and recovery in 2015. Therefore, CEDIMO had to be strengthened for the operationalisation of the above mentioned strategic legal and regulatory environment (Autoridade Nacional da Função Pública 2006:31). It was recognised that poor record keeping practices could neither ensure accountability in the public sector nor provide a quality service delivery to the citizens (Autoridade Nacional da Função Pública 2006:31; ISO 2001:1; Chebani 2005:139).

In conjunction with the global strategy of public reform, EMU introduced a records retention and disposition commission that created certain projects which were implemented through such things as staff training, records surveys, records appraisal, classification and retention schedules and a procedures manual for administrative functions. Furthermore, a classification scheme and retention schedules for specific functions were also designed.

The ULM opened to all Mozambicans in 1975 and was named the Eduardo Mondlane University on 1 May 1976. By 2015, EMU had a student population of approximately 36,864 of which 91.1% are undergraduates and 7.9% postgraduates (Quilambo 2015:4). EMU is a public, fundamentally teaching-driven institution that will become a research and extension-led university in the near future, complying with both the vision and mission statements formulated in order to ensure excellence and high quality (Moçambique 1995:9; Direcção Científica da UEM 2004:5; UEM 2016:1; UEM 2016:4-5).

The functions of the EMU can be identified and described from its vision and mission statements as well as the strategic plan. Hence, the university vision statement affirms that its aims are “To be a national, regional and international reference university in the production and dissemination of scientific knowledge as well as innovation, highlighting research as the foundation of teaching and learning processes, extension and outreach activities” (UEM 2015:4). Research is also seen as a key function of the university for national development (Direcção Científica da UEM 2004: 5; UEM 2016:5). The university mission reads: “Produce and disseminate scientific knowledge, promote innovation through research, extension and outreach activities, while imparting humanistic values onto generations to face contemporary development challenges of society” (Moçambique 1995:10; UEM 2015:4).

According to UEM (2016:5-23), there are three university missions or functions, namely: the teaching and learning process, research and university extension. To support these missions, the university also deals with the governance and university management function that includes social, cultural and sport areas (UEM 2016:5-36).

Mozambique’s science, technology and innovation strategies identify and prioritise some research areas, which have been considered as strategic objectives by the EMU research policy

(UEM 2015:5). These areas include: human resource development, education, agriculture, health and energy. Other areas were identified, such as the social and human sciences and culture, gender equity, ethno-botany, HIV/AIDS and the environment (UEM 2015:5). In addition, information and communication technology and biotechnology are seen as enabling cross-cutting technologies for the development of strategic objectives (UEM 2015:5). Strategically, the university is moving towards the establishment of partnerships and networking in order to ensure that scientific knowledge is produced and disseminated, and innovation is promoted through research, extension and outreach activities. The public-private partnership, civil society, industry, and government are the key stakeholders (UEM 2015:4-5). Accordingly, a change in the mentality, along with improvements in the data collected from the research and disseminated within the university, are needed and this may take time (UEM 2016:5-17). As a result of their business activities, all the academic and administrative units have generated a large quantity of records daily. These records would be the subject of systematic control according to the concept of the 'life cycle of records' applied to the manual environment. However, the recent concept of the 'records continuum model' is applied, particularly to the electronic environment, and a model action plan suggested by Chinyemba and Ngulube is adopted (2005:7). Therefore, both the business processes and related records created and received should be clearly identified, described and assessed in compliance with the National Archival and Records Management Act. Following independence, both the Portuguese colonial administration and the Mozambican state were interested in putting sound record management practices in place within the public administrative services. However, their political, social and economic goals were totally different. From a racially and socially discriminatory archival and records management approach for minorities practiced by the Portuguese, the modern administration influenced the development of an integrated national approach, still facing certain challenges, but based on the local needs. It appears that in 2007, the public sector records and archives management structures, responsibilities and authorities were changed significantly, thereby affecting the organizational business at EMU (Moçambique 2007:22).

1.3 Theoretical framework of the study

This study is concerned with assessing compliance with archival legislation covering the records management trends at EMU from the creation to the disposal. Therefore, the entire life cycle of

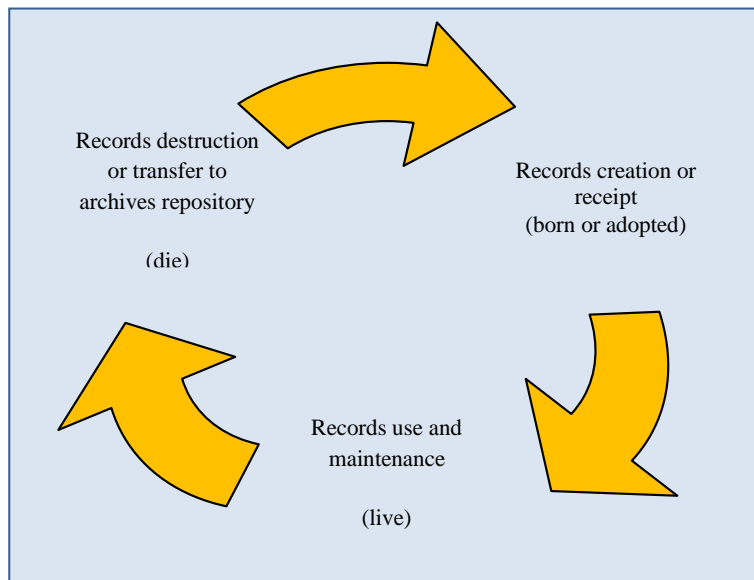
a record is covered as Mozambique archival legislation is based on this principle. There is a tendency amongst organisations not to base their records management practices on existing theories or principles of records management (Ngulube 2003:20). According to IRMT (1999:5), four important principles or theories govern the care of records and archives particularly within the context of the public sector as follows:

- The principle of *respect des fonds* stating that records must be kept together according to the agency responsible for their creation or accumulation, in the original order established at the time of their creation.
- The life-cycle concept, demonstrating that records follow a life cycle.
- The continuum concept, proposing that the care of records should follow a continuum.
- The principle of levels of arrangement and description stating that records can be organised according to hierarchical levels in order to reflect the nature of their creation.

This study applied the life cycle theory with regard to the records management processes at EMU. Although the principles of *respect des fonds* established at the time of their creation is not discussed, the principle of levels of arrangement and description is applied to records that are already in the custody of an archives repository.

The life cycle concept was proposed by Theodore Schellenberg of the National Archives of the USA in 1934 (Shepherd & Yeo 2003:5). It divides the referred cycle into three phases: (i) the records creation or receipt; (ii) the records use and maintenance and (iii) the records destruction or transfer to an archival repository (Ricks & Gow 1988:4). Furthermore, according to Ngoepe (2008:8) this theory has been the predominant conceptual framework for managing records, especially in the paper environment since the late 1930s. It is seen by records managers and archivists as the most integrated and comprehensive approach to records management (Ngoepe 2008:9) as it clearly defined responsibilities for the management of records at three stages, reflected in Table 1.1:

Table 1.1: Life cycle of a record (IRMT 1999:19)



The life cycle concept still offers a useful framework in records management for the paper world (Shepherd & Yeo 2003:10). In view of this, and also the fact that the National Archives and Records Management Act is still prevailing, the life cycle concept remains a relevant factor in this study. The following areas were investigated when researching the management of records at EMU through the entire life cycle, namely: 1. Records creation or receipt (born or adopted), 2. Records use and maintenance (live) and 3. Records destruction or transfer to archives repository (die). All these constructs were applied in relation to the provisions of archival legislation on records management processes.

1.4 Problem statement

Despite the availability of archival legislation guiding the management of records, many public agencies in southern Africa, including Mozambique, are struggling to comply with these models of legislation (Keakopa 2007; Nengomash 2013; Ngoepe 2008; Ngoepe & Saurombe 2016; Ngulube 2003). The EMU as a public government agency is required by law to adopt a systematic and organised approach to the management of records. The strategy for this is provided by the National Archives and Records Management Act in its legislative and legal

framework, according to which, records management practices in governmental bodies are regulated. Therefore, several records management documents have been designed regarding practices to do with establishing policy and such things as constructing procedures manual, a set of standards for records creation, records appraisal and disposition, guidelines for disaster and recovery plan, classification schemes and retention schedules for administrative and specific activities. On the basis of the National Constitution, the Act N°30/2001 on the functioning of public administration and service delivery indicates the importance of modernizing records management practices within public government agencies for making records available to the public when requested. In spite of judicial requirements indicating the importance of proper records management practice, there is a suggestion that the situation is not reflected in practice (CEDIMO 2013:4; 2015:1). However, according to Keorapetse and Keakopa (2012:24-25), Wamukoya and Lowry (2012:152-153) and Ngoepe and Ngulube (2014:136), it would seem that the problem relating to the low level of implementation of records management in a systematic and organized way is aggravated by the following factors:

- Lack of top senior management support on records management practices.
- Lack of awareness of the importance of records management.
- Inadequate records management standards and inadequate policy.
- Inadequate records management procedures.
- Lack of trained, qualified and motivated staff in records management or related fields.
- Inadequate records management structure, inadequate records management, audit and control and insufficient funding for a records management programme.

1.5 Purpose of the study

The general purpose of this study was to assess the state of implementation of the Mozambican National Archives and Records Management Act at EMU as a governmental public agency, in order to ensure efficient and effective archives and records management within its administrative, academic and special units.

The specific research objectives were to:

- Assess the availability and implementation of policies and procedures.
- Assess the availability and implementation of classification systems at EMU.
- Analyse security and physical protection of records at EMU.
- Assess the accessibility of records at EMU by the academic community.
- Establish the level of skills and training in records management at EMU.
- Determine the records appraisal and disposal processes at EMU.
- Assess the information and communication technology used for the management of digital records at EMU.
- Assess the level of top management support for records management activities at EMU units.

1.6 Importance of and justification for the study

The importance of this study is underlined by IRMT (1999:2), which argues that both archives and records are major sources of information. It is important that they should be managed properly in order to avoid a situation of failure in the organisational business. Although the archives and records management function is an extremely important function, it is not given priority (Ngoepe & Ngulube 2013:1). Due to the lack of a sound records management programme, many universities around the world, including EMU, have been facing a range of records management challenges that should be addressed (Kulcu 2009:102-103). As a result, records surveys have been followed by the implementation of related projects on records management strategies, including such items as legislation and regulations, governance structure, awareness raising, policies, staff training, procedures and tools. These have been common methodologies used for introducing organisational changes in archives and records management fields for better service delivery (Chebani 2005:144; Mauer 2013:43; Keakopa 2013:40; Wamukoya & Lowry 2012:152-153). They can also help to develop an effective and efficient archives and records management programme within EMU records, with information protected and made available for as long as possible for administrative and academic purposes and to the public as a whole (ISO 2001:4; Ngoepe & Keakopa 2011:3). Furthermore, as a result of this study, it is expected that the existing limited literature on records management in Mozambique,

which is mostly in Portuguese, will be expanded. Adequate financial resources can therefore be allocated to EMU so that it can help in the preservation of the organisational budget through adequate planning. Consequently, challenges faced in the archives and records management operations role can be alleviated (Mazikana 1987:14).

1.7 Definitions of key terms

The identified key terms are crucial for this study. Therefore, they will be defined in terms of the context in which they will be used. As Ngoepe (2008:16-17) and Onyancha and Mokwatlo (2012:111) note, if such terminologies are not defined and explained clearly enough, they may create a misunderstanding even for readers who are familiar with the subject. The key terms identified in this study include: archives, records, archives management and records management.

1.7.1 Archives

Archives are distinguished from the building in which they are preserved and made available for consultation (archival repository). The term National Archives is used only with reference to previous legislation or as the title of the archival repository in which archives of the central institutions of the state are preserved and made available for consultation (IRMT 1999:8). Nevertheless, the National Archives and Records Management Act defines archives as the whole documents in any form and date, regardless of their medium. Enduring value documents are preserved by a juridical or physical person or organization specializing in the conduct of affairs for reference, sources of information or evidence. The Act also identifies two categories of archives, namely the State archives and private archives. The state archives are defined as the whole documents created and received by a public government body in pursuance of legal obligations or in the transaction of business. This includes private archives that are responsible for public services (Moçambique 2007:23-22). On the other hand, the private archives are defined as documents created and received by a juridical or physical person of private affairs in pursuance of legal obligations or in the transaction of business. These documents might or might not be under the custody of public institutions (Moçambique 2007:23-22). While the IRMT

(1999:4) explains that “Archives are records, usually but not necessarily non-current records, of enduring value selected for permanent preservation, archives will normally be preserved in an archival repository”. On the other hand, the ICA (2015:1) defines archives as the whole of the documents made and received by a juridical or physical person or organization in the conduct of affairs, and preserved. According to ICA (2016:1), archives are an incredible resource. They are the documentary by-product of human activity and as such are an irreplaceable witness to past events, underpinning democracy, the identity of individuals and communities, and human rights. However, they are also fragile and vulnerable. All of the above authors argue that archives are the whole documents of enduring value that are preserved for over time.

1.7.2 Archives management

It is important to note that archives management is understood as the management of the professional area of expertise that is concerned with the maintenance and use of the archives (IRMT 1999:4; IRMT 2009:7). It is also known as archival administration. By contrast, the National Archives and Records Management Act refers to archives management as the management of permanent records under the custody of the Mozambique Historical Archives. In addition, the National Archives must be preserved for public access over time, respecting confidentiality and privacy issues (Moçambique 2007:22-24). Overall, within the body of researchers there is consensus that archives management is the administration of permanent records. For this study the archives management is the management of permanent records that are preserved and made available to users by an archival repository or a national archives (Moçambique 2007:22-24).

1.7.3 Records

A record is a document regardless of the form or medium created, received, maintained and used as evidence and information by an organisation or an individual in pursuance of legal obligations or in the transaction of business (ISO 2001:3). It is also regarded as a complete set of information contained within a database which holds records “composed of fields, each of which contains one item of information” (IRMT 1999:19). There are four types of recording media such as

paper, electronic, audio-visual or microfilm (Ngoepe 2008:10), but archival science does not consider a published book as a record. It is regarded as a record in librarianship and a source of information as well. In fact, information selected from it and reused in a new context may itself become a record (IRMT 1999:7). Therefore, records offer a picture of something that happened. According to IRMT (1999:8), records are mainly characterized by being static in form, unique, authentic and having authority. (This issue is explained in detail in the section 4.3.4 of Chapter four). As was observed above by ISO (2003:3), for the purpose of this study, the term record is defined as a document regardless of the form or medium created, which is received, maintained and used as evidence and information by an organisation or an individual in pursuance of legal obligations or in the transaction of business.

1.7.4 Records management

There is not one single definition of the records management term. According to the ISO (2001:3), records management is defined as “the efficient and systematic control” of records from their creation to their disposal “including processes for capturing and maintaining evidence of and information about” organisational business activities and transactions in the form of records. Kemoni (2008) argues that this definition is not accepted universally. On the other hand, Ngulube (2000:164); Wallace (1987:2); and Yusof & Chell (1999:10) define records management as a process by which an organisation manages all the elements of records, whether externally or internally generated, in any format or media type, from their receipt all the way through to their disposal. Other sources maintain that records management is viewed as a “process of controlling organisational information from creation through to its final disposition” (Place & Hyslop 1982:4). Overall, there is consensus among the researchers that records should be managed from creation to disposal. Based on the above definition given by ISO (2001:3) and Van Garden (2003) for the purpose of this study, records management is defined as the systematic control of records through the entire life cycle of records management processes that include records capture, records classification, records storage, records preservation, records access, records tracking and records disposal. For more details see Table 1.2 on the description of each records management process.

Table 1.2: Description of records management processes (Van Garden 2003)

Records management processes	Process description
<ul style="list-style-type: none"> Records capture 	Assigning a unique identifier to records.
	Entering, copying metadata into a record profile.
	Identifying business information as records and putting them aside for future use and reference.
<ul style="list-style-type: none"> Records classification 	Assigning a code, number or index term that can be used to retrieve the record.
	Assigning a disposal authority that can be used to determine the record's retention period and its eventual destruction or preservation.
	Assigning a security classification code to determine who may access the records and under what conditions.
<ul style="list-style-type: none"> Records storage 	Providing a reliable storage location.
	Protecting the integrity of records ensuring that they are not altered or tampered with.
<ul style="list-style-type: none"> Records preservation 	Implementing a preservation plan including e-records to protect the long-term usability of the records.
	Anticipating technology obsolescence and media degradation
<ul style="list-style-type: none"> Records access 	Providing records users with search, retrieve and display tools.
	Enforcing records access and security restrictions.
<ul style="list-style-type: none"> Records tracking 	Tracking the current custody and location of records.
	Maintaining audit trails on the access and use of the records.
<ul style="list-style-type: none"> Records disposal 	Establishing version control and differentiating originals from copies.
	Appraising groups of records and assigning them a common retention period and final disposal for preservation or destruction.
	Identifying and monitoring the retention period for records and triggering a disposal event when the retention period expires.
	Transferring records to semi-current or archival repository for storage.
	Securely destroying records

1.8 Demarcation and scope of the study

This study focussed on the assessment of the conformity with the requirements of the Archives and Records Management Act, including policy, procedures and tools issued for its implementation at EMU. In addition, it assessed the capacity of EMU as a government public agency in Mozambique through the MHA to achieve the best practices and processes in archives

and records management beyond the minimum requirements, pointing out the challenges and perspectives at EMU in order to put a sound archives and records management programme in place. With regard to the international overview of the records management practices, the approaches outlined by the International Council of Archives (ICA), the International Records Management Trust (IRMT) and the International Standard Organisation (ISO), together with the regulatory environment of archives and records management in the public sector in Mozambique, will be discussed.

This research project has explored the records survey parameters in line with the intended goals of achieving acceptable records management practices at EMU. The records survey was limited geographically to 46 current and semi-current storage areas of academic, research, directorate and special units situated in Maputo City. Other EMU units such as those located in Inhaca in Maputo City, Chibuto in the Gaza Province, Vilanculos and Inhambane City in the Inhambane Province and Quelimane in the Zambezia Province, were not included. The results, however, could not be generalised. Furthermore, published sources including textbooks, journal articles and other unpublished dissertations and electronic and digital sources were retrieved from the Internet and examined.

1.9 Research methodology

The research methodology is a crucial aspect of a research study. Therefore, it is essential for a detailed description of the methodology used in a research study to include the research design, the research approach, the data collection tools, study population and sampling, reliability and validity of data collection tools, ethical considerations and evaluation of the research methodology.

This study adopted a quantitative research approach (Babbie, Halley & Zaino 2003:16; Mouton 2001:48; Mitchell & Jolley 2004:180) with triangulation of data collection instruments to find the answers to the objectives (Nachmias & Nachmias 1996:226). The self-administrated questionnaires, as the principal instrument of data collection, was supplemented by document analysis. In undertaking this study, the researcher investigated records management trends at a

specific public government institution, namely, EMU. More comprehensive details on research methodology are discussed in Chapter Three.

1.10 Outline of the study

This study is divided into six chapters as follows:

Chapter one contains introduction, a brief historical background to archives and records management in Mozambique, the problem statement, the purpose of this study, the importance of and justification for the study, definition of the key terms, the demarcation and scope of the study and the description of the research methodology.

Chapter two deals with the literature review by presenting an overview of the role of the Archival and Records Management Act in the public sector in Mozambique. It also analyses the general provisions of an archival and records management act in the public sector, highlighting the following issues: the subject area and studies carried out worldwide, problematic issues and proposed solutions, the existing theories and models, the tasks of the national archives, and finally, some considerations on the reviewed literature.

Chapter three describes the research methodology of this study where the research design and research approaches are given particular attention. Accordingly, data collection tools, data analysis, study population and sampling, reliability and validity of data collection, ethical considerations and evaluation of the research methodology are analysed as well.

Chapter four focusses on the presentation and data analysis.

Chapter five is concerned with interpretation and discussion of the research findings of the study.

Chapter six presents a summary of each chapter, including conclusions with reference to the research objectives and problem statement of the study. Finally, it provides key recommendations for future developments.

1.11 Summary

This chapter has given an introduction and background to the study, highlighting the role of the National Archives and Records Management Act and its related complementary legislation, particularly at EMU in Mozambique.

The purpose, importance and justification, key terms, demarcation and scope of the study, research methodology, outline of the study and summary of the study have been explained.

The next chapter presents the literature review with an overview of the role of the Archival and Records Management Act in the public sector.

CHAPTER TWO

LITERATURE REVIEW: AN OVERVIEW OF THE ROLE OF THE ARCHIVES AND RECORDS MANAGEMENT ACT IN THE PUBLIC SECTOR

2.1 Introduction

The previous chapter presented a brief historical background with regard to archives and records management in Mozambique, as well as the problem statement, the research objectives, the purpose of the study, the importance and justification of the study, definitions of key terms, the demarcation and scope of the study, the research methodology, the outline of the study and a summary. Following on from this, it is appropriate to bring the reader up to date with the previous research on the implementation of the national archives and records management act in the public sector. The first step is to encapsulate the chosen topic into a research objectives to examine the contemporary literature. In this way the researcher demonstrates what the literature states about the proposed topic (Neuman (1997:122; Kemone 2008:1004). This point of view is supported by Babbie and Mouton (2001:565), who argued that the researcher should indicate where the study fits globally in the context of the related literature within the general body of scientific knowledge.

This chapter presents the literature review in accordance with the views expressed above. It provides a description of the following aspects: the legislative and policy framework for the management of records; records classification systems; security and physical protection of records; access to records; skills and training in records management; records appraisal and disposal processes. Furthermore, this chapter analyses digital records and senior management support for records management activities.

The literature review of this study was based on the research objectives which were to throw light on the following elements: records management policies and procedures, classification systems, Security and physical protection of records, access to records, skills and training in records management, appraisal and disposal of records, digital records and senior management support for records management activities.

2.2 Legislative and policy framework for the management of records

Over the years several countries in the world have developed archival legislation at different times, usually in the form of a national archives act (Matongo, Marwa & Wamukoya 2013:1). The greatest contribution to archival legislation however, came from the French, from 1289 to 1794 (Olunlade & Adebayo 2009:175).

The French Revolution of 1789 established the first French Parliamentary Archives Office. Its duty was simply to assemble and preserve all documentary evidence (Olunlade & Adebayo 2009:175). It is argued that the French Act No. 37 of June 1794 on the *organisation des Archives des la Republique*, gradually introduced the new functions of archives. This act has become a standard for the establishment of national archives worldwide emphasizing the need for archival and records legislation. As a result, many countries have enacted a significant number of archival and records acts, from 1834 to 1967 such as the following: Public Records Act of 1834 in England, Public Records Act of 1912 in Canada, Public Records of 1934 in USA, Public Archives Act of 1955 in Ghana, Public Archives Act of 1957 in Nigeria, Public Archives Act of 1965 in Serra-Leone, Public Records Act of 1967 in Gambia and Archives Act of 1983 in Australia. According to Matongo, Marwa and Wamukoya (2013) and Ngoepe and Saurrombe (2016:28), this evolution and development of archival and records legislation for the Eastern and Southern Africa Regional Branch of the International Council on Archives (ESARBICA) from 1964 to 2001 is reflected on Table 2.1 as follows:

Table 2.1: National archives legislation in the ESARBICA region Source: (Matongo Marwa & Wamukoya 2013:4-9; Ngoepe & Saurrombe 2016:28; Dulley 2017:231-232; Angola 2009:2762)

ESARBICA Member Countries	Enacted National Records and Archives Act	Year of the Act
Angola	Records and Archives Act No 51	1938 amended in 1966, 2002 and 2009
Botswana	Botswana Records and Archives Act	1978, amended in 2007
DRC	N/A	N/A
Kenya	Public Archives and Documentation Service Act	(CAP 19) of 1965, amended in 1990 and

		2003
Lesotho	Lesotho Archives Act	1967
Madagascar	N/A	N/A
Malawi	Records and Archives Act No 12	1975, amended in 1987 and 1989
Mauritius	N/A	N/A
Mozambique	Records and Archives Act No 36	1934, amended in 1992 and in 2007
Namibia	Records and Archives Act No 12	1992
Seychelles	N/A	N/A
South Africa	Records and Archives Act No 43	1922 amended in 1950s, 1960, 1996 and in 2001
Swaziland	Swaziland Archives Act	1971
Tanzania	Records and Archives Act No 33	1965, amended in 2002
Uganda	National Records and Archives Act	2001
Zambia	Zambia Records and Archives Act	1964
Zimbabwe	National Archive of Zimbabwe Act No 8	1935, amended in 1958, 1963 and 1986

From the above historical account, the profound influence of the French archivists on modern archival science, can be seen not only in the establishment of national archives, but also in the defining of the legal and regulatory framework for archives and record management worldwide. In Mozambique research contributions have come from Inhangumbe (1999:56); Nharreluga (1999:83; 2006:189); Silva (2000:73); and Monteiro (2000:79). These earlier studies were generally on archives and records management in the public sector concentrating mostly on the Archives and Records Management Act No. 33 of 1992, which was updated in 2007. The studies mentioned above mainly focussed on access to public information, records appraisal and disposition, legislation and regulations, the role of the national state archives system and e-government. Nevertheless, those studies do not analyse the archives and records management changes due to the effects of the new Archives and Records Management Act and its promulgated regulations that have occurred from 2007 to the present. Although EMU is also a public organisation, no studies have been conducted specifically on university records and archives management issues.

It is regarded as unfortunate that most of the above mentioned archival and records legislations do not include electronic records (Matongo, Marwa & Wamukoya 2013:1). Further problems occur when there is a lack of stewardship and coordination in handling not just paper but also

microfilms, audio visual and electronic records as well as the recent phenomenon of record keeping in the cloud. The absence of organisational plans for managing electronic records, poor security and confidentiality controls and the absence of migration strategies for electronic records also hampers efforts to modernize. Furthermore, apart from archival legislation in South Africa that makes provisions for the management of electronic records, the archival legislation of other countries in the ESARBICA region has remained silent on whether electronic records can be admissible as evidence in a court of law through proper management and preservation (Ngoepe & Saurombe 2016:24). Matongo, Marwa and Wamukoya (2013:3) observe that the existing archives and records management legislation mainly focusses on the preservation of archives, neglecting the digital environment.

In the ESARBICA region, which includes countries such as Kenya, Malawi, Zambia, Zimbabwe, Botswana, Lesotho, Swazilandia, Tanzania, Namibia, South Africa and Uganda, a significant number of academic studies and researched works on records management issues have also been carried out, for example, by Ngoepe and Saurombe (2016); Chebani (2005); Ngoepe (2008:160); Kemoni and Ngulube (2007); Ngoepe and Van der Walt (2009); Ngoepe and Ngulube (2011); Mzerah (2013); Tsabedze, Mutula and Jacobs (2012); Okelo-Obura (2012); Keakopa (2013); Nengomasha (2013); Kamatula, Mnkeni-Saurombe and Mosweu (2013) to mention just a few. In these studies, the findings are specifically related to the implementation of records management programmes in both manual and electronic environments according to Githaka (1996:16); Kulcu (2009:104-105); Ombati (1996:51-52); Kemoni and Ngulube (2008:304); Ngoepe and Keakopa (2011:157-158); Dube (2011:288-289). The key factors identified by these studies are as follows: a) 'inflexibility of archival legislation in the face of the changing nature of records in the digital era'; b) 'most African countries legislative frameworks are based on at least two of three major legal frameworks of the common law, the civil law and African indigenous law'; c) a lack of an integrated approach for the archives and records management program, which encompasses legislation and regulations, policies, standards, structure, procedures and tools from records creation to disposal. Furthermore, there is a lack of sufficient funding, equipment, trained and qualified staff and strategic planning. As a result, countries such as Zimbabwe, Namibia and Lesotho are still struggling with the implementation of their national archives and records management act (Ngoepe & Keakopa 2011:146; Chaterera 2013:89). However, with the advent

of new technologies there has been a belief that the introduction of electronic systems would lead to a solution for record keeping challenges (Ngoepe & Saurombe 2016:25). Besides the obvious advantages brought by new technologies in records keeping, studies done in many regions of the world have shown that it also brings its own tremendous challenges that can only be solved with specific regulations, particularly regarding digital systems in the creation, maintenance and preservation of records (Ngoepe & Saurombe 2016:25).

In many countries around the world, but particularly in the ESARBICA region, the public sector record-keeping systems are collapsing. Those systems are unable to cope with the growing number of records. This means that created records are poorly managed or disorganised, resulting in negative consequences for all citizens (IRMT 2000:2; Nengomasha 2013:2). Public and private business organisations continually face certain risks (Ngoepe 2014:1) and these can include such issues as the lack of organisational business evidence, loss of proof of ownership, rights and obligations and lack of documentation of who knew what and when, as well as loss of collective, corporate and personal identity (Ngoepe 2014:4).

Thus, there are many challenges that have brought a negative effect on the records keeping systems. These include a lack of adequate records storage, limited financial resources, a lack of trained records managers and professional development opportunities, and a lack of records management policies that includes legislation, regulations, standards and best practices. Even when these issues have been resolved, there can be a failure, not just in implementing the policies, but also in following basic procedures such as the implementation of a classification scheme or filing systems and adherence to retention and disposal schedules throughout the entire life cycle of records in both manual and electronic environments (IRMT 2000:2; Nengomasha 2013:2). Moreover, these factors are associated with the administrative instability of public sector organisations whose office names and functions have also been changing over time. For example, the National Archives of Namibia has collected records from public central departments and agencies without following proper procedures (Nengomasha 2013:3). Furthermore, the lack of authoritative and effective policies and procedures for controlling records has led to congestion in the registries. As a consequence, the administrative, financial and legal information that supports both sound decision-making and delivery particularly of

public services, such as the records of birth and citizenship, property ownership, social grants, education and health care, that ensure both the accountability and protection of citizen's rights, is made difficult in terms of the retrieval and identification and selection of records with ongoing utility or enduring value. As a result, valuable office storage space is wasted on records of no real value (IRMT 1999:4; Ngoepe 2008:1; Kabata & Muthee 2013:3). These are the risks emanating from either poor records or a lack of records management in organisations (Ngoepe 2014:4).

According to Kabata and Muthee (2013:1), it appears that there is likely to be a lack of legislation governing the management of records during the initial stages of their life cycle (Kabata & Muthee 2013:1). The archives and records legislation must be in place for effective and efficient management and this statement is supported by Ngoepe (2008:5), who argues that an effective records management programme is an essential element for the governance of any organization. Thus, legislation and related standards and best practices are applied for records creation determined by organisation business activities (ISO 2001:5).

In the ESARBICA region particularly, there are other key problems that affect the management of records and archives apart from the absence of legislation, regulations, standards and procedures governing records and archives management. Nengomasha (2013:40-44) highlights the following problems: the low awareness of the role of records management in supporting organisational efficiency and accountability, the absence of funding for the records and archives management function within an organisation and the lack of core competencies in records and archives management.

A poor archives and records management act is not an isolated problem that can have a negative impact on the organisation's business performance. In fact, adherence to the act is the prerequisite for effective and efficient implementation of an archives and records management programme within an organisation. There are other important related challenges that need to be taken into account in the development of an effective risk management framework, not only to provide services to citizens, but also to ensure accountability within the government and between the government and its citizens, and to protect their rights as well.

2.3 Records classification systems

Classification is regarded as a records management process. According to ISO (2001:13), business activities are the content of this classification. It assists the organization in the retrieval of records (Keakopa 2013:41). However, most organizations often do not apply classification systems in the management of their records (Keakopa 2013:41). As classification systems reflect the organization's business, they can be used for any records management processes (ISO 2001: 14). To support this, the classification scheme for the National Archives and Records Management Act is attached with its corresponding retention schedules and classification scheme for classified information on common activities. Similar classification and retention tools for specific records must be designed by the central departments within the public sector. To complete this task, a list of general guidelines was produced and approved (Moçambique 2008:131-133) in order to ensure that not just the classification processes of records in the public sector are carried out in a systematic way, but also that public records are made available for any purposes complying with the National Archives and Records Management Act (Moçambique 2007: 131). The classification issues are among those stated by archives and records legislation. (See the section 1.1, which refers to the objectives of the MHA at EMU regarding the implementation of the National Archives and Records Management Act).

2.4 Security and physical protection of records

Security is an aspect which deals with the safety and security of records and information managed by a particular system. According to Ismail and Jamaludin (2009:140) and Ndenje-Sichalwe, Ngulube and Stilwell (2011:272), the system and its infrastructure needs not only to be safeguarded against any hazards that may damage or destroy the records, but also to be controlled and protected to avoid alterations, misinterpretations or loss of the records. In addition, the system must also include control measures to monitor access, verify users, and ensure authorised disposal and security. The integrity of records needs to be maintained through appropriate security measures which guarantee that the integrity of organisation records is not affected by the system's malfunctioning, upgrading and regular maintenance (ISO 15489-1 2001; Ndenje-Sichalwe, Ngulube and Stilwell 2011:272).

As Ngoepe (2008:20) stated, it is essential to develop a number of activities which ensure that records are not altered or tampered with and their integrity is maintained. Such measures involve the implementation of a preservation plan that also addresses matters related to e-records, anticipating the particular technology's obsolescence or media degradation. With such a plan in place, the long-term usability of the records as well as the provision of a reliable storage location is secured. Information stored in an electronic medium should therefore be migrated to the new technology so that access will not prove difficult for future generations (Lott 1997:vi). With regards to integrity, the IRMT (1999:10) specifies that the security and authenticity of the records must be respected. In meeting this requirement, obsolete records must be controlled and destroyed in a timely fashion, while valuable records such as vital records must be identified and secured by making available a disaster preparedness plan together with a vital records schedule or records inventory to ensure preservation in an archives (Ngoepe 2014:10). As Chachage and Ngulube (2006:15) argued, there are a number of measures that can be used for easy control and tracking of records movement within the system. For example, the tracking system may be in a form of a movement book, cards, electronic file tracking, a spreadsheet, database computer application software, or generated by activities on a manual system as an audit trail (MoReq2 2008:163).

In other words, security and physical protection of records can be achieved through designing a system that safeguards records against any hazards, at the same time controlling and protecting records from any alterations and misinterpretations or loss. In addition, such a system would monitor access, verify users and authorise disposal. This record system also needs to ensure that the integrity and authenticity of records are not affected over time.

2.5 Access to records

Within the public sector, records are created daily and used for facilitating business operations. However, the government uses the records for specific purposes such as: documenting the work of employees, confirming pensions, leave and health benefits, confirming or reviewing policies, procedures, citizen's rights and for providing information about past actions or decisions taken.

These records document actions, decisions, rights and responsibilities and communicate information (IRMT 2000:16).

In many countries around the world, access to government information by both organizational staff and citizens is the subject of specific national legislation and regulations with regard to archives and records management. These include such items as freedom of information or the right of access to information, privacy legislation, data protection and information security (IRMT 2000:23; Matongo, Marwa & Wamukoya 2013:3). Nevertheless, some records categories may have an extended closure such as those related to national security, the maintenance of public order or safeguarding revenues, the confidence of third-party information and the private affairs of living individuals (IRMT 2000:31).

Apart from the above government records, enduring value is transferred and permanently preserved within public archival institutions. Thus, a range of users of the national archives and other archival institutions may be identified as follows: government representatives, professional or academic researchers, journalists, members of the public, donor and lending institutions and others that can request access to records either for information, scientific and cultural purposes or for solving a specific personal problem (IRMT 2000:16).

In short, it is crucial to have comprehensive, up-to-date, drafted archival and records legislation conferring the authority for the effective management of public records on the archival institution within the agencies of the state. Furthermore, this legislation provides the basis for effective and efficient quality civil services and service delivery, thus ensuring the accountability of decision-making, the protection of the rights of the citizens, policy formulation and political development. The government and citizens remain the key categories of users that may request the use of the records created in the public sector, at the same time complying with the existing archives and records management legislation and policies.

2.6 Skills and training in records management

The National Archives and Records Management Act requires the Central Director of the governmental body on records management to promote records management training for the staff in the public sector (Moçambique 2007:23). Nevertheless, this act does not give any

information regarding the designation of an official of the body who must be a records manager with the required qualification and working experience. In fact, the Central Director of the governmental records management body is responsible for ensuring that this body complies with the requirements of the Act (Mozambique 2007:5). This situation differs from the NARS Act. An official may be designated as a records manager, for example, if the official has successfully completed a university or technical qualification and possesses professional experience, as well as the successful completion of the NARS' Records Management Course. Another aspect to be considered is whether the official possesses sufficient knowledge of the organisational structure and records system, which would enable this person to promote an accountable management of the body's records and ensure that each body's records comply with the Act and all other relevant legislations.

Despite the above provisions, records managers in South African governmental bodies are appointed at low levels, such as registry and records clerk (Abbot 2001:66). These officials are unable not only to formulate and implement overall records policies, but also to tackle the issues presented by electronic records (Kirkwood 2000:5). Yusof and Chell (1998:26) point out that the obvious way for records managers to enhance their resourcefulness is through education and training for the updating of their skills through workshops, vendor-sponsored programmes, professional seminars and college or university-level courses. However, Ngulube (2003:168) observed that the development of a records management course into a distance-learning qualification would be better suited to a wide range of students.

In Mozambique there are a great many records management practitioners in the public sector with no opportunity of training. Some training in records management initiatives have been held, but these have remained insufficient at national level. There is no objective criteria related to the selection of employees who should attend the records management course (CEDIMO 2007:7) and therefore there continues to be only a few qualified records managers. The historical trends show that when the idea of offering formal archival training was put forward in the 1980s by the MHA, the EMU showed interest in taking up the challenge by approving a graduate curriculum for History with specialization in Documentation (Costa 1987:6).

From 1983 to 1985, the first eleven students were graduated from the above course. The Swedish Government, through the Swedish Agency for Research Cooperation with Developing Countries

(SAREC) financed the course (Costa 1987:6). The candidates of the course would have come from either a History or other Social Sciences background. Parallel to that course provided by the EMU Department of History, a single formal academic programme in Archival Science at EMU was launched in 2009. This is a graduate course in the Information Science Department. Another course is Library Studies, which resulted from a revision of the curriculum that took place in 2015, whereby these two courses were split into two different graduate courses, produced and administered by the Department of Information Sciences. The former umbrella of Information Science used for the two courses was removed.

Another two related courses were set in motion, namely, the Graduate Diploma in the Library and Documentation programme, opened to the public by the Higher School of Journalism, and a technical Documentation Sciences programme launched in 2000 by CIDOC through the Act No 130/2000 (Calbe 2003:72). The latter course includes records management issues. Further training opportunities the Department of Public Administration and Political Science at EMU, together with IMAP and ISAP. This additional educational development offered a graduate course in public administration with a module on information management in the public sector and a technical course on records management, respectively.

Apart from the courses offered in the Department of Public Administration and Political Science of EMU and at IMAP and ISAP, records management modules are not taught at other existing public and private universities. However, despite the existing opportunities mentioned, most record management practitioners in the public sector in Mozambique have not received any formal training in records management. In addition, these practitioners do not possess any particular skills in the management of electronic records (CEDIMO 2007:7).

Meanwhile, it must be noted that the MHA did not totally withdraw from the training arena, as it still provides training to records managers employed by governmental bodies. It offers official short training courses on records management four times a year for periods of three months each. However, it is argued that the provision of education for records managers in Mozambique remains inadequate. Most of the staff that need to get qualifications in Archival Science at undergraduate level are obliged to travel to Maputo because other provinces across the country do not provide such courses. Furthermore, there are no courses in information studies at masters and doctorate levels to accommodate archival science and records management personnel. A few

existing qualified staff completed their post graduate courses abroad in Brasil, Portugal, the UK, France and lately South Africa.

2.7 Records appraisal and disposal processes

In many countries around the world, particularly in the ESARBICA region, the public sector record-keeping systems are collapsing. These systems are unable to cope with the growing number of records. This means that created records are poorly managed or disorganised, resulting in negative consequences for all citizens (IRMT 2000:2; Nengomasha 2013:2). Public and private business organisations continually face certain risks (Ngoepe 2014:1) and these can include such issues as the lack of organisational business evidence and documentation to show the identity of the staff holding the information and when this was acquired, as well as the loss of proof of ownership, rights and obligations and collective, corporate and personal identity (Ngoepe 2014:4).

Thus, there are many challenges that have had a negative effect on the records keeping systems. These include a lack of adequate records storage, limited financial resources, a lack of trained records managers and professional development opportunities, and a lack of records management policies regarding legislation, regulations, standards and best practices on appraisal and disposal of records. Even when these issues have been resolved, there can be a failure, not just in implementing the policies, but also in following basic procedures such as the implementation of a classification scheme or filing systems and adherence to retention and disposal schedules throughout the entire life cycle of records in both manual and electronic environments (IRMT 2000:2; Nengomasha 2013:2). Moreover, these factors are associated with the administrative instability of public sector organisations whose office names and functions have also been changing over time. For example, the National Archives of Namibia has collected records from public central departments and agencies without following proper procedures (Nengomasha 2013:3). Furthermore, the lack of authoritative and effective policies and procedures for controlling records has led to congestion in the registries. Where this happens, it is necessary for administrative, financial and legal information to support both sound decision-making and particularly delivery of public services, such as the records of birth and citizenship, property ownership, social grants, education and health care, which ensure both the accountability and

protection of citizen's rights. Inefficiency in the retrieval and identification and selection of records with ongoing utility or enduring value becomes a difficult procedure. Valuable office storage space is also wasted on records of no real value (IRMT 1999:4; Ngoepe 2008:1; Kabata & Muthee 2013:3). These failures and inconsistencies emanate from either poor records or a lack of records management in organisations (Ngoepe 2014:4).

According to Kabata and Muthee (2013:1), it appears that there is likely to be a lack of legislation governing the management of records during the initial stages of their life cycle (Kabata & Muthee 2013:1). Archives and records legislation must be in place for effective and efficient management and this view is supported by Ngoepe (2008:5), who argues that an effective records management programme is an essential element for the governance of any organization. Thus, legislation and related standards and best practices should be applied to records creation, which is determined by organisation business activities (ISO 2001:5).

In the ESARBICA region particularly, there are other key problems that affect the management of records and archives, apart from the absence of legislation, regulations, standards and procedures governing records and archives management. Nengomasha (2013:40-44) highlights the following problems: the low awareness of the role of records management in supporting organisational efficiency and accountability, the absence of funding for the records and archives management function within an organisation, and the lack of core competencies in records and archives management.

A poor archives and records management act is not an isolated problem that can have a negative impact on an organisation's business performance. In fact, adherence to the act is the prerequisite for effective and efficient implementation of an archives and records management programme within an organisation. There are other important related challenges that need to be taken into account in the development of an effective risk management framework, not only to provide services to citizens, but also to ensure accountability within the government and between the government and its citizens, and to protect their rights as well. In these cases, absence of records management rules and guidelines for records appraisal and disposal has caused staff to become reluctant to authorize the destruction of records (Ramokate & Moatlhodi 2010:74-75; Ngoepe 2013:166-167).

2.8 Management of digital records

It is regarded as unfortunate that most of the ESARBICA archival and records legislations mentioned in table 2.1 of section 2.2 of chapter two of this study do not include digital records (Matongo, Marwa & Wamukoya 2013:1). This was also confirmed by Keakopa (2013:43), who stated that the management of digital records remains a challenging issue for the information professionals in the ESARBICA region. Further problems occur when there is a lack of stewardship and coordination in handling not just paper, but also digital records. The absence of organisational plans for managing digital records, poor security and confidentiality controls and the absence of migration strategies for digital records also hampers efforts to modernize. Matongo, Marwa and Wamukoya (2013:3) further observe that the existing archives and records management legislation mainly focusses on the preservation of archives, neglecting the continuum approach of records management. Moreover, the modern technology issues are becoming important for archival legislation also. For example, Australia, Sweden, and Italy and other highly computerised countries have revised their archives and records management acts. As a result, the concept of 'records' was redefined to include machine readable records (Olunlade & Adebayo 2009:175).

In the ESARBICA region, which includes countries such as Kenya, Malawi, Zambia, Zimbabwe, Botswana, Lesotho, Swazilandia, Tanzania, Namibia, South Africa and Uganda, a significant number of academic studies and researched works have also been carried out, for example, by Chebani (2005:144); Ngoepe (2008:160-161); Kemoni and Ngulube (2007:135-136); Ngoepe and Van der Walt (2009:132-133); Ngoepe and Ngulube (2011:16-17); Mzerah (2013:110-111); Tsabedze, Mutula and Jacobs (2012:49); Okelo-Obura (2012:95); Keakopa (2013:39); Nengomasha (2013:46); Kamatula, Mnkeni-Saurombe and Mosweu (2013:131). In Mozambique research contributions have come from Inhangumbe (1999:56); Nharreluga (1999:83; 2006:189); Silva (2000:73); and Monteiro (2000:79).

In the above studies, the findings are specifically related to the implementation of records management programmes in both manual and digital environments and this has also been raised by Githaka (1996:16); Kulcu (2009:104-105); Ombati (1996:51-52); Kemoni and Ngulube (2008:304); Ngoepe and Keakopa (2011:157-158); Dube (2011:288-289). The key factors

identified are as follows: a lack of an integrated approach for the archives and records management programme, which encompasses legislation and regulations, policies, standards, structure, procedures and tools from records creation to disposal. Furthermore, there is a lack of sufficient funding, equipment, trained and qualified staff and strategic planning (Githaka 1996:7; Mnjama 1996:29; Moyo 1996:41; Mnjama 2004:47-49; Kemoni & Ngulube 2008:304; Keorapetse & Keakopa 2012:24-25; Ngoepe & Ngulube 2013:8; Wamukoya & Lowry 2013:159; Ngoepe & Ngulube 2013:8; Ngoepe & Ngulube 2014:148). As a result, records are not available for the users for a range of purposes. In this regard, many universities around the world have also been facing similar records management challenges (Iwhiwhu 2005:354; Chinyemba & Ngulube 2005:15-16; Kulcu 2009:102-103; Okelo-Obura 2012:95-96). For example, countries such as Zimbabwe, Namibia and Lesotho are still struggling with the implementation of their national archives and records management acts (Ngoepe & Keakopa 2011:146; Chaterera 2013:89).

2.9 Senior management support for records management activities.

The records management concept was defined in section 1.8.4 of chapter one, where its related processes and activities were also pointed out, particularly in matters concerning records creation to records disposal. According to ISO (2001:5), these activities or processes require specific needs to be identified so that responsibilities and authorities can not only be defined but also assigned and promulgated within an organization. It is clear who is responsible for taking the necessary action (ISO 2001:5).

ISO (2001:5) claims that specific leadership responsibility for records management should be assigned by law, rather than be the duty of employees and others who are creating records as part of their work within an organization. According to Ngoepe (2014:7), some public government agencies do not function effectively despite the availability of records and archival legislation. Furthermore, Ngoepe (2014:7) argued that having legislation and not implementing it is as good as not having it. Lack of implementation is partially due to the fact that most archival legislation in Africa is not budgeted for (Ngoepe & Saurombe 2016). Therefore, the main challenge for the public sector in Mozambique is to ensure that the National Archival and Records Management Act, governing the records and archives management within the

University, is implemented (Moçambique 2007:22-28). However, public agencies in Mozambique, including the EMU, have been struggling to implement the requirements of archival legislation with regard to records management. The lack of top senior management support on records management practices is seen by Ngoepe and Ngulube (2014:136) as the main problem relating to the low level of implementation of records management in a systematic and organized way. In other words, besides defining, assigning and promulgating the responsibilities and authority to individuals through law, the archival legislation should obtain support from senior management within an organization in order to arrive at the costs.

2.10 Summary

Overall, this chapter deals with the literature review. It demonstrated that a national archives and records management act makes both administrative and technical provisions. It is therefore, essential that national archives institutions, in respect of their own assigned activities and public duties, have to play a key role in the successful implementation of a national archives and records management act in the central state departments and government agencies regardless of their established organisational structure (IRMT 1999:17). Nevertheless, their role may be impaired by an existing act which is ineffective and inefficient. The main challenges are related to poor compliance with records retention legislation and a lack of skilled and knowledgeable personnel to support modern records and archives programmes (IRMT 1999:13) that could support the general organizational management (Isa 2009:133). These need to be in order, to ensure the compliance with an archives and records management act. Other important factors include the effectiveness and efficiency of the management of records from creation to disposal, the protection and preservation of the national archival collective memory and the access to information in the public sector. This chapter has provided an international overview of the role of an archives and records management act in the public sector, based on the historical perspective and demonstrating its evolution and developments over time.

Apart from that, an overview of the National Archives and Records Management Act in Mozambique was also presented, and the processes that lead to the implementation of a uniform and standardized records management systems in the public sector was described. Challenges

emanating from poor records management were identified and discussed. The academic and administrative structure established that ensure good governance at EMU were also presented.

The next chapter analyses and justifies the research methodology utilised in this study.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

The previous chapter analysed the literature review in an overview of the National Archives and Records Management Act, both in the public sector and specifically in Mozambique, with particular attention to the EMU. In Section 1.10 the research methodology was discussed briefly.

This chapter covers the following: the research design, the research approach, the data collection tools, the study population and sampling, the data analysis and presentation, reliability and validity of the data collection tools, ethical considerations and evaluation of research methodology (Babbie, Halley & Zaino 2003:16; Mouton 2001:48; Mitchell & Jolley 2004:180; Nachmias & Nachmias 1996:226) as reflected in Figure 3.1.

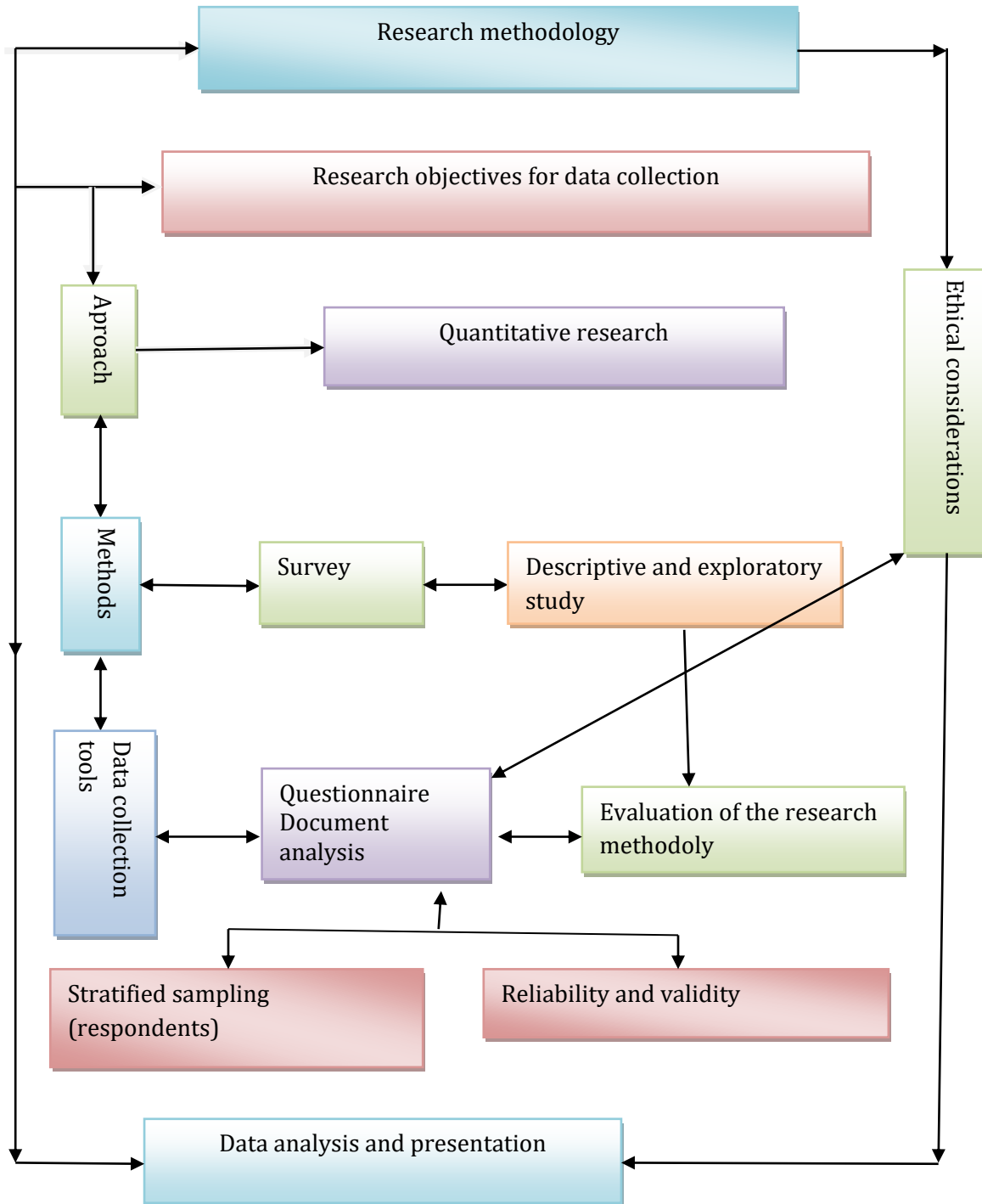


Figure 3.1: Methodological and theoretical key issues covered by the study

3.2 Research approaches

Researchers face a dilemma with regard to choosing a suitable research approach for their studies (Bryman 2004:36). The selection of research approaches is based on the objectives about the methods used, the statistical analyses used, the conclusions and the research goals. Quantitative, qualitative and mixed method research strategies are the approaches in social and humanity studies (Johnson & Onwuegbuzie 2004:14). Any of these research approaches can be adopted in social and humanity studies (Plano Clark 2007:28). Therefore, this section discusses the qualitative, quantitative, and mixed method research approaches by analysing their merits and demerits respectively.

According to Bahari (2010:22), the qualitative research is intensive. It is often used to describe and understand a social or human phenomenon from multiple perspectives (Punch 1998:233; Leedy & Ormrod 2005:94) by gathering information from respondents and developing this information into themes. It is also seen as an inductive approach (Saunders, Lewis & Thornhill 2007:17). Due to its complexity in the understanding of the subject matter under investigation, questions are raised by the users about the relationship between measured variables in order to explain, predict and control the phenomena (Leedy & Ormrod 2005:94; Tashakkorri & Teddie 2009:219). This method includes four processes, namely: observations of the phenomenon that is the subject of the recording classification of data collected, followed by its analysis (Taylor, 2000:64). What is more, the data collected by means of qualitative methods in its natural context and the statements produced are analysed in the context of an extended answer over the total course of the interview (Flick 2004:8; Taylor 2000:90). As Creswell (2003:4) observed, there are certain problems, such as the impossibility of generalising the produced knowledge to other people or other settings, difficulties with testing the formulated hypotheses and theories and lower credibility of certain administrators and commissioners of programmes. Furthermore, there is the fact that qualitative research entails a more time-consuming data collection process and data analysis than is the case with quantitative research. There is also the fact that the results can be influenced by the researcher's biases.

The quantitative research method is an extensive (Bahari 2010:22) and also deductive approach (Tuli, 2006:101). It is often used in the humanities and other disciplines such as medicine and

captures the human meanings pertaining to social life, both experienced and understood by the participants. It provides valid and objective descriptions of the phenomenon under study (Taylor 2000:69) by carrying out research, inferring from existing theories, to determine whether the predictive generalisations of a theory are true (Walliman 2011:13; Silverman 2010:8). Furthermore, researcher bias does not influence the analysis and interpretation of the data. It is a descriptive, analytical or experimental research process that examines a situation and identifies the characteristics of a phenomenon and its correlations among other phenomena (Leedy & Ormond 2005:179).

When a researcher applies a quantitative approach, he/she can manipulate variables and control natural phenomena. In addition, constructed hypotheses are tested against the hard facts of reality. As this approach is based on standardisation during the data collection process and a comparative statistical evaluation, questionnaires must be structured in advance respecting the logical order of the questions. The possible responses to them and the conditions under which the questions are answered, should be kept constant for all the participants in the study (Flick 2004:9).

Patton (2002), suggests the following characteristics of the research method: objective data are collected by means of questionnaires from respondents, and the number of respondents who answered are counted. In addition, the respondents fill in the questionnaires alone in their own time because the researcher is not part of the process. A sample of population is chosen randomly to represent the whole population and so the focus of the reality is concise and narrow. It is also assumed that when a static reality is measured for developing a universal law, the reasoning is logical and deductive and the researcher strives for generalisation. It is also expected that the report is based on the statistical analysis of numbers and the setting is a highly controlled environment in contrast to the natural setting of qualitative research.

According to Creswell (2003), the disadvantages of quantitative research are as follows:

- The categories and theories used by a researcher may not reflect the understanding of local constituencies.
- If the researcher focusses on theory or hypothesis testing rather than on theory or hypothesis generation, the phenomenon might be missed by the researcher.

- The knowledge produced may be too general without any direct application to a specific case.

3.3 Research method

This study tries to understand the diverse range of contexts for record management processes, including access to information and service delivery to the academic community of the EMU as a whole. It also provides a detailed assessment of the state of implementation of the National Archives and Records Management Act at the university.

This study focusses on the public sector in Mozambique, and particularly on the EMU. The researcher used the survey research method to assessing the state of implementation of the National Archives and Records Management Act. Records surveys are a critical function in the management of public records. The records surveys or records management assessment are carried out to enhance proper records management practices in an organization ensuring that public government records are effectively preserved and accessible by citizens over time without unnecessary delays (Chaterera (2013:3).

3.4 Data collection tool

This study applied the quantitative research approach and used questionnaires as a data collection tool (Kothari 2004:96). Data collected through questionnaires was augmented through document analysis.

3.4.1 Questionnaire

As Creswell (2006) observes, there are different formats for questionnaires, namely: self-administered, online, postal or mail-based, interviewer-administered, telephonic or interview questionnaires. According to Creswell (2006), these are considered useful techniques for data collection. Apart from maintaining people's anonymity, the methods permit wider geographical contacts and facilitate the collection of large amounts of data and information which can be done in a relatively short space of time without any money constraints (Anderson & Poole 2001:17;

Bryman & Bell 2003:187; Mitchell & Jolley 2004:180).

The questionnaire is composed of both open-ended questions (other, specify, if not, why, if yes, why) and close-ended questions, thus representing an excellent comparison between closed and open-ended responses (Babbie & Mouton 2001:237). This study used a self-administered questionnaire as the principal data collection instrument (see appendix B for the example of the questionnaire used). Forty-four questionnaires consisting of nine questions were produced, containing a series of close-ended questions and combinations of some closed and open-ended questions. These questionnaires were to be completed by the same number of members of the academic community corresponding to the sampled population. Consequently, during February of 2017, The researcher distributed, 44 questionnaires to academic, research, directorate and special units at EMU. There was one questionnaire per unit that had to be completed by the unit's records manager, who performed the records management function and used the created and preserved records at the EMU, and return it to the researcher through individual e-mail addresses, the EMU e-mail services and other existing means. Those records were also used by students as the main external users of the services provided at the EMU. However, 35 out of 44 questionnaires were received by the researcher, representing 80% response rate. Only 9 (20%) questionnaires were not returned to the researcher by unit's records managers.

Stilwell (2004:1-2), Powell and Connaway (2004) and Neuman (2006) recommend that a questionnaire should be pre-tested before its application to avoid errors. However, to the same end, the tables and pie-charts of the quantitative data from the questionnaires appearing in the next chapter were further processed by using the statistical computer software, IBM SPSS Statistic 20 based on the formula, $f/(N35) = \pm 1 a \pm 4 (\%)$, to calculate the percentages and frequencies in the tables.

3.4.2 Document analysis

As Petty, NJ., Thomson, OP. and Stew, G. (2012b) observed, documentary evidence refers to written documents such as articles, textbooks, the minutes of meetings, photographs, drawings, pictures and television programmes. In addition, on-line sources were also explored, and the annual plans and reports and record surveys carried out by the MHA at EMU were analysed to reveal the status of records management in academic and administrative units.

Hence, the documentary sources were significant in the provision of evidence on records management practices and service delivery at EMU (Shepherd 2006:6).

3.5 Study population and sampling

This section deals with the concepts of 'population' in general and the 'target population' in particular. In accordance with the accepted view, this research study used a stratified sampling.

3.5.1 Target population

The definition of the population, before collecting the sample, is one of the major steps in survey design (Ngulube 2005a:46). A population is defined as the set of all elements sharing common attributes or characteristics that form the universe of a particular study of interest. Those elements with common attributes or characteristics may include units, objects, subjects, individuals and things. According to Black (1999:111); Babbie, Haley and Zaino (2003:112) and Welman and Kruger (2001:46), a study might focus on an organisation, but the researcher is still interested in the people belonging to that organisation. As Terre Blanche, Durrheim and Painter (2006: 133) have observed, population encompasses all the elements that make up our unit of analysis. Hence, the defined population is referred to as the target population (Mugenda & Mugenda 2012:245).

In this context, the target population of this study was composed of 59 units at EMU, under academic, research, directorate and special units, respectively. According to the organisational website that was used as a sampling frame, there were 17 academic units, (which included six polytechnic schools and 11 faculties), 15 research units, 20 directorate units and seven special units. The EMU units and 59 records managers from each unit were the targeted population. These records storage areas were relevant because they reflect the concept of life cycle of a record throughout a specific EMU unit.

3.5.2 Sampling methods

This section presents the justification of the chosen sampling technique of this study. It begins

with an explanation of when the non-random sampling and when the stratified and purposive sampling are used in a study. The researcher draws a sample by focusing on the population of the study (Bless and Higson-Smith 2000:84; Rowley 2002:19 and Nachmias and Nachmias 1996:201). The sample contains the selected members or part of the entire population and this is the sample size. However, Ngulube (2005a:130) argued that there are no rules for sampling size.

The results of the study may be affected by the sample size as well as the plan in terms of the type, level and generalisation of the study conclusion. Ngulube (2005a:132-134) and Marshal and Rossman (1995) pointed out that a small sample discourages readers from using the results. On the contrary, a large number in the sample gives the readers confidence in the results, but the management of this type of sample can be very expensive.

Although the sampling method determines the validity and reliability of the research conclusion, Leedy (1997:211) underscores that sampling is not necessary for a population that is not more than 100. This is supported by Terre Blanche, Durrheim and Painter (2006:49), who underline that in a research where the number of sampled participants is too small, it is not advisable to use random sampling because that sample may not be representative enough for the entire population of the study. This is also the case with a large number of sampled participants in non-random sampling. In this study all the units were targeted and stratified under academic, research, directorate and special units, respectively and then the respondents were selected purposively by looking at records management staff within the units.

In this section, the stratified and purposive sampling are described to show both the manageability and representativeness of the final sample of this research study. To ensure manageability and representativeness, 44 out of 59 EMU units were the target population of the study. The remaining 15 EMU units were not covered by the researcher because some are located very far from the Maputo city area, a distance of over 250 kilometres driving, and others were not covered by any initiatives with regards to the implementation of the National Archives and Records Management Act carried out within the EMU units from 2007 to 2016. Table 3.2 presents a list of the 15 academic, administrative, special and research units not covered by researcher as part of the target population:

Table 3.2: List of 15 EMU academic, administrative special and research units that were not covered by the researcher in the target population

Academic units	Special units	Administrative units	Reserch centers
School of Communication and Arts	Maritime Biology Centre of Inhaca Island	Office of Internal Audit	Study and Psychological Support Center
Faculty of Medicine		Office of Legal Affairs	Resource Center for Non-Formal Education
School of Higher Science for Maritime and Coastal Regions		Vice-Rector’s Office for Administration and Human Resources	International Center for Water Economics and Governance
School of Rural Development			Regional Center of Excellence for Studies in Engineering and Technology in Oil and Gas
School of Hospitality and Tourism			Center of Engineering Studies
School of Business and Entrepreneurship			

For further information see Appendix E: List of 35 academic, administrative and special units visited at the EMU and each unit’s records manager who completed the questionnaire.

3.6. Reliability and validity of data collection tools

Both concepts pertaining the ‘reliability’ and ‘validity’ of the research findings are crucial in this chapter of the study. These concepts are defined and discussed with an insight into the specific characteristics of existing research methodologies, that is the quantitative, qualitative and mixed methodology or triangulation methods. This study used a quantitative method.

3.6.1 Reliability

Reliability entails the stability and consistency of measurement (Sekaran 2003:203). It refers to a

particular technique that is applied repeatedly to the same object and the achieved result each time it is applied is still the same. This ensures both stability and consistency (Singleton & Straits 2010:130). The results can only be regarded as reliable if they can be repeated and managed constantly (Cohen, Manion & Morrison 2007:146). To achieve reliability of the research instruments, representative populations of the 46 EMU organic units were asked to inform the study. Related data was collected over a period of five months and the pre-testing of instruments by five records managers was also undertaken (Neuman 2006:188). Questions and instructions were formulated clearly in order to ensure both the consistency and reliability of results. The questionnaire was carried out on a small sample of five people with similar characteristics to the sampled population who were the people that were the respondents of the study. Consequently, the designed data collection tool of this study had to be surveyed out (Hernon & Schwartz 2009:73).

3.6.2 Validity

The concept of ‘validity’ is used more in quantitative research than in qualitative research (Golashafani 2003:598). It is concerned with the accuracy between an empirical measure and the real meaning of the concept under consideration (Babbie & Mouton 2001:122). The basis of this concept hinges on whether the results obtained are truthful or acceptable (Walliman, 2011:41). Consequently, if the conclusions of the research study are not reliable and correct, the research study is also not valid. In other words, to validate a research study, the conclusions must be correct and reliable when the findings are repeatable.

According to Kothari (2004) and Sekaran (2003), the “methods that have been used to test the validity of a study are content validity, criterion-related validity and construct validity”. The content validity refers to the extent to which measuring instruments are sufficient in scope and coverage of the phenomena under study (Kothari 2004:74), but it may also be seen as both criterion-related validity and construct validity (Sekaran 2003:206). As an additional safeguard, this study was also checked by known and respected experts. Section 3.4 of this chapter deals with the data collection tool. The data collection processes were carried out through self-administrated questionnaires augmented through document analysis.

3.7 Ethical considerations

Mouton (1996) and Cooper and Schindler (2008) observed that it is important that all academic and research works should consider and comply with the research ethics. This element includes the protection of the rights of individuals from the public organizations and involves their privacy, confidentiality and the acquisition of informed consent.

In general, universities around the world, such as the University of South Africa (UNISA) and the EMU, have their own codes of ethics that should be followed by any researcher. In this regard, the researcher declares that any acts of misconduct that could lead to the fabrication, falsification and plagiarism of the present study were avoided. The field of Ethics provides a number of analytical tools to guide individual and collective goals correctly. In fact, Mouton (1996) and Cooper and Schindler (2008) observed that ethical issues deal with the researcher's accountability and the privacy, anonymity, and confidentiality of the respondents.

Accordingly, the present study considered both the EMU Policy on ethics and ethical conduct in research (2011) (See Appendix D for a covering letter with dispatch of approval to conduct research at the EMU and Appendix E for a letter granting permission to conduct research at the EMU) and the Unisa Policy on research ethics (2007) reflected in the Ethical Clearance issued by the Ethical Committee Member of the Department of Information Sciences (See the Appendix H). Thus, the researcher ensured that the respondents in the study were not coerced, and their names were also not revealed. In addition, it was assured that collected data would only be used for academic purposes, and the respondents also had the right to share in the objectives of the study. All the instructions were documented through the data collection instruments.

3.8 Evaluation of the research methodology

As can be seen, all the above mentioned research methods are imperfect. The findings of a research study can be regarded as unreliable because they hold a hint of doubt (Leedy & Ormord 2010:285; Ngulube 2005:48). To avoid these imperfections, the procedures involved in collecting and analysing data are evaluated and the related weaknesses are outlined (Leedy & Ormord 2010:285; Collins, Onwuegbuzie & Sutton 2006:68). Furthermore, the geographical

locations of administrative, academic and research centres and special units of EMU are the key challenges experienced by research throughout the data collection of this study.

The EMU is based in Maputo with scattered faculties, higher schools and research centres and special and administrative units all over the city. In addition, some of the EMU units are located in Inhambane, Gaza and Zambezia Provinces. Those units were not the subject of this study's research. The researcher did not visit the Inhambane, Gaza and Zambezia Provinces because the existing EMU units at those sites are not covered by this study. These provinces are located far from the place where the researcher was carrying out the study. The distance of those geographical areas from Maputo City is approximately 250, 500 to 1500 kilometres, respectively. Consequently, with the allocated funds and time, it would not have been possible for the researcher to circulate all the designed questionnaires. For ease of contact, the telephone numbers, the email addresses of the records managers and senior records management were also accessed in order to ensure communication between the purposive sampled population and the researcher when the data was collected.

3.9 Summary

This research study adopted quantitative research methodology based on a questionnaire as a data collection tool that guided the description and interpretation of the collected data. Data obtained via questionnaire were augmented by document analysis. According to Fielden (2008), if statistics and thematic approaches are amalgated, the two methods can be combined successfully, thereby increasing the validity. As part of this study, the research approach, the data collection tool, together with the study population and sampling, the reliability and validity of data collection tool, the ethical considerations and evaluation of research methodology are all explained. It is seen as an essential procedure, on the one hand integrating thematic and statistical data and on the other, ensuring the quality of the findings in a research study (Harrison & Reilly 2011:8).

The geographical locations of the administrative and academic units of the EMU were the key

challenges experienced by the researcher throughout the data collection process of this study. Furthermore, to avoid imperfections, the procedures involved in collecting and analysing data were evaluated and related weaknesses were outlined.

The researcher also complied with the codes of ethics of both Unisa and EMU, respectively. It was ensured that the collected data would only be used for academic purposes, but the respondents also had the right to share in the objectives of the study. The research results based on the data collected from the questionnaires given to selected records managers and senior management from EMU are presented in the next chapter.

CHAPTER FOUR

PRESENTATION OF DATA

4.1 Introduction

The previous chapter dealt with the research methodology applied in this study. This chapter analyzes and presents the findings of the data collected through questionnaires. The themes that form part of the study translated in the objectives were consolidated. The researcher presented and analyzed the findings based on the data collected by questionnaires. In this chapter, tables and pie-charts are used to illustrate various responses that were obtained through the data collection process. In fact, tables and graphs are recognized as ideal for conveying detailed information in a concise manner (Kumar 2005:248; Minter & Michaud 2003:2), helping in the drawing of conclusions and generalizations of findings connected to a problem statement (Creswell 2009:152). With such techniques, the knowledge about the phenomena being studied can be enhanced (Ngulube 2003:239).

Similar studies such as those as Chaterera (2013:71) and Marutha (2011:96) followed, in order to obtain integrated insights into the subjects under the spotlight, thus clearly reporting the outcomes or the results of the study to prospective readers. Furthermore, with respect to ethical considerations, data presented in this chapter is not attributed directly to any of the respondents or participants and specific EMU units. Responses and all information yielded by the study are presented with the purpose of assessing the state of implementation of The National Archives and Records Management Act at EMU in Mozambique.

4.2 Response rate and respondents' profile

It is accepted that a sample size of the population of a research study must be representative. As a result, many researchers are frequently concerned with maintaining a percentage of return rate that is suitable for a particular study. The representativeness of the sample size of a population can be demonstrated from its response rate. If the response rate is higher, this means that there is less chance of significant response bias (Babbie & Mouton 2001:261; Smidt 2011:47). In this case, the interpretation of the results should be directly connected to the overall conclusion. By

contrast, it cannot reflect on all population characteristics. Therefore, Babbie and Mouton (2001:261) point out that a response rate of 50% is adequate for analysis and reporting, while 60% is good and 70% is very good.

This study used questionnaire and document analysis as instruments for data collection. The questionnaire was tested with five individuals, four staff members and one student of EMU. This was done to minimize errors. Consequently, after the pre-test was conducted on the pilot group at EMU, some questions in the questionnaire were changed.

As per the sample outlined in this study, the researcher distributed 46 questionnaires to academic, research, directorate and special units at EMU, during February of 2017. There was one questionnaire per unit which had to be completed by the unit's records manager and 35 were received by the researcher. The main reasons for this were related to the lack of authorization from the EMU unit's senior management staff and the unavailability of records managers to complete the questionnaire at the following units: Directorate of Social Services, Faculty of Science, Directorate of Pedagogic Services, Center of Food Studies and Agrarian Policy and Programmes, Centre of Regional Integration Studies, Center of Languages, Office of Academic Quality, Legal Clinic and Center of Academic Development. Although the researcher made a follow-up with all the selected EMU units, the records managers may have found it difficult to complete the questionnaire because they were not qualified and trained enough, as reflected in Figure 4.10 and Figure 4.24. As already detailed in an earlier section, the quantitative data from these questionnaires were further processed using the statistical computer software, IBM SPSS Statistic 20, to produce the tables and pie-charts appearing in this chapter.

As reflected in Figure 4.1, the spread of responses shows that from the 35 respondents of questionnaires received, 17% (6) were from special units, 37% (13) were from directorate units, 17% (6) were from research centers 26% (9) were from faculties and 3% (1) were from a school.

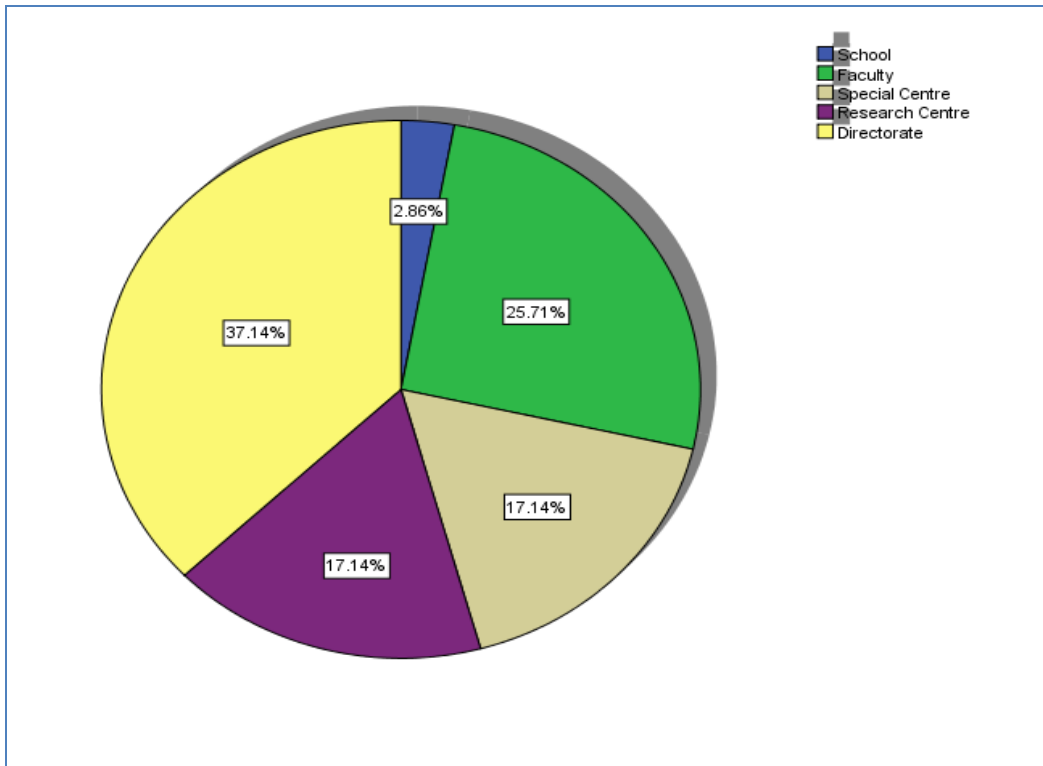


Figure 4.1: Responses from EMU unit (N =35)

Figure 4.2 reflects that of the 35 responses, 6% (2) were completed by senior managers and 29% (10) by records managers. The other 66% (23) were completed by different officials, such as administrative assistants (secretaries within their directorate units), senior registry clerks, public administration professionals, librarians, accountants, historians and a researcher.

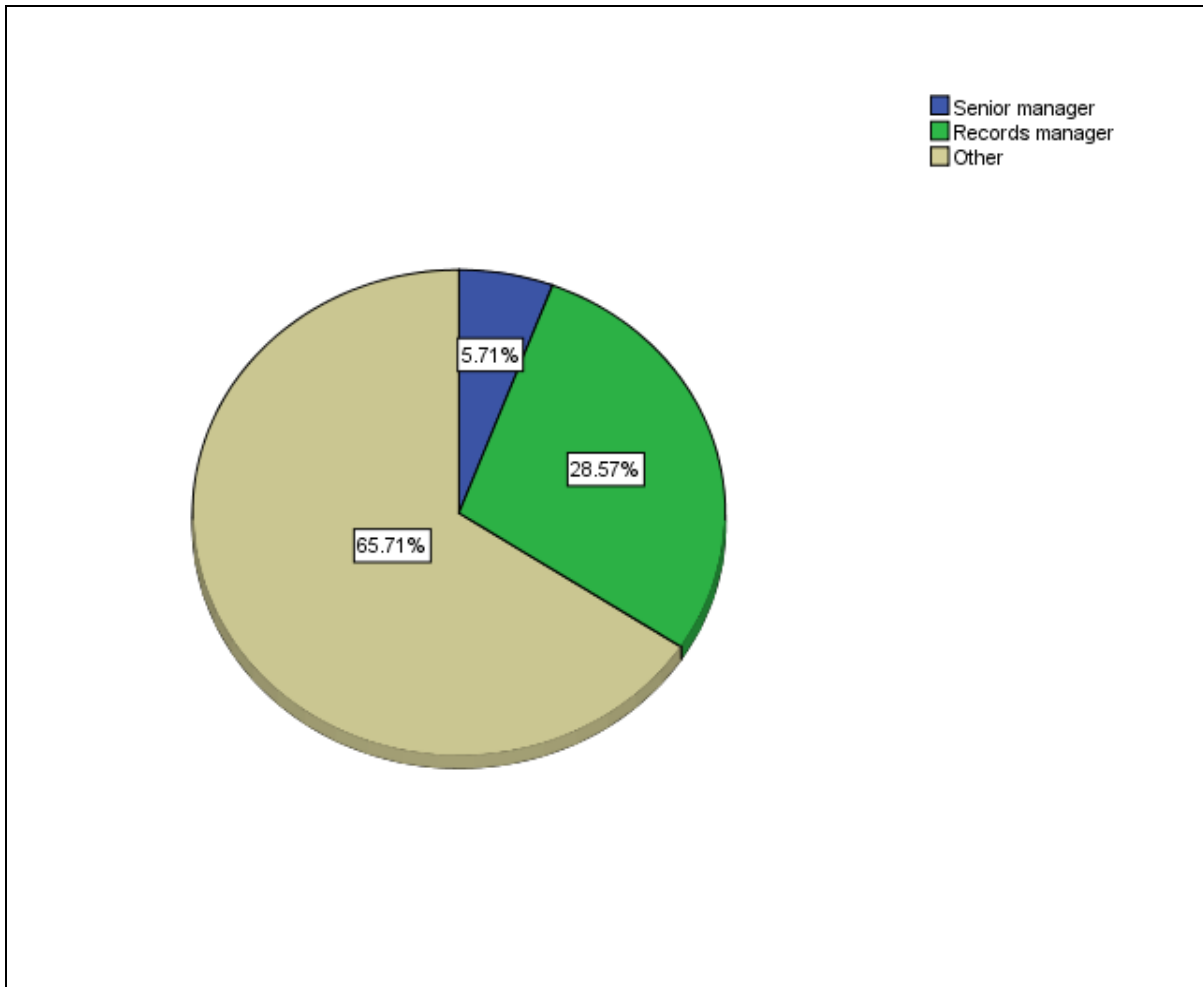


Figure 4.2: Respondent’s affiliation or position within the EMU units (N =35)

4.3 Data presentation

This section presents the findings of this study, in written discussion, numerical summations and figures. The presentation is guided by both the research purpose and the objectives formulated. The research purpose was to assess the state of implementation of the Mozambican National Archives and Records Management Act at EMU in order to foster efficient and effective archives and records management within its administrative, academic and special units.

The specific objectives were to:

- Assess the availability and implementation of key records management documents including standards, policies, guidelines, procedures and classification tools at EMU.
- Analyse security and physical protection of records at EMU.
- Assess the accessibility of records at EMU by the academic community.
- Establish the level of skills and training in records management at EMU.
- Determine the appraisal and disposal of records at EMU.
- Assess the level of top management support for records management activities at EMU units.

The description of the categories for the findings, the study purpose and objectives and the ethical considerations are shown to be relevant for obtaining integrated insights into the nature of data under the spotlight (Chaterera 2013:71). This will be presented in the following sections.

4.3.1 Key records management documents: policy, procedures and classification

According to ISO (2001:5), the organization should define, document and promulgate a policy and procedures for records management. Otherwise, the organization's business evidence and its information activities can not be ensured, respectively. The policy should allow for the creation and management of authentic, reliable and usable records supporting business functions and activities (ISO 2001:5). The National Archives and Records Management Act in Mozambique is an essential document that defines, documents and promulgates policy and procedures on the records management that must be communicated and implemented at all levels of EMU units.

The purpose of this objective was to investigate policy, procedures and classification systems concerning the records management at EMU units. Findings are presented according to the following sub-themes:

- The status of implementation and the level of awareness of records management policy.
- The status of implementation and the availability of manual procedures on the records management.
- The status of implementation of classification systems for common records.

The next sub-theme is the status of implementation and awareness of records management policy.

Respondents in the study were asked to indicate the status of implementation and awareness of policy on records management at EMU units.

Figure 4.3 reflects that 40% (14) of respondents said that they were not sufficiently aware about the records management policy and the need of its implementation. Another 31% (10) of respondents argued that they were not aware about the records management policy and the need of its implementation. In fact, the records management policy in Mozambique was promulgated in 2007 through the National Archives and Records management Act, but it had not yet been implemented at EMU units.

Respondents in the study were asked to indicate the status of implementation and availability of manual procedures on the records management at EMU units. Figure 4.3 shows that 34 % (11) of respondents mentioned that they were not informed enough about records management procedures. Another 29% (10) of respondents said that the records management procedures were implemented. Only 9% (3) of the respondents indicated that the manual procedures on the records management were made available but not implemented at all.

The Central Directorship of the National State Archives System in Mozambique has developed a classification scheme for common records and a classified information scheme for common records (Mozambique 2007:21-28; Mozambique 2010:5-7). As a result, the EMU is required to implement such systems. The university also needs to design and implement a classification scheme of classified information for specific records and a classified information scheme for specific records. It is essential to manage information and knowledge with standards and codes of best practice in records management, which is necessary to sustain an organization in conformity with the National Archives and Records Management Act. In this regard, records can be easily retrieved when requested by whoever seeks information. This classification system is necessary for arranging organizational records in a systematic way that can ensure a comprehensive retrieval.

Respondents in the study were asked to indicate the status of implementation and availability of

a classification scheme for common and specific records as well as that for classified information.

Figure 4.3 reflects that 17% (6) of respondents wrote that the classified information for common records had been available since 2007, but had not yet been implemented in the same circumstances, as it is only applied to the retention schedule for common records. It was made available through the National Archives and Records Management Act, but the researcher did not request a copy of it.

It was apparent from the respondents that some staff members had been assigned to the records management function without any basic knowledge of the field. These respondents experienced difficulties in giving answers to the questionnaires. The respondents were not familiar with the records management terminology used. Besides that, 34% (11) said that a classification scheme for common records had been implemented. As an ongoing project, the EMU, through the MHA, is still developing a classification scheme for specific records which is expected to be approved as soon as possible by the EMU Rector and Central Director of the National State Archives System before its implementation. Furthermore, the classified information scheme for specific records was not yet made available.

Key records management documents	Missing (percentage/ frequency)	No answer (percentage/ frequency)	Available but not implemented (percentage/ frequency)	Implemented (percentage/ frequency)	Unavailable (percentage/ frequency)	Awareness (percentage/ frequency)
Policy	23% (8)	40% (14)		6% (2)		31% (10)
Procedures			9% (3)	29% (10)	11% (4)	34 % (11)
Classification scheme for common records				34 % (12)		
Classified information for common records			17 % (6)			

Figure 4.3: Key records management documents at EMU units (N=35)

4.3.2 Security and physical protection of records

The EMU units create and receive records resulting from of their organizational businesses.

Therefore, those units are required by the National Archives and Records Management Act to ensure that public records of enduring administrative, historical and scientific value are protected and preserved over time (Moçambique 2007:3). Preservation means the passive protection of records and archival materials from damage or deterioration without physical and chemical treatments (IRMT 1999:34). It can be done in several ways: through general protection of items against environmental hazards or deterioration; determining the original materials and the structure of the item as well as determining the extent of its deterioration or loss; the intrusive protection of the item and repairing of an item (IRMT 1999:34). In other words, preservation includes four key activities, namely, maintenance, examination, conservation and restoration, respectively (IRMT 1999:34).

According to IRMT (1999:8), the static category refers to complete records that provide evidence of a particular action in time and they must remain unchangeable over time, while the authentic category refers to a record that can be verified, but remains exactly as it was when it first was transmitted or retained. Furthermore, the authority category refers to an official record that is characterized by appropriate signatures, letterheads, seals and office stamps. Finally, the unique category refers to records that make sense within the individual or organizational context of the functions and activities that created or used them (IRMT 1999:8).

The purpose of this objective was to investigate protection and preservation of records of enduring administrative, scientific and permanent value. Findings are presented according to the following sub-themes:

- Records protection at EMU units.
- The environmental conditions and other factors affecting protection and preservation of records.
- Furniture used for housing records at EMU units.

The next sub-theme is the level of records protection or completeness at EMU units.

Respondents were asked to rate the level of records protection or completeness. This is reflected

in Figure 4.4, where 86% (30) of respondents indicated that the EMU unit's records were not protected and preserved from any hazards at all. Only 3% (1) of respondents said that protection and preservation of the EMU unit's records were not ensured. However, 14% (5) mentioned that created and received records at EMU units were protected and preserved, while 11% (4) mentioned that protection and preservation of the EMU unit's records were ensured as well. However, 86% (30) of respondents indicated that the protection and preservation of records at EMU units were not ensured at all.

Overall, there is an indication that the EMU units did not ensure the completeness of records. EMU records did not remain static, authentic, authority and unique because they were not properly protected and preserved for future users and purposes.

The level of protection and preservation of records	Protection (Percentage/frequency)	Preservation (Percentage/frequency)
Does not perform this activity		86 % (30)
Ensured	14 % (5)	11% (4)
Not ensured	86 % (30)	3 % (1)

Figure 4.4: The level of records protection and preservation at EMU units (N=35)

Respondents were asked to identify the environmental conditions and other factors affecting protection and preservation of records. According to Figure 4.5, most of the respondents, 71 % (25), argued that the conservation of records was negatively affected by dust. However, 54 % (19) mentioned that the conservation of records was affected by a lack of suitable packaging material while 51 % (18) indicated that the conservation was affected by the lack of adequate shelving and archival enclosures. Further, 46 % (16) said that the conservation of records was effected by mold and fluctuation of temperature and relative humidity. Another 43 % (15) indicated that conservation of records was affected by insects. Only 9 % (3) mentioned that the conservation of records was not affected by dust. In total, 83 % (29) mentioned that no other hazards affected the conservation of records.

From the above respondents, it was apparent that the EMU unit's records were vulnerable to many environmental hazards, such as dust, mold, insects and fluctuation of temperature and

relative humidity. Associated with these factors was the lack of suitable packaging material and the lack of adequate shelving.

Environmental conditions and factors	Affect (Percentage/frequency)	Not affect (Percentage/frequency)
Fluctuation of temperature and relative humidity	46 % (16)	
Mold	46 % (16)	
Insects	43 % (15)	
Dust	71 % (25)	9 % (3)
Lack of adequate shelving and archival enclosures	51 % (18)	
Lack of suitable packaging material	54 % (19)	
Other hazards		83 % (29)

Figure 4.5: Environmental conditions and other factors that may affect protection of records (N=35)

Respondents were asked to identify the type of furniture used for housing records at EMU units and the data reflected in Figure 4.6 shows that only 6 % (2) of respondents mentioned that records were housed in cupboards. Most, 69 % (24), stated that records were housed in steel cabinets. Of the respondents, 60.0% (21) said that records were housed in non-adjustable shelves and 43 % (15) indicated that they were housed in adjustable shelves. A further 11 % (4) mentioned that records were laid down on the floor.

According to the respondents and the researcher's visit to the sites, there are no provisions for any national standards regarding acquisition of adequate shelving, furniture and records and archival enclosures. As a result, the existing shelves, furniture and records and archival enclosures did not allow for the protection and preservation requirements of current, semi-current and permanent records.

Furniture used	Percentage/frequency
Adjustable shelves	43 % (15)
Nonadjustable shelves	60% (21)
Wooden racks	37 % (13)
Steel cabinets	69 % (24)
Cupboards	6 % (2)
Laid down on the Floor	11 % (4)

Figure 4.6: Furniture used for housing records at EMU units (N=35)

4.3.3 Access to records

The purpose of this objective is to investigate the accessibility of a unit's records for the academic community at EMU. Findings are presented according to the following sub-themes:

- The factors that can affect the availability of an EMU unit's records to any users.
- Rating the accessibility of unit's records by users.

The next sub-theme is the factors that can affect the availability of an EMU unit's records to any users.

Respondents were asked to identify the factors that can affect the accessibility of an EMU unit's records to any users. As reflected in Figure 4.7, 26 % (9) of respondents said that the activity of monitoring the state of accessibility of current records was not performed and 23 % (8) said that it was also not performed for semi-current records within the EMU units. Another 23 % (8) of respondents mentioned that the lack of finding aids of the records affected the accessibility of both current-records and semi-current records to any users. However, 20% (7) mentioned that the back logs affected the accessibility of a unit's semi-current records while 17 % (6) said this affected current- records. Despite that, 23 % (8) of respondents indicated that poor physical conditions affected the availability of a unit's semi-current records. Only 6 % (2) mentioned that both current and semi-current records were affected by all factors, namely, back logs, lack of finding aids and poor physical conditions. Some 23 % (8) of respondents did not answer the question at all.

The conditions that affect	Current-records (Percentage/frequency)	Semi-current records (Percentage/frequency)
No answer	23 % (8)	
<u>Does not perform this activity</u>	26 % (9)	23 % (8)
Back logs	17 % (6)	20% (7)
Lack of finding aids	23 % (8)	23 % (8)
Poor physical conditions	6% (2)	23 % (8)
All factors	6 % (2)	6 % (2)

Figure 4.7: The accessibility of unit’s records to any users (N=35)

Respondents were asked to evaluate the accessibility of a unit’s records by users. It is shown in Figure 4.8 that 49 % (17) of respondents mentioned that accessibility for current-records was very good while another 49 % (17) said that semi-current records were fairly accessible. Nevertheless, 20% (7) of respondents argued that semi-current records were poorly accessible, with 6 % (2) indicating that current records were also poorly accessible. In total, 42.9% (15) mentioned that current-records were accessible to a reasonable degree and 29 % (10) indicated that the accessibility of a unit’s semi-current records was very good.

Overall, the semi-current records were less accessible than current-records because they were affected by back logs, lack of finding aids and poor physical conditions.

Evaluation levels	Current-records (Percentage/frequency)	Semi-current records (Percentage/frequency)
No answer	3 % (1)	3 % (1)
Poor	6 % (2)	20% (7)
Fair	43 % (15)	49 % (17)
Very good	49 % (17)	29 % (10)

Figure 4.8: Evaluating the accessibility of EMU unit’s records (N=35)

4.3.4 Skills and records management training needs

According to ISO (2001:17) and the National Archives and Records Management Act (Moçambique 2007:5), an organization, together the Central Director of the National State Archives System should establish an ongoing programme of records training to equip records management staff with the necessary skills and knowledge of specific practices, respectively.

The purpose of this objective is to assess the training needs in records management within the EMU units.

Findings are presented according to the following sub-themes:

- Attendance at internal records management training.
- Qualification completed supporting records management function.
- Evaluating the level of trained staff in executing the records management function within the unit.
- Records management function as part of the induction program of the new employees.
- Training provided for records management staff within the EMU units.

The next sub-theme is attendance at internal records management training.

Respondents were asked to indicate if they had ever attended a training programme on records management. Figure 4.9 shows that 23 % (8) of the respondents indicated that they had attended the training on records management. However, 9 % (3) mentioned that they had attended library management while 3 % (1) had attended records management/library management. Only 9 % (3) did not answer the question. A further 14 % (5) mentioned that this activity was not performed at all within the EMU units. This was demonstrated by 43 % of respondents who attended other courses, such as administration and management of human resources, political history and public management, history and finance.

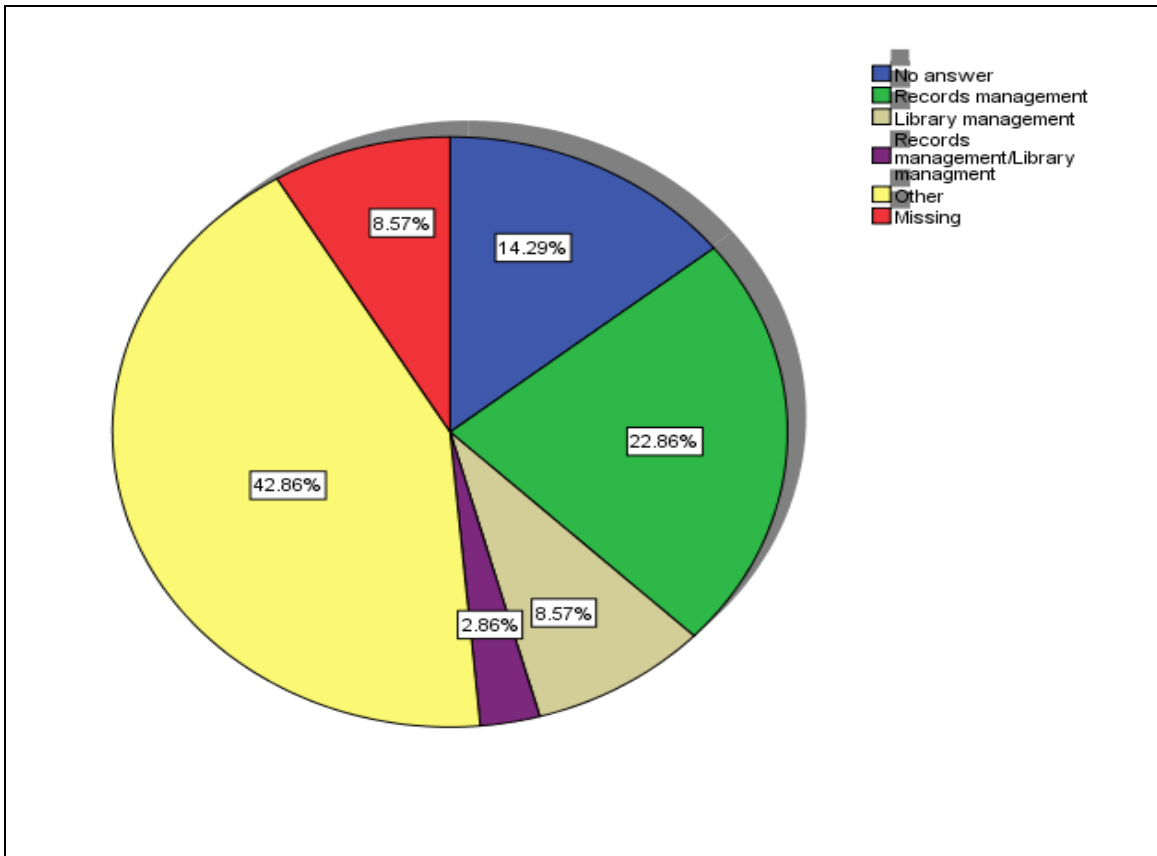


Figure 4.9: Attendance of records management training (N =35)

As the National Archives and Records Management Act observed (Moçambique 2007:5), the Central Director of the National State Archives system should promote records management training initiatives for the organizational staff. As Figure 4.10 demonstrates, 63% (22) of respondents said that none of the listed qualifications had been finished while 6% (2) mentioned that they had finished a Diploma and Bachelor in History with specialization in Documentation Sciences. A further 6% (2) indicated that this activity was not performed and 14% (5) mentioned that they had finished other qualifications. Only 6% (2) did not answer the question.

Apart from the lack of trained records management staff, there was also a shortage of qualified staff in the records management field or a related discipline at EMU units. Suitable training or qualifications could be given by the School of Communication and Arts at EMU, which provides a formal education on Archival Science at undergraduate level. In addition, a modular course in Information Management and ICT within the Public Sector is also given to the students of Public

Administration at undergraduate level in the Faculty of Social Sciences. The data also demonstrated that there are no recruiting strategies that would alleviate the problem of lack of qualified staff within the EMU units.

Qualifications completed	Percent/frequency
No answer	6 % (2)
Diploma	6 % (2)
Bachelor in History with specialization in Document Science	6 % (2)
None	63 % (22)
Other	14 % (5)
Missing	6 % (2)

Figure 4.10: Records management related qualifications (N=35)

When respondents were asked if they attended an induction program on records management or whether new employees are inducted on records management, only 40 % (14) of respondents mentioned that the records management function was not performed within the EMU units, as reflected in Figure 4.11. A further 23 % (10) of respondents commented that the records management function did not form part of the induction program of new employees. However, 29 % (10) mentioned that the records management function formed part of the induction program of new employees, but not in a systematic way. Overall, 40% (14) mentioned that this activity was not performed at all.

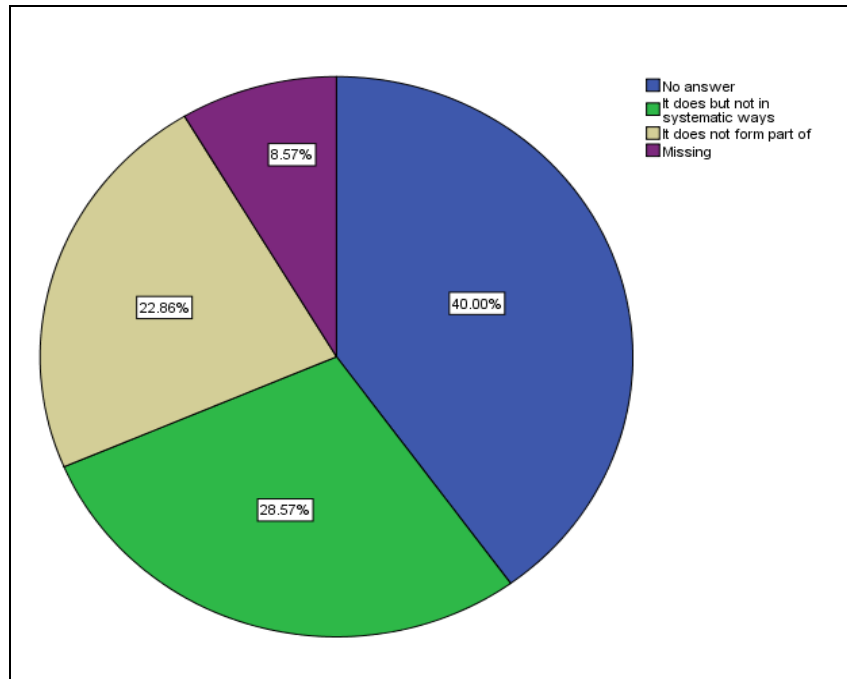


Figure 4.11: Records management function as part of induction programme (N =35)

When asked who provide the records management training within the institution, the following were listed by the respondents: MHA and Directorate of Human Resources at EMU. According to the respondents the training on records management covers records management and preservation issues. The Directorate of Human Resources does not carry out records management training on a regular basis, but the MHA has four three-months courses per year.

As reflected in Figure 4.12, a significant number of the respondents indicated they received training on the records management issues and many did not receive any training.

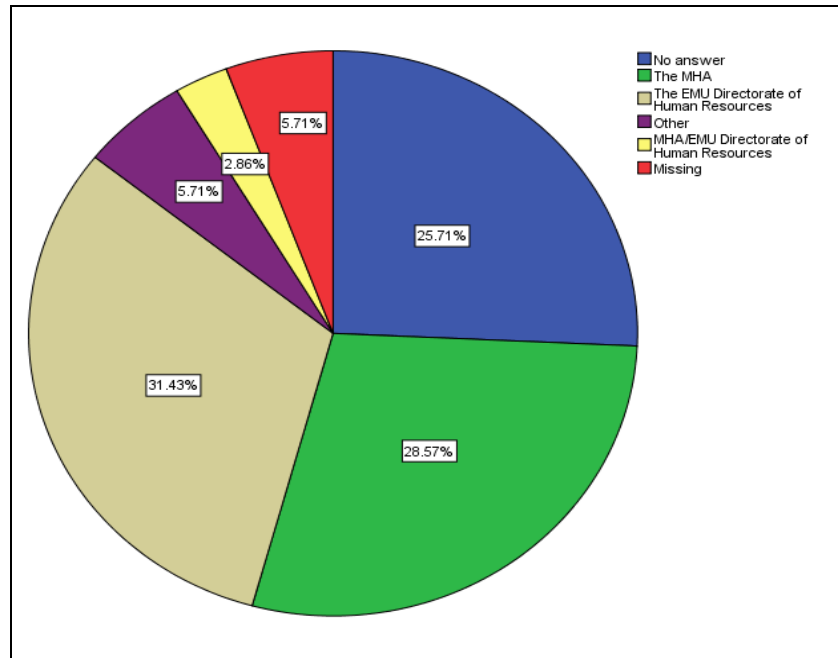


Figure 4.12: Service providers for records management training (N =35)

4.3.5 Records appraisal and disposal processes

The implementation of a disposal authority enables a government department to dispose of its records regularly. According to the National Archives and Records Management Act, only the Central Director of the National Archives System has a technical disposal authority for the records through records appraisal committees and records management units (Moçambique 2007:8).

Records appraisal is a process of evaluation of records of enduring permanent or temporary value by using certain relevant criteria. Records disposal is defined as the process of destruction of ephemeral records or transfer of archival valued records to an archival institution for permanent preservation (Marutha 2011:17). According to the Mozambique National Archives and Records Management Act (2008:140), records appraisal refers to the identification of records of enduring secondary value and records disposal refers to transfer, destruction or permanent preservation of records, preceded by an appraisal process (identification and selection of records).

The purpose of this objective was to analyze the efficiency and effectiveness of records appraisal and disposal processes within the EMU units. Findings are presented according to the following

sub-themes:

- Responsibility for records appraisal and disposal processes.
- The records review implemented as part of records appraisal and disposal processes.
- Regularity of records appraisal processes at EMU units.
- Regularity of destruction of records within the EMU units.
- Methods used for the destruction of useless unit's records.
- Place where unit's records are transferred.
- Evaluation of records appraisal and disposal committee profile at EMU.

The next sub-section analyses responsibility for records appraisal and disposal processes at EMU units.

Respondents were asked to consider who was responsible for records appraisal and disposal processes at EMU units. As reflected in Figure 4.13, most of the respondents, 83% (29), indicated that the records appraisal and disposal processes were not performed for both current and semi-current records. By contrast, 9% (3) of the respondents said that the records appraisal and disposal activities of current records were carried out by their unit's records appraisal and disposal committees and another 11% (4) of respondents said that the records appraisal and disposal activities of semi-current records were also carried out by the unit's records appraisal and disposal committee. Only 3% (1) of correspondents mentioned that the records appraisal and disposal activities of semi-current records were undertaken by a central appraisal and disposal committee and records management unit. Similarly 3% (1) of respondents said that the records appraisal and disposal activities of semi-current records were also carried out by the records management unit.

The central committee that has been created therefore needs to extend its mandate. This assumption is also supported by the statement above which demonstrated that 83% (29) indicated that the records appraisal and disposal activities for current records and semi-current records were not carried out at all. One of the respondents indicated that two EMU units had requested an appraisal and disposal authority from the MHA in 2016. However, the disposal authority was never issued to the units. One of the records managers indicated that no attempts were made by the EMU unit to contact the MHA to expedite the issuing of a disposal authority. A shortage of

storage areas at MHA and the absence of a functioning central appraisal and disposal committee at EMU as a whole, had contributed to MHA not proceeding with the issuing of a disposal authority.

Responsibility for records appraisal and disposal processes	Current records (Percentage/frequency)	Semi-current records (Percentage/frequency)
Activity not performed	83 % (29)	83 % (29)
Unit's records appraisal committee	9 % (3)	11 % (4)
Central records appraisal committee		3 % (1)
Records management unit	6 % (2)	3 % (1)

Figure 4.13: Responsibility for appraisal and disposal of current-records and semi-current records at EMU units (N=35)

Respondents were asked to indicate whether the records review is implemented as part of records appraisal and disposal processes at EMU units. According to Figure 4.14, 14% (5) and 9% (3) of the respondents indicated that the records review forms part of records appraisal and disposal of current and semi-current records within EMU units respectively. However, most respondents, 83% (29) indicated that the EMU units did not perform this activity at all. Only 3% (1) of respondents mentioned that records review of current and semi-current records forms part of the records appraisal and disposal processes, but it is not implemented. In addition, 3% (1) of respondents said that the records review of semi-current records did not form part of records appraisal and disposal processes within the EMU units. As appraisal and disposal processes were not carried out within the EMU units, consequently it becomes apparent that a records review approach for the appraisal process was also non-existent. In other words, the records review of semi-current records does not form part of records appraisal and disposal processes within the EMU units at all.

The way of a records review is carried out	Current records (Percentage/frequency)	Semi-current records (Percentage/frequency)
Does not perform this activity	83% (29)	83% (29)
It does not form part of		2, 9% (1)
It forms part of but not implemented	3% (1)	3% (1)
Implemented	14% (5)	9% (3)

Figure 4.14: Records review of current and semi-current records implemented as part of records appraisal and disposal processes (N=35)

Respondents were asked about when records appraisal and disposal processes were taking place within the EMU units. As it is shown in Figure 4.15, 11 % (4) of respondents argued that the records appraisal and disposal processes for semi-current records were carried out every five years. While, 9% (3) of respondents point out that the records appraisal and disposal processes for current records were carried out annually. Only 3% (1) mentioned that the records appraisal and disposal processes of semi-current records were carried out on an annual basis and 6% (2) mentioned that the records appraisal and disposal processes of current records were carried out every five years. Another 6% (2) of respondents said that the records appraisal and disposal processes for current records and semi-current records were carried out bi-annually.

From the respondents it appears that the retention period schedule for common records and for classified information were not implemented and retention period schedule for specific records was unavailable at EMU units.

Regularity of records appraisal processes	Current records (Percentage/frequency)	Semi-current records (Percentage/frequency)
Annually	9% (3)	3% (1)
Biannually	6% (2)	6% (2)
Each Five years	6% (2)	11% (4)

Figure 4.15: When records appraisal and disposal is taking place for current and semi-current records at EMU units? (N=35)

Respondents were asked when the records destruction processes were taking place within the EMU units. As is shown in Figure 4.16, 11% (4) of respondents indicated that the records destruction processes for semi-current records were carried out every five years. At the same time, 9% (3) of respondents pointed out that the records destruction processes for current records were carried out annually. Only 3% (1) mentioned that the records destruction processes of semi-current records were carried out annually and 6% (2) mentioned that the records destruction processes of current records were carried out every five years. A further 6% (2) of respondents said that the records destruction processes for current records and semi-current records were carried out bi-annually.

From the respondents' answers, it appears that the retention period schedule for common records and for classified information was not implemented and the retention period schedule for specific records was unavailable at EMU units.

Regularity of destruction processes	Current records (Percentage/frequency)	Semi- current records (Percentage/frequency)
Annually	6% (2)	
Biannually	3% (1)	3% (1)
Each Five years	11% (4)	20% (7)

Figure 4.16: How often current-records and semi-current records are destroyed (N=35)

When asked for the methods used for destruction of useless records, the following were identified by the respondents: As Figure 4.17 shows, 43% (15) of respondents mentioned shredding. Only 3% (1) indicated shredding and burning. Others, 23% (8) of respondents, indicated burning and tearing. In total, 29% (10) of respondents mentioned that this activity was not performed by the unit.

According to the respondents, these methods were used ensure confidentiality. However, many respondents said that destruction of records, through for example, shredding or other methods, did not comply with an approved retention schedule because it was not implemented.

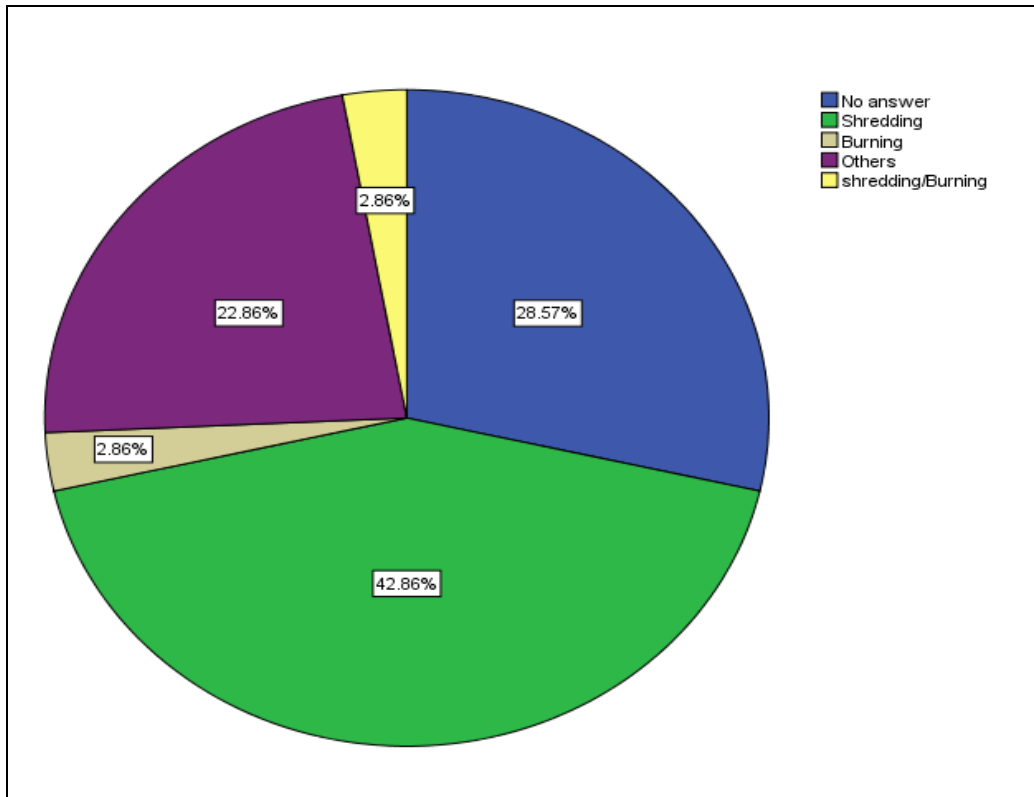


Figure 4.17: Methods used for the destruction of useless unit's records (N=35)

According to the National Archives and Records Management Act, records of enduring value must be transferred to the MHA after being the subject of a records appraisal and disposal process. When asked about the transfer of records to MHA, as reflected in Figure 4.18, 52% (18) of respondents said that the unit's non-current records were transferred to the unit's semi-current records storage area. In total, only 9% (3) mentioned that they were transferred to MHA and just 6% (2) mentioned that the unit's non-current records were transferred to both MHA and the unit's semi-current records storage area. In fact, 26% (9) indicated that this activity was not performed within any EMU units. Only 3% (1) of the respondents said that the non-current records were also subjected to conversion into another medium.

From the respondents, it was apparent that a unit's non-current records were kept at the unit's semi-current storage areas. Due to lack of storage areas, shelving and archival enclosures no records were transferred to MHA.

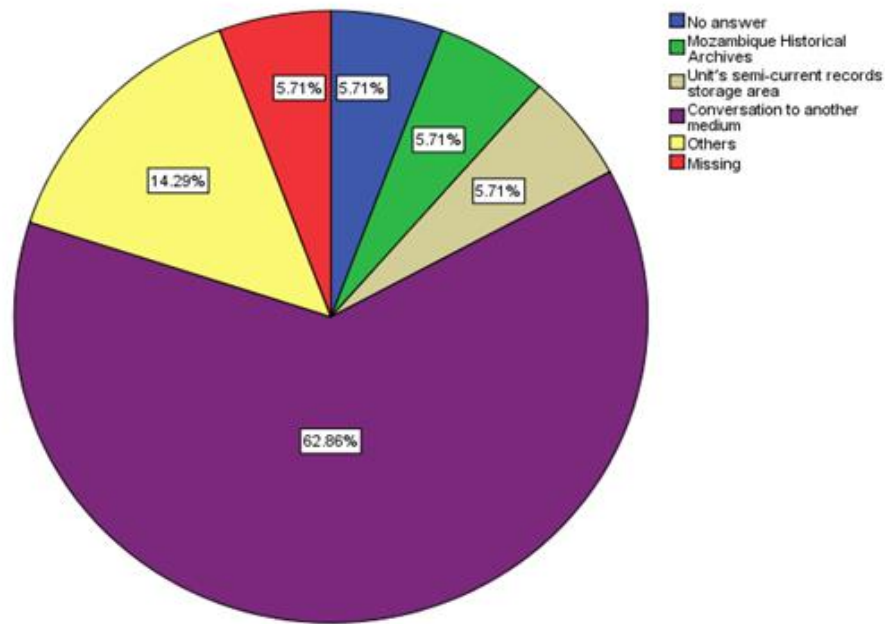


Figure 4.18: Place where a unit's records are transferred (N=35)

Respondents were asked to rate the profile of records appraisal and disposal committees at EMU units. As is reflected in Figure 4.19, the majority, 80% (28), of respondents argued that the appraisal and disposal committees were not functioning, both for current records and semi-current records. These bodies would be responsible for the implementation in a systematic and organized way of all the required records management processes. While 6% (2) of respondents mentioned that the effectiveness and efficiency of the records appraisal and disposal committee was poor for current records, another 6% (2) indicated that it was fair and very good. Just 3% (1) indicated that the effectiveness of semi-current records appraisal and disposal was poor and 14% (5) said that it was fair.

From the respondents, it was determined that the effectiveness and efficiency of the records appraisal and disposal committee at EMU units was poor. The records appraisal and disposal committee remained non-existent and because of that, it could not play its expected role within the EMU units.

The level of effectiveness of record committee	Current records (Percentage/frequency)	Semi-current records (Percentage/frequency)
Does not perform this activity	80% (28)	80% (28)
Poor	6% (2)	3% (1)
Fair	6% (2)	14% (5)
Very good	6% (2)	

Figure 4.19: The effectiveness of the records appraisal and disposal committee at EMU units (N=35)

4.3.6 Management of digital records

The National Archives and Records Management Act does not state any requirements concerning digital records management in the public sector. Although the Act does not cover digital records the purpose of this objective was to investigate the use of information and communication technology tools by EMU units for the management of both paper and digital records that were created and received, as a result of their organization’s business activities. In this study, it is posited that the digital records do not physically exist, but are stored in different parts of the system that differ from traditional paper (Duranti 1999:152). They provide evidence in digital form resulting from transactions undertaken by individuals or by organizations. According to Tafor (2003:72), electronic records are only generated and accessible through computer hardware and software.

Findings are presented according to the following sub-themes to establish whether the EMU units use information technology and communication tools for the management of both paper and digital records:

- The software used for managing both paper and digital records.
- The accessibility of the existing digital mediums.
- The level of effectiveness and efficiency of the digital records management system.
- Staff profile opinion on management of digital records.

The next sub-section analyses the performance of the software used by EMU units for managing digital records.

According to IRMT (1999:7), computer software refers to ‘computerized instructions that operate a computer, manipulate the data and execute particular functions or tasks through a programming language’. Computer software might be free or commercial/proprietary. Free software can be customized, thereby adapting it to an organizational business’s needs while ‘proprietary software is privately owned and controlled’ (IRMT 1999:13). The electronic records within the EMU units are subject to the same requirements as their counterpart in paper based records (Moçambique 2001:10). However, this Act does not define the concept of digital records for its operationalization.

Respondents were asked to indicate or state their opinion about the software customization and applications used for managing both paper and digital records. It is shown in Figure 4.20 that just over 71% (25) of respondents indicated that it was developed from free software, while 37% (13) of the respondents mentioned that there was no management of digital records within the EMU units. Only 3% (1) indicated that it was from a commercial or proprietary source. Another 26% (9) did not provide an answer on this matter.

The EMU Informatics Center had developed a digital system called SIGE, which was linked to the Internet just for tracking in-coming and out-going records via DAPDI. This is an intermediary registry within the EMU units in charge of delivering records services (UEM 2015:3). Apart from SIGE, there is proprietary software developed by UEM- DRA from 2010 to 2015 called the Integrated System of Academic Management, SIGA. This is a web based software similar to SIGE. It is composed of four modules, namely, finance, management of faculties, lecturers and students who can communicate with the system by SMS and Email services (UEM-DRA, SIGA 2010: 1).

A number of respondents who were not sufficiently informed about the computer system, it was mentioned that the electronic system, particularly the SIGE, was developed from a free software for administrative management and that SIGA was also an open software which is still under the customization processes.

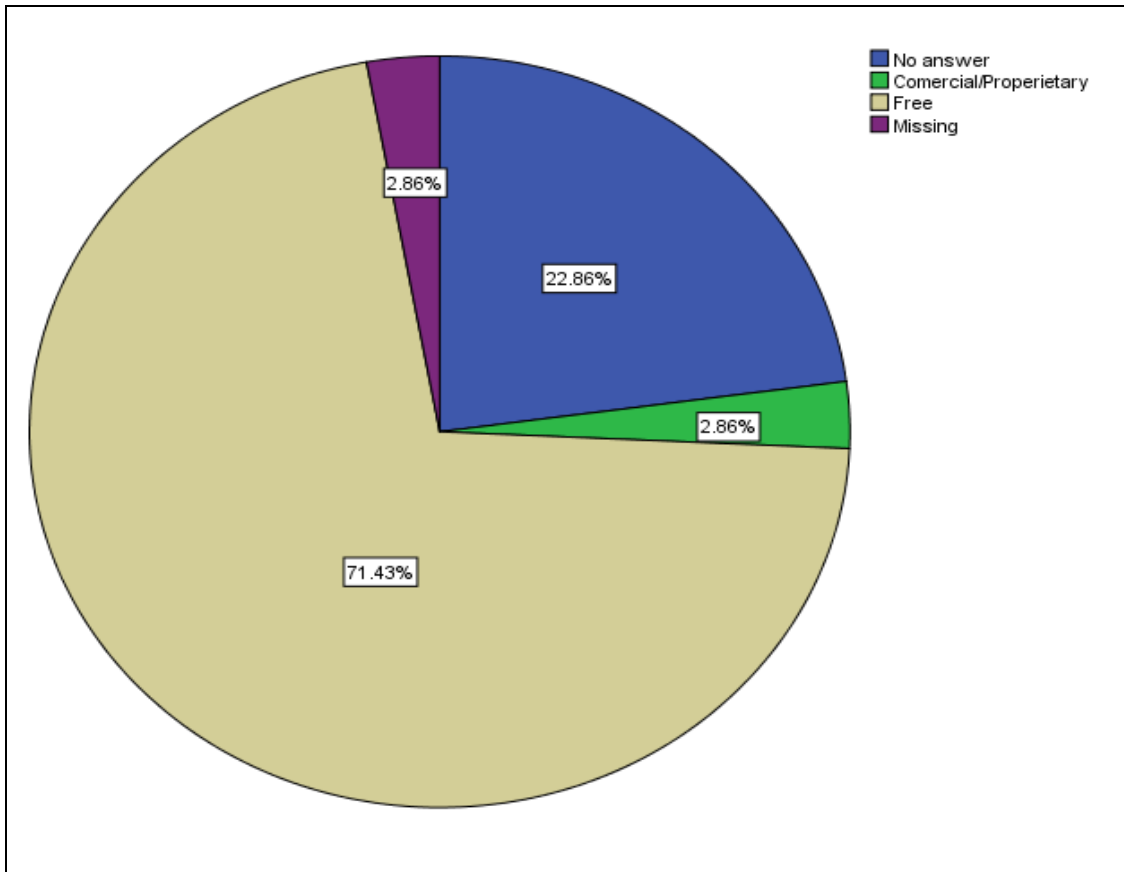


Figure 4.20: The software used for managing digital records (N=35)

Regarding the main tasks performed by the software, reflected in the Figure 4.21, 67% (24) of respondents noted that the electronic system was performing the registration process, 68.6% (24) mentioned records control, 60% (21) said records retrieval, 55% (19) argued records classification, 46% (16) said records storage, 46% (16) indicated records capture and 60% (21) indicated records retrieval. By contrast, 66% (23) of the respondents said that it did not perform appraisal of records, 66% (23) mentioned destruction of records, 49% (17) said records transfer and 57 % (20) indicated that the system did not perform according to the retention period of records.

AaaaRecords management processes	Application performed (Percentage/frequency)	Application not performed (Percentage/frequency)
Records capture	46% (16)	
Registration of records	69% (24)	
Classification of records	55% (19)	
Retaining records		57% (20)
Records control	69% (24)	
Records appraisal		66% (23)
Records destruction		66% (23)
Records transfer		49% (17)
Records storage	46% (16)	
Records retrieval	60% (21)	

Figure 4.21: The applications of the software at EMU units (N=35)

Respondents were asked about the accessibility of existing electronic and digital mediums. This is represented in Figure 4.22, where 20% (7) of respondents mentioned that the existing hard discs were not accessible, but 12% (4) had an existing flash, 20% (7) had a DVD and 20% (7) had external discs. Besides that, 71% (25) had access to existing hard discs, 77% (27) to flash, 20% (7) to DVD and 20% (7) to external discs. In addition, 37% (13) of respondents said that the management of digital records was not performed at all.

Hence, this data demonstrated that the inaccessibility of existing hard discs, flash drives, DVDs and external discs resulted in the lack of a program that could ensure the management of electronic records in as satisfactory a manner as that of paper based records.

Accessibility of digital records	Management of digital records (Percentage/frequency)	Hard disc (Percentage/frequency)	Flash (Percentage/frequency)	DVD (Percentage/frequency)	External Disc (Percentage/frequency)
Activity not performed	37% (13)				
Existing but not accessible		20% (7)	11% (4)	20% (7)	20% (7)
Accessible		71% (25)	77% (27)	20% (7)	20% (7)

Figure: 4.22: The Management of digital records at EMU units (N=35)

Respondents were asked to evaluate the existing digital environmental at EMU units. As it is shown in Figure 4.23, 26% (9) of respondents argued that the digital records were poorly managed, but another 20% (7) mentioned that it was very well managed. Figure 4.5 reflects

that 37% (13) of the respondents indicated that this activity was not performed.

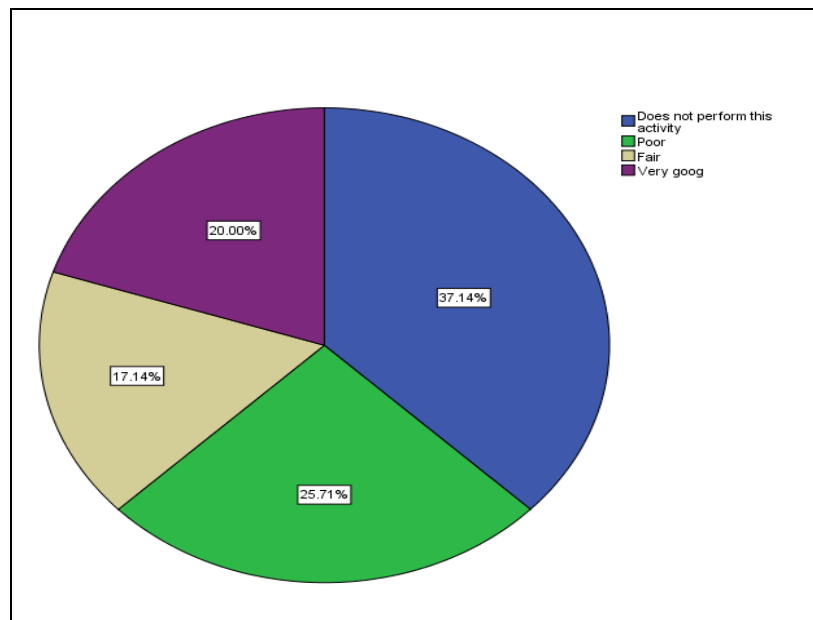


Figure 4.23: Evaluating the management of digital records at EMU units (N=35)

Respondents were asked to reflect on the level of records management with regards to digital and digital records. The results are indicated in Figure 4.24, which shows a significant 40% (14) of respondents noted that the unit's staff was poorly trained in digital records management. This scenario can be associated with the fact that 34% (12) of respondents said that this activity was not performed within EMU units, whereas 14% (5) of respondents indicated that they were very well trained.

In other words, from these data presented above, it appears that the EMU units were facing great challenges with regards to the management of digital records because there is a total absence of any systematic control over created and received digital records when pursuing their organization's business. The use of computer systems has not been supported by strong investment in digital records management training of the staff of the respective EMU units.

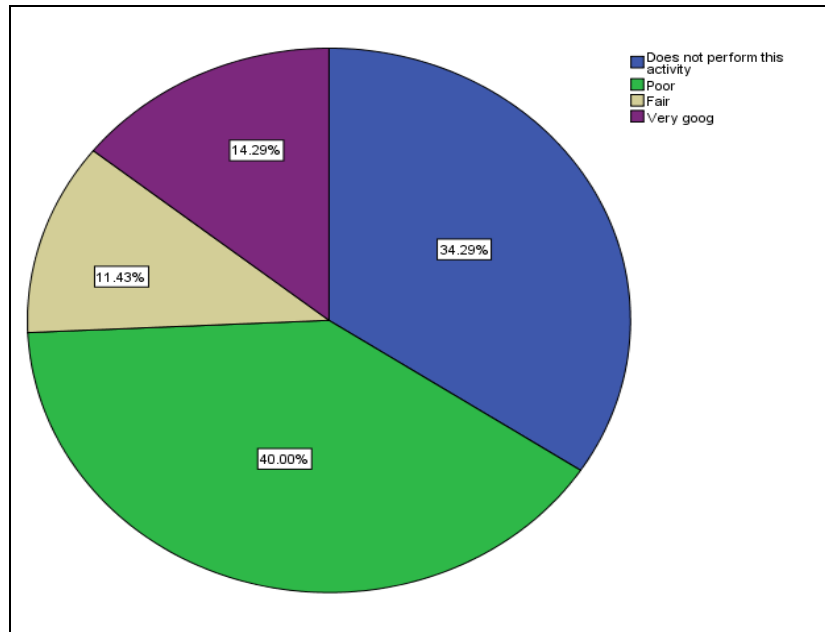


Figure 4.24: The level of staff training on the digital records management (N=35)

4.3.7 The senior support for the records management activities

According to the National Archives and Records Management Act the Central Director of the National State Archives System is responsible for promoting records management training (Moçambique 2007:5).

Hence, the EMU, as a public government agency, as along with other public entities that receive funds for a public purpose, is required by law at each administrative level to report on its actual performance against predetermined objectives (Moçambique 2009:46; Moçambique 2004:566). The EMU units are required to prepare a budget based on their particular business activities for each financial year. Then, the approved budget is followed by a regular internal auditing of its execution throughout the year. Nevertheless, the EMU is also required to submit annual reports together with its annual budgets.

The purpose of this objective is to investigate the annual budgeting for records management activities within the EMU units. Findings are presented according to the following sub-themes:

- Annual budget allocations to the records management function within the EMU units.
- Records management activities annually budgeted.

The next sub-theme is annual budget allocation to the records management function within the EMU units.

Respondents were asked about the annual budget allocation to the records management function within the EMU units. The respondents mentioned that the annual budget included funds allocated to the records management function.

From the data presented, it seems that the records of EMU units were poorly managed. There was no strategic planning and financial investment in the records management function. It was not given a priority in the budgeting within the EMU units because it did not form part of the general administration.

Respondents were asked for information on records management activities annually budgeted. Overall, the budgeting of records management activities was not performed within the EMU units. In fact, records capture, records registration, classification of common records, classification of classified information, access to records, records transfer and destruction of records were not budgeted at all. However, the annual budget allocated for the storage and handling of records was approximately 1000 to 6000 USD. Another 1000 to 6000 USD was allocated to records creation and retaining records and 7000 to 9000 USD was allocated for the records management training.

Accordingly, it can be concluded that the records management activities were not strategically budgeted. The existing resources were insignificant and had to be acquired from the general management function. These funds barely cover storage and handling and records management training. Consequently, the records management function within the EMU units did not achieve its objectives.

4.4 Summary

This chapter presented data that was collected through questionnaires and document analysis. In this section key issues raised are summarized according to research objectives as follows:

- Key records management documents, such as, classification scheme, and retention

schedules for common and specific records and classified information were not implemented within EMU units, thus posing difficulties in complying with The National Archives and Records Management Act.

- The EMU units did not have control over created and received digital records via investments in digital infrastructure.
- The central records appraisal and disposal committee was not functioning and the sectorial records appraisal and disposal committees and the records management units had not been created.
- The records review of current records and semi-current records did not form part of records appraisal and disposal processes within the EMU units.
- The non-current records of EMU units were kept at each unit's semi-current storage areas.
- The destruction of records through shredding or by using other methods did not comply with an approved retention schedule.
- The protection and preservation of semi-current records were affected by several environmental and material conditions, such as fluctuation of temperature and relative humidity, mold, insects, dust and furniture with respect to lack of adequate shelving and archival enclosures. As a result, the integrity, reliability and authenticity of records at EMU units were not ensured.
- Other factors that affected the accessibility of a unit's semi-current records were back logs, lack of finding aids and poor physical conditions. The semi-current records were less accessible than current records.
- Most of the existing records management staff remained at lower levels and were not trained and qualified on records management issues. Furthermore, the induction program did not form part as a strategy for records management training of new employees.
- The MHA and the EMU Directorate of Human Resources were competing in providing records management training at EMU units. Those units did not always work in unison.
- The records management activities were not strategically and annually budgeted within the EMU units.
- The existing resources for records management activities were insignificant and were unaccountable within the EMU units.

- The existing low-level records management staff were unable to interact with top management to influence decisions that are made in strategic meetings within the EMU units.

Finally, adequate planning and budgeting for the functioning of records appraisal and disposal committees and records management units within the EMU units are seen as the main challenges for ensuring the compliance with the National Archives and Records Management Act. The next chapter interprets and discusses the research findings.

CHAPTER FIVE

INTERPRETATION AND DISCUSSION OF RESEARCH FINDINGS

5.1 Introduction

The previous chapter presented the data that was collected via questionnaires and document analysis. This chapter deals with the interpretation and discussion of the research findings, a key component of any research where inferences and generalizations of findings can be drawn with regards to a problem statement and its respective research questions and hypotheses in order to coherently expose related aspects and processes that underlie the findings (Creswell 2009:152; Kothari 2007:281; Neuman 2006:159). Therefore, according to Babbie and Mouton (2001) and Neuman (2006), the interpretation of the findings should be done in an objective manner to achieve accurate conclusions.

This chapter follows the objectives of the research study in its structure, namely: State of availability and implementation status of key records management documents; The information and communication technology tools used for records management; The records appraisal and disposal processes; The protection and preservation of records of enduring administrative, scientific and permanent value; The accessibility of a unit's records by users; The training needs on records management; The annual budgeting for records management activities.

5.2 Key records management documents: policy, procedures and classification systems

The senior management at EMU, through the MHA, is responsible for ensuring the effective implementation of the records management policy and procedures. As a result, the key documents were recognized by senior management as important for the organization's business to achieve efficiency and effectiveness in the records service, so it is expected that some efforts in this area will be made as soon as possible (Comissão de Avaliação de Documentos de Arquivo-UEM 2012:1-2).

According to the Comissão de Avaliação de Documentos de Arquivo-UEM (2012:1) and the results of this study, it has been clearly demonstrated that the EMU has a long way to go in designing key records management documents such as manual of procedures for current and semi-current records, and this was remaining as an ongoing project in April of 2017.

It was revealed that the respondents were not sufficiently informed about approved archives and records management policy within the public sector including EMU units. Consequently, the staff responsible for the implementation of the records management programme was also unable to assess the organization's performance in records management in supporting, for example, teaching and learning processes within the EMU units. Students, lecturers, researchers and administrative staff were of course the main users within the academic community that would experience benefits from the services provided by EMU units. An additional challenge, is the fact that: manual of procedure is not in existence at EMU units. These shortfalls may lead to a similar situation to the one that has been occurring in the government bodies of South Africa and Botswana, where there have been serious consequences, such as the loss of vital national memory and the instigation of loss litigations against government bodies.

As can be seen, the EMU was not implementing the approved key records management documents. Consequently, this has meant that the university is being made vulnerable to a range of risks with the result that such poor records management has not added value to the governance of the businesses of EMU units. Accordingly, records could not be retrieved when needed by internal or external users of EMU units.

The senior management at EMU, through the MHA, is responsible for ensuring the effective implementation of the classification scheme of classified information for common records and the classification scheme and retention schedule for common records throughout the organization. Regarding the classification scheme and retention schedule for common records, this has not been implemented by the EMU. Two factors were responsible for this, namely, the lack of an adequate organizational business stamp for capturing incoming and outgoing records and the lack of trained staff (Comissão de Avaliação de Documentos de Arquivo-UEM 2012:1-2).

According to the Comissão de Avaliação de Documentos de Arquivo-UEM (2012:1) and the results of this study, it has been clearly shown that the EMU has many challenges to overcome in designing key records management documents. For example, the EMU has not yet been able to make available, the classification scheme of classified information for specific records and the classification scheme and retention schedule for specific records. It is necessary for the EMU to actually design the classification scheme of classified information for specific records.

5.3 Security and physical protection of records

In answering the questionnaires, respondents indicated that the EMU units did not ensure that records remained static, authentic, authority and unique because they were also not properly protected and preserved for future users. Furthermore, the records of EMU units were vulnerable to many environmental hazards such as dust, mold, insects and fluctuation of temperature and relative humidity (Comissão de Avaliação de Documentos de Arquivo-UEM 2012:3).

There is no environmental conditions control procedure that could prevent the negative effect that causes deterioration of records. Associated with the environmental factors, there is a lack of fire extinguishers (Comissão de Avaliação de Documentos de Arquivo-UEM 2012:3), suitable packaging material and adequate shelving. These problems were negatively influenced by the lack of a national standard for the acquisition of adequate shelving, furniture and records and archival enclosures. Additionally, the existing shelves, furniture and records and archival enclosures did not correspond to the protection and preservation requirements of current, semi-current and permanent records.

The results of the study clearly show that commercial off-site storage companies, which did not exist locally, should have stored semi-active records from EMU units. Due to the shortfall of the records storage center under the control of the MHA/National archives, the repository could not receive more records from EMU units. Consequently, due to a shortage of records storage areas, semi-active and non-active records are kept within the EMU units. The study also found that most EMU units kept semi-active records on-site.

The semi-active records that were kept on-site were stored in inadequate storage areas, sharing the existing space with other obsolete equipment and furniture and non-records and archival materials. Most of those records were affected by insects, dust and lack of archival enclosures and adequate shelving and furniture that caused degradation of the records (See more details in the Figures 4.18, 4.19 and 4.20 of section 4.3.5 of chapter four).

Apart from the degradation mentioned above, water leakages were also a potential danger. As well as this, Ngulube (2011:4; IRMT 1999:22) also postured, air pollution and damage from light, fire, rodents, abuse and mishandling as other factors that may cause deterioration to records (IRMT 1999:18-27; Comissão de Avaliação de Documentos de Arquivo-UEM 2012:3).

In short, the environmental conditions, particularly fluctuation of temperature and relative humidity, dust and biological agents such as mold and insects, together with the shortage of adequate shelving, furniture and archival enclosures, were seen as the main factors that affect the protection and preservation of records classified as static, authentic, authority and unique at EMU units.

5.4 Access to records

The section 2.5 of chapter two of this study gives a brief overview on the context of the access to information in the public sector worldwide. Further to this, the Mozambican Act n°34/2014 on the right to information was approved on 31 December 2014. The purpose of this Act is to promote public and democratic participation in decision making, complying with the National Constitution (Moçambique 2014:33). In this regard, members of the public should have access to information held by the state, municipalities and branches outside the country as well as private organizations with public interests (Moçambique 2014:[33]). With regards to the right to Information, this Act is regulated by Act n° 35/2015 of 31 December 2015.

According to the Act on the right to information, all civil servants from the public sector must provide citizens with required information within 21 days (Moçambique 2015:163). However, there are some restrictions or conditions for classified information that must be respected. If the request was not satisfactory, citizens may launch an appeal to the court or ask for verification of the dispatch from the competent civil servants, with technical assistance from a records appraisal and disposal committee (Moçambique 2015:163).

It seems that a number of factors, such as back logs, lack of finding aids and poor physical conditions reflected more negatively on semi-current records than current records in restricting the public's access to information. For example, some EMU units were unable to access records of administrative and enduring value in time. These records need to be properly identified and managed to enable compliance with archival legislation, as well as to facilitate easy retrieval of information that is normally done through a registration book of outgoing and incoming records. There is also in one EMU unit a data base used for retrieval of information on the management of human resources. These tools are regarded as being very easily used and very effective and efficient and therefore should be up-to-date and automatized (Comissão de Avaliação de

Documentos-UEM 2012:3). It would be seem, however, that EMU units continue to expend resources unnecessarily in order to manage records that should otherwise have been destroyed. Consequently, it is apparent that records storage areas should be made available to facilitate the retrieval of records by users.

The semi-current records were less accessible than current-records. The data was contradictory with 48.6% (17) of respondents arguing that they were fairly accessible and another 20% (7) stating that they were poorly accessible. Only a few users requested access to semi-current records.

Despite the above, records kept on-site in close proximity, were quickly retrieved by any users when requested. On the contrary, users of active files kept in off-site storage areas experienced enormous difficulties in retrieving those records. It also appeared in the study that some EMU units had tried transferring records to an off-site storage unit without it being arranged and described, just to remove those records and create space for the active ones. Of great significance for the continent was the fact that this practice was being undertaken by some government institutions in Sub-Saharan Africa. Retrieval consequently, becomes a challenging issue due to lack of a disposal authority (Ngulube 2011:4).

According to Library and Archives Canada (2012), operating in this way is high risk because records can be hard to find and kept beyond their useful life. As a result, these records cannot be preserved adequately and are costing more to retrieve, leading to unnecessary delay and expenditure. This situation is affecting, students, lecturers, researchers and administrative staff members at EMU, who need the records to operate or to respond to access to information requests and for legal cases. Lost and mismanaged records reduce their ability to deliver programs effectively (Ngoepe 2013:165).

The EMU units were thus not able to deal with requests satisfactorily under the Act, which was supposed to be enabling the right to information. The respondents were not sure which sector was responsible for the implementation of legislation concerning the right to information, the possibilities ranging amongst the records appraisal and disposal committee, records management unit and the Legal Services Directorate at EMU. What is more, the records management units and the records appraisal and disposal committee have not yet been created within the EMU

units that should be responsible for implementation.

5.5 Records management skills and training

Staff records management training is one of the crucial processes for a successful records management program. Therefore, an organization should establish an ongoing program of records training to equip records management staff with the necessary skills and knowledge of specific practices (ISO 2001:17). The lack of trained staff in the records management area within an organization means that the records management services become problematic. Most of the existing records management staff at EMU units were not trained specifically on records management issues (Comissão de Avaliação de Documentos de Arquivo-UEM 2012:1). Apart from the lack of trained records management staff, there was also a shortage of qualified staff in the records management field or related disciplines at EMU units. From the respondents, it appears that there was a strong need for records management training. They demonstrated that a significant investment in training and education in the field should be undertaken. In addition, from Figure 4.26 of section 4.3.7 of chapter four, the induction program did not form part of the strategy for records management training. This situation was therefore associated with the lack of structured records management functioning within the EMU units.

Figure 4.27 of section 4.3.7 of chapter four shows that the records management training was offered by both the MHA and Directorate of Human Resources at EMU as an ongoing program. That initial training was directed towards records management staff to give them the capability to facilitate the implementation of The National Archives System within the EMU units. The MHA is a competent institution in the country consisting of recognized and qualified staff with a great deal of experience in records management training. This was one of the planned processes that was to be performed by the MHA and in particular, the Central records appraisal and disposal committee within the EMU units (Comissão de Avaliação de Documentos de Arquivo-UEM 2012:2-4). As a means to unified approach, the EMU Directorate of Human Resources contracted qualified records management staff from the MHA for the running of short courses on records management for the EMU units, though without any planning in advance. No coordination activities existed between these two EMU units with relation to records management training issues. There was overlapping of records management initiatives at the

EMU units, thereby duplicating unnecessary resources which were not readily available. The two EMU units were competing in records management training within EMU schools, faculties, research centers, special units and directorate units.

From the questionnaires it seems that, due to lack of sufficient funding, those two EMU units were not doing a sufficient amount of staff training with regards to records management. The level of trained records management staff remained at low levels (For further information see evaluation done in Figure 4.25 of section 4.3.7 of chapter four). Existing formerly trained staff were constantly being moved to other sections or units with new responsibilities differing from the records management function (Comissão Central de Avaliação de Documentos-UEM 2012:1). These vacancies were filled with newly recruited staff without a specific knowledge of records management issues. This situation did not provide a basis for the successful implementation of the National Archives and Records Management Act at EMU units.

The records management staff at EMU unit were thought to be trained to a reasonable level, but 17 out of 35 respondents felt that there was no skills transfer within most of the staff in EMU units. For example, the classification scheme and retention schedule for common records and the sectorial scheme of classified information were not implemented. As a result, the records management staff in registry are still requesting more training.

In short, there were no coordinated initiatives on records management training within the EMU units mentioned above. The two units were apparently competing, thereby duplicating unnecessarily resources that were not sufficient. The standard of the records management staff in EMU units has remained at low levels, with the result that there is increasing organizational demand for qualified staff to deal with more complex issues.

5.6 Appraisal and disposal of records

In accordance with the National Archives and Records Management Act, the EMU units that form parts of the National Archives System are responsible for the proper management of current and semi-current records, including those records that might be transferred to MHA, through the creation of records appraisal and disposal committees (Moçambique 2007:8-9).

The records appraisal and disposal committees must be composed of three committee members, namely, a head of a registry, an archivist, and a staff member with a qualification in legal sciences (Moçambique 2010:6). These requirements are critical for a better functioning of a records appraisal and disposal committee. As a result, the EMU created a central records appraisal and disposal committee in 2011 that was supervised by the Vice-Rector and coordinated by the Director of the MHA. As its members were required to hold a multi-disciplinary background, this was composed of 5 members and not three members as the law states: one archivist from MHA, two from central registry, one coordinator from MHA and one from the Directorate for Administration.

According to Moçambique (2007:23), records appraisal and disposal committees play an important role in records management within the public sector. They can strengthen an organization's ability to identify and assess risks. In addition, these committees are technically and methodically supervised by NCRAD, based on the approval of standards on functioning of records appraisal and disposal committees within the public administration in Mozambique (Moçambique 2010:4-6). This point is underscored by Moçambique (2007:23), in stating the main functions of the records appraisal and disposal committee within the National Archives System as follows:

- Formulate and implement a records management plan.
- Coordinate and implement a classification scheme and retention schedule of common and specific records.
- Propose a classification scheme and retention schedule of specific records.
- Coordinate records appraisal and disposal processes (Moçambique 2007:23).
- Ensure that records and archives are properly managed within the public sector.
- Formulate a records disposal plan in coordination with public government agency archives.

Initially, the Central records appraisal and disposal committee at EMU was created for six months with the sole purpose of planning and budgeting the records management activities of directorate units at EMU for the period 2011 to 2012. The academic units were not the working target of the committee (Comissão de Avaliação de Documentos de Arquivo-UEM 2011:2).

According to respondents, the budget of the Central records appraisal and disposal committee was not made available at the time. Due to the lack of funding, it had to extend its work for a further twelve months. In total, the committee was delivering records services for eighteen months from 2011 to 2013. This plan covered records management staff training on records classification, appraisal, disposal and assessment of twelve targeted EMU directorate units. It was also responsible for the designing of instructions for the functioning of this committee at EMU (Comissão de Avaliação de Documentos de Arquivo-UEM 2011:[1]).

Apart from insufficient funding, the lack of transport for visiting and carrying out appraisal and disposal activities was a great drawback that hampered destruction, transfer and preservation of records within the EMU units, which are physically situated in different locations around Maputo City. Some are closer than others, but provision of transport remains a critical issue for committee members. The committee was unable to adequately monitor the implementation of a classification scheme of common records and other planned records management activities within EMU units.

The EMU did not create any sectorial records appraisal and disposal committees and records management units that could carry out the records appraisal and disposal processes. This was confirmed by 82.6% (29) of respondents who indicated that the records appraisal and disposal activities for current records and semi-current records were not carried out at all within the EMU units. Regarding non-current records with archival value, these must be transferred to the archive's repositories even if they were stored either on-site or off-site. In fact, most of these records may have no enduring business or historical value, and should be the subject of an appraisal and disposal process. For example, as indicated in Figure 4.16 of section 4.3.4 of chapter four, EMU units did not have their own specific storage areas for semi-active and non-active records. This was evidenced in Comissão de Avaliação de Documentos de Arquivo (2012:1).

According to respondents, the Central records appraisal and disposal committee was not functioning after 2013, thus requiring the extension of its mandate. This means that from 2013 up to the date of this study, the responsibility for the records appraisal and disposal processes was not assigned within the EMU units. Consequently, the processes were not carried out within these units and a records review before the records appraisal process took place was also non-

existent. Thus, the records review of semi-current records did not form part of records appraisal and disposal processes within the EMU units. It was argued in Figure 4.12 of chapter four by 82.9% (29) of respondents that the EMU units did not perform this activity at all.

As it is shown in Figure 4.13 of chapter four, the EMU units had different periods of records appraisal and disposal. However, 11.4% (4) of respondents argued that the records appraisal and disposal processes for semi-current records were carried out in each five-year period. In addition, 5.7% (2) mentioned that the records appraisal and disposal processes of current records were carried out in the same period. This situation was exacerbated by the fact that the retention schedule for common records was available but not implemented and the retention schedule for specific records was not made available at all. This had a negative effect on records destruction activity.

Many respondents said that destruction of records through shredding or by using other methods was carried out without applying an approved retention schedule, either for common or specific records. Such destruction of records was not documented. From the questionnaires, it was also apparent that non-current records for units were kept in semi-current storage areas. Due to lack of storage areas, shelving and archival enclosures, no records were transferred to MHA. The existing semi-current storage areas for units were overloaded and some of the records were kept in registries and working places, demanding an appraisal and disposal activity for selecting, transfer and destruction of these records. In this study, however, it was found that most of the records appraisal and disposal committee members were unmotivated and insufficiently trained with a lack of adequate qualifications. Therefore, individual committee members could not introduce changes due to their lack of knowledge, especially in archives and records management. In a similar fashion to the audit committees in government bodies in South Africa (Ngoepe 2013:180), the Mozambican records appraisal and disposal committees should also establish and maintain effective relationships with key stakeholders who influence and inform the responsibilities and operations of the committees. This can be achieved by records appraisal and disposal committees through their meetings and through working with key stakeholders outside of committee meetings (Ngoepe 2013:180). The stakeholders may include: personnel in leadership, records management, IT, information management, risk management, human resources, finances and supply chain management (Ngoepe 2013:180-181). This relationship is

central to enabling the committee to meet its responsibilities. When Moçambique (2010:5-6) classified the responsibilities of records appraisal and disposal committees, the surprise omissions were records creation, preservation and access to information issues. Hence, according to Moçambique (2010:5-6), the key determinants of an effective functioning of the records appraisal and disposal committee are as follows: composition, authority, resources, sufficient number of members, expertise and skills. This will have a beneficial effect on the committee's performance in an organization.

The life cycle of a record is comprised of three phases, namely, active, semi-active and non-active phases. Each of these three phases should be managed with adequate security (Ngoepe 2013:163). Thus, the active files must be stored on the premises of a governmental body in a central place called the registry whereas semi-active files are to be kept in the records storage center under the control of the national archives repository, while non-active files are transferred to an archives repository for permanent preservation (Ngoepe 2013:163). The storage areas of each record's phase are different locations. These records storage areas must be able to accommodate the growth in the amount of documentation (Ngoepe 2013:127).

In short, from the above situation, it was understood that the effectiveness of the records appraisal and disposal committee at EMU units was poor. The committee remains non-existent and because of that it could not achieve efficiency and effectiveness regarding its role, particularly with regard to coordinating, designing and implementing records management tools within the EMU units.

5.7 Management of digital records

Information Technology (IT) is seen as an important business tool for organizations (IRMT 2009:1). Electronic records enable individual users and organizations to access quality, timely, effective and efficient records with less effort and money required, but at the same time with conditions in compliance with laws and regulations. Although paper-based records and electronic records are subject to the same legal requirements at EMU units (Moçambique 2001:10), the National Archives and Records Management Act is only applied to the management of paper-based records. Other types of records, including electronic records, are not covered by the Act. There is an absence of specific policies, regulations, strategies, standards and guidelines for the

management of electronic records (Moçambique 2001:10; IRMT 2009:2). Thus, the records professional should be working towards the development of the legal organization infrastructure for the management of electronic records (IRMT 2009:39). (See the Figure 5.1. below on the best practices for the implementation of an electronic records management programme by creating or improving existing policy). However, adequate power supplies, robust networks, sufficient band width, suitable technical support and effective computer backup systems remain critical to all IT systems (IRMT 2009:32). If this is not the case, then existing electronic records will not be preserved over a long period of time because the reliability and authenticity, as evidence of records resulting from a particular activity, may be subject to change. To avoid this situation, the safety of the records should be ensured over time (Lin, Ramaiah & Wal 2003: 118-119; Irons 2006:106).

As it has already been detailed, there are two types of computer software: proprietary and open software. The proprietary software is designed and owned by a company. The company does not divulge specifications of the product to avoid its duplication by other companies. This situation is regarded as a disadvantage by many organizations. As a result, users prefer to use open software, also known as free software. Specifications of this software are publicly accessible and differ from proprietary software (IRMT 1999:13). Therefore, people using open software can mix and match products from different manufacturers and this is regarded as the great advantage brought by open software (IRMT 1999:13).

In this study, it was revealed that the electronic system, SIGE, was developed from free software that can be used through the internet by all EMU units. However, due to the environment bandwidth being low, communication between EMU units was hampered. The bandwidth available in the information system did not ensure a quick process. It became time consuming to complete a task and this system could not work properly. As a result, all the existing functionalities of the system were not effectively exploited by records management staff who continued to rely on the manual environment. This was also exacerbated by the lack of trained records managers, technical infrastructure and technical support for follow up from the Information Center at EMU.

From questionnaires on the sites, it became obvious that the units did not perform appraisal,

destruction and transfer of records or adhere to retention period of digital records. In fact, this system did not fully meet the electronic record management needs because it did not have the necessary records management functionalities of an Electronic Document Records Management System (EDRMS). This system was built for tracking physical incoming and outgoing records within the EMU units. However, one respondent said that applications such as classification scheme, appraisal, destruction, transfer and retention period of records and digital records can all be incorporated into the system in future, thus converting it to an EDRMS.

Meanwhile, the Informatics Center at EMU is willing to accept from records professionals all important recommendations for converting the system to an EDRMS. However, some issues should be considered, such as consultancy, networking, system maintenance, records security measures for easy retrieval and access to records (Mazikana 1999 in Kemoni, Wamukoya and Kiplang'at 2003:40). The purchased or developed EDRMS should be reliable and run backup tasks for disaster recovery and manage paper, electronic and multimedia records (Johnson and Bowen 2005: 134; Tafor 2003:75; Ojo 2009:99).

The respondents revealed that there was no records manager working as part of the project for the development of the digital system at the EMU Centre of Information. This project was therefore likely to fail because the decision for the development of the system was not founded on a sound analysis of the business requirements of the different EMU offices. The records manager staff at MHA was of the opinion that the roll-out of the built electronic system is essentially a records management issue and not an ICT issue. The EMU Information Center failed to indicate to the researcher the criteria used to select the system. As supported by IRMT (2009:1), consideration should be paid to what tasks the computer system will perform and how records will be managed.

Hence, this study demonstrated that the inaccessibility of existing hard discs, flash drives, DVDs and external discs, which resulted from a lack of a successful and effective programme, could not ensure the management of electronic records in the same way as paper based records. According to the respondents on the sites, the digital records were poorly managed at EMU units. This was confirmed when 37.1% (13) of the respondents indicated that this activity was not performed. In Figure 5.1 below are reflected key parts of the processes for implementation of

an electronic records management programme in an organization starting with the creation or improvement of a records management policy, followed by continuous improvement as detailed by IRMT (2009: 3).

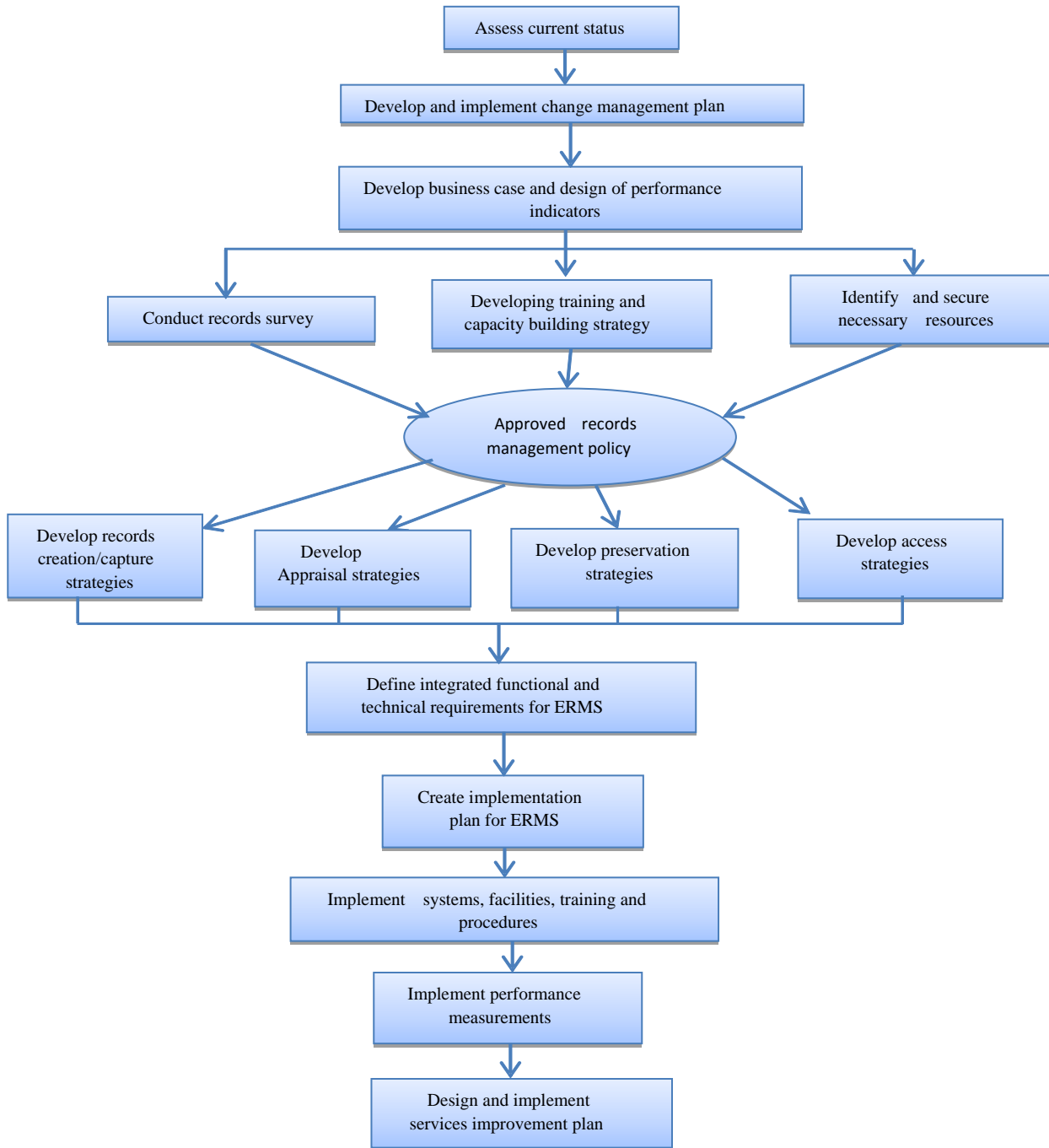


Figure 5.1: Implementation of digital records management by policy (IRMT 2009:3)

To sum up, the records management staff was characterized by a lack of technical expertise in electronic records management and this was associated with the poor functioning of the installed system within the EMU units which required constant follow-up by Information Center staff at EMU. The built electronic infrastructure was unable to respond to the demands imposed by the installed system where the digital records did not form part of it. With information from the IRMT (2009:3), best practices for a successful, effective and efficient electronic records management programme could be laid down.

5.8 Senior support for records management activities

As records contain important information, it is critical that the records management function protects them as evidence of actions within an organization's business and in society (ISO 2001:4). For this purpose, records management activities and processes must be budgeted for or funded as a specific business activity within the organization (Githaka 1996:7; Mnjama 1996:29; Moyo 1996:41; Mnjama 2004:47-49; Kemoni & Ngulube 2008:304; Keorapetse & Keokopa 2012:24-25; Ngoepe & Ngulube 2013:8; Wamukoya & Lowry 2013:159; Ngoepe & Ngulube 2014:148). (For more details see section 2.9 of chapter two on the benefits of an archives and records management act in the public sector).

The results of the study indicate that the records management function at EMU units was not the subject of any budgeting and was poorly managed. Only 2.9% (1) of respondents mentioned that a portion of the annual budget was allocated to the records management function. There was no strategic financial investment in the records management function that could be formulated from the state's annual budget, which presents the state of affairs of government revenue and expenditure (Moçambique 2004:555). The records management function was also not given priority within the EMU units because it did not form part of the general administration and would therefore incur more costs. Lack of a records management section within the units with trained and qualified staff seems to be the root cause of exclusion of the records management function from the planning and budgeting of the units. As a result, a regular internal auditing of its execution throughout the year cannot be done. The only external control of the legality and efficiency of public income and expenditure is provided by the Administrative Court, which is a supreme and independent body (Moçambique 2004:566).

To sum up, although the EMU units do submit an organizational budget, but it does not cover records management needs. As a result, the businesses conducted by the units were not fully supported by documentation.

5.9 Summary

This chapter has interpreted and discussed the empirical research findings done in the light of the empirical data presented in Chapter Four. It has been established that the status of availability of the key records management documents such as those on policy, procedure, regulation, standards, designing of records management toolkits and creation of a records management unit within an organization is very low. The implementation of key records management documents can ensure a unit's effectiveness and efficiency in protecting and retrieving information contained in a record as evidence within an organization. On the contrary, a lack of implementation of the key records management documents leads to destruction of records. Therefore, a national archival and records management act is a crucial element for an effective and efficient management of organization's business records.

Hence, the main problems or drawbacks related to the implementation of the National Archives and Records Management Act at EMU are as follows:

1. The National Archives and Records Management Act did not cover electronic records management and other medium records besides those which are paper based. There is an absence of specific policy and procedures for the management of digital records. The manual of procedures for paper records was also not implemented at EMU units.
2. The classification scheme and retention schedule and the scheme of classified information for common records were not implemented. In addition, the classification scheme and retention schedule and the scheme of classified information for specific records were also not in existence at EMU units.
3. There is a shortage of records storage areas at the MHA and because non-active records are taking up space, no more records can be received from EMU units. Consequently, semi-active and non-active records are kept on-site within EMU units. Semi-active records that were kept on-site were inadequately stored in storage areas sharing with

obsolete equipment and furniture and non-records and archival materials. Most of those records were affected by insects, dust and lack of archival enclosures and adequate shelving and furniture, which resulted in degradation on the records.

4. Due to a number of factors, such as back logs, lack of finding aids and poor physical conditions, that were reflected more negatively on semi-current records than current records, the internal and external users of the EMU units were unable to access its records.
5. The records management staff at EMU units were not sufficiently skilled in both manual and electronic environments. As a result, the records management staff in registry are requesting more training as well as the recruitment of qualified and competent staff.
6. Records appraisal and disposal committees and records management units had not been created. Consequently, current and semi-current records were not appraised and disposed of in systematic ways. In addition, due to the lack of records storage areas records were not transferred to MHA.
7. Due to the environment bandwidth being low, SIGE did not ensure a quick communication process between EMU units. Consequently, all the existing functionalities of the system were not effectively exploited by records management staff, who continued to rely on the manual environment.
8. The records management function at EMU units was not the subject of any planning and budgeting. The annual organization budgets did not specifically cover the records management function, thereby incurring more costs. The records management staff were not informed from senior management about the availability of the annual budget for records management activities.

It can be argued that the effective and efficient implementation of the National Archives and Records Management Act by EMU units is certainly possible, with the inclusion of all stakeholders of the national archives system joining forces to provide a coordinated effort towards the achievement of this goal. However, the efficiency of the records management function at EMU will require dedicated attention by the senior management. To this end, the

senior management of the EMU units must continue focusing on the records management function from records creation to disposal. This function must be strengthened through the provision of adequately trained and qualified staff and appropriate funding to ensure the implementation of The National Archives and Records management Act at EMU units. In doing this, long term preservation of and access to records by the internal and external users may be achieved through established, properly documented systems, policies, regulations, standards, procedures and tools that drive sustainable best records management practices.

The next chapter provides the summary, conclusions, and recommendations generated from the assessment of the state of implementation of a national archives and records management act within the organization. It identifies the main related problems or drawbacks from records creation to disposal and proposes a way forward for ensuring the effectiveness and efficiency of the implementation of the National Archives and Records Management Act at EMU in Mozambique.

CHAPTER SIX

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

6.1 Introduction

The previous two chapters presented data analysis, interpretation and discussion of the findings. This chapter is dedicated to the summary, conclusions and recommendations regarding the findings of the study. This is based on the research objectives and questions as well as data analysis and interpretation and discussion of the findings, which were presented in the previous two chapters, along with the literature review presented in chapter three of this study. The findings of the study presented in the previous chapters are summarized in this chapter.

The purpose of a conclusion is to re-state the findings of the study and to draw the implications of the findings for the research questions at hand (Kalusopa 2011:263). The conclusion looks backward for distilling in short precisely what has been accomplished in each phase of the research activity. As Leedy and Ormrod (2010:296) would attest, in the conclusion all loose threads are gathered together, as in the end, the research must come full circle to its starting point.

This chapter proposes recommendations on the best records management practices from records creation to disposal. As a follow-up to the present study it recommends further research, identifies possible practical implications of the results, practice and policy. It is hoped that such recommendations will help the EMU to implement The National Archives and Records Management Act within its units.

6.2 Summary

This study was divided into six chapters. Chapter one set the context of the study by presenting an introduction and a brief historical background with regards to archives and records management in Mozambique. Chapter two analyzed the literature review in an overview of the National Archives and Records Management Act, both in the public sector and specifically in Mozambique, with particular attention to the EMU. Chapter three was concerned with a description of the research methodology. Chapter five presented an analysis of the data. Chapter five covered interpretation and discussion of the research findings of the study. Chapter six will

present the summary of the research findings, conclusions and recommendations of the study.

This section presents the summary of findings according to the research objectives. The results of the study showed that the EMU has not yet made available the key records management documents, namely, classification scheme of classified information for specific records, classification scheme and retention schedule for specific records and procedures manual for current records. Furthermore, although the classification scheme and retention schedule for common records were made available, the EMU units had not yet implemented them. Two reasons were pointed out: the lack of an adequate stamp for capturing incoming and outgoing records and a lack of trained staff. The records management staff were not sufficiently informed about approved and existing key records management documents with reference to the EMU units. This implies that most EMU units were finding difficulties with regards to the implementation of a classification scheme and retention period for common records and the management of current records as a whole. The MHA is responsible for implementation of the National Archives and Records Management Act at EMU units, but the EMU units were still unable to assess the organization's performance in records management in supporting, for example, teaching and learning processes.

The analysis of the existing electronic system, the SIGE, showed that it is just used for tracking physical incoming and outgoing records within the EMU units. The system does not perform some applications such as classification scheme, appraisal, destruction, transfer and retention period of records and digital records as well (UEM 2015:3), but those applications can be incorporated into the system in future, converting it to an EDRMS. However, adequate power supplies, robust networks, sufficient band width, suitable technical support and effective computer backup systems remain critical to all IT systems (IRMT 2009:32). In addition, the inaccessibility of existing hard discs, flash drives, DVDs and external discs resulted in the lack of a successful and effective programme that could ensure the management of electronic records in the same manner as that of paper based records. This program would respect best practices in the processes of implementation of electronic records management by creating the policy illustrated in Figure 5.1 of chapter five of this study (IRMT 2009:3).

As regards the environmental conditions, the fluctuation of temperature, relative humidity, dust, and biological agents such as mold and insects along with the shortage of adequate shelving,

furniture and archival enclosures were seen as the main factors that affect the protection and preservation of records of static, authentic, authority and unique status at EMU units over time. As a result, according to respondents, the semi-current records were less accessible than current-records. Other factors such as back logs, lack of finding aids and poor physical conditions affected the semi-current records more negatively than the current records. These records need to be properly identified and managed to enable compliance with archival legislation, as well as to facilitate easy retrieval of information that is normally done through a registration book of outgoing and incoming records. In addition, the EMU units were not able to deal with requests successfully under the Act regarding the right to information. The respondents were not sure who was responsible for implementation of the legislation on the right to information, whether it was the Central records appraisal and disposal committee, the records management units, the Legal Services Directorate at EMU or the MHA. In fact, the Legal Services Directorate at EMU is undertaking this work outside the university campus. The situation concerning the records management training initiatives was also being divided between the MHA and the Directorate of Human Resource Management within the EMU units.

The EMU units were facing a shortage of trained and qualified staff in the records management area. Although there are two EMU units, namely, MHA and the Directorate of Human Resource Management, which carry out records management training initiatives, these units were competing and consequently duplicating scarce resources unnecessarily. The records management training of staff at EMU units has remained at a low level, despite the great organizational demand for qualified staff to cater for more complex issues. Further problems arise when trained staff are continuously moved from one department or unit to another with new responsibilities not associated with records management issues.

Overall, the study established that archival legislation is a crucial tool for the public sector to ensure the management, preservation and access to the country's national document heritage (IRMT 1999:3), but most archival legislation in Africa has not been budgeted for (Ngoepe & Saurombe 2016). Due to the above observed records management problems, the UEM units are facing great challenges accomplishing the smooth implementation of the National Archives and Records Management Act.

6.3 Conclusions

This study was undertaken to assess the state of implementation of the Mozambican National Archives and Records Management Act at EMU, as a governmental public agency. This act is meant to ensure the efficient and effective archives and records management within its administrative, academic and special units, making records available for a range of administrative and academic purposes for as long as possible.

Even though the study has found that the EMU, through coordination of the MHA, has carried out a range of activities for implementation of the National Archives and Records Management Act, it is clear from the above discussions, content analysis and findings that the EMU has a long way to travel as far as record keeping is concerned. The challenges experienced in implementing key records management documents in a government body are not unique to the EMU units.

This study has revealed that an enormous advantage in the implementation of a records management system is the commitment of top management. Indeed, without the support of top management, the attempts at implementing a records management system are doomed to failure due to the lack of funding. According to respondents, the records management activities were not strategically and specifically budgeted for. The existing resources were acquired from the general management function. Consequently, the EMU has not yet made available the key records management documents, namely, classification scheme of classified information for specific records, classification scheme and retention schedule for specific records and a procedures manual for current records. Furthermore, although the classification scheme and retention schedule for common records were made available, the EMU units had not implemented them. This was associated with the lack of an adequate stamp for capturing incoming and outgoing records and the lack of trained staff as well. The records management staff is not sufficiently informed about approved and existing key records management documents in particular, at the EMU units, which would be relevant to the business and records service delivery.

The study has also established that the existing hard discs, flash drives, DVDs and external discs were not accessible, resulting in the lack of a successful and effective programme that could ensure the management of electronic records in compliance with best practices in the processes

of implementation of electronic records management. This could be achieved through the creation of documents detailing policy, standards, regulations, procedures and guidelines. Furthermore, the existing electronic system is not fulfilling EDRMS specifications. This system with its insufficient band width is used solely for tracking physical incoming and outgoing records within the EMU units, taking a long time to complete a task. As it is not EDRMS, the system does not perform some applications such as classification scheme, appraisal, destruction, transfer and retention period of records in digital form as well. It means that the resources allocated to records management are still insufficient and the records management function does not form a significant part of the strategic objectives of the EMU.

Regarding to the protection and preservation of records of enduring value, the study revealed that there would no longer be static, authentic, authority and unique categories in existence. Those records were vulnerable to degradation as time passed by a range of factors such as fluctuation of temperature and relative humidity, dust, mold, insects and a shortage of adequate shelving, furniture and archival enclosures. Consequently, the semi-current records were less accessible than current-records. Besides this, the accessibility of records at EMU units was also limited by the existing back logs, lack of finding aids and their poor physical conditions.

The EMU units were therefore not able to deal with requests successfully under the right to information Act. Difficulties arise because the MHA and the Legal Services Directorate at EMU are both responsible for the implementation of legislation on the right to information outside the university. The latter did not work in liaison with the MHA, but in unison. Duplicity also occurred regarding the records management training initiatives which were shared between the MHA and the Directorate of Human Resource Management within the EMU units.

Further problems have arisen because the EMU units have been facing a shortage of trained and qualified staff in the records management area. Although there are two EMU units namely, MHA and the Directorate of Human Resource Management that carry out records management training initiatives, these units were duplicating the scarce resources unnecessarily. The low level of the staff of records management in the EMU unit remains and that means that they cannot deal with more complex issues. In addition, trained staff are frequently moved from one department or unit to another and given new responsibilities unrelated to records management issues.

Overall, the study established that an archival legislation cannot ensure an effective and efficient management, preservation and access to the country's national document heritage if it is not properly budgeted for. The provision of sufficient funding is crucial for the implementation of the act. Therefore, it can be argued that this study was able to answer the research questions as well as meet the objectives raised in chapter one.

6.4 Recommendations

According to the research findings, the National Archives and Records Management Act is not fully implemented within the EMU units. There are some challenges which might be overcome if the basic procedures in control systems are in place and if leadership takes a proactive role. This situation encompasses the following aspects: the design and implementation of the key records management documents; the use of information technology and communication tools for records management processes; the protection and preservation of records of enduring administrative, scientific and permanent value; factors that affect the accessibility of a unit's records, efficiency and effectiveness of records appraisal and disposal processes; training needs in records management and the annual budgeting of records management activities.

Regarding this assessment of the National Archives and Records Management Act, the following recommendations are made:

Key records management documents were either not implemented or made available to facilitate the retrieval of information. These documents include the following items: disaster recovery plan, classification scheme of classified information for specific records, the vital records schedule and the establishment of contingency arrangements for those records or business continuity plans, the classification scheme and retention schedule for specific records, the procedures manual for current records and the classification scheme and retention schedule for common records. Consequently, this study proposes that the records management function should be the subject of strategic planning, budgeting and monitoring with the commitment of top management. This can be achieved by making adequate records management resources available to complete the task. In addition, if the existing records are not able to be retrieved at the time when requested, this factor should be mapped according to budget codes corresponding to the expenditure.

To accommodate these reforms, it is necessary to appoint records managers at senior level. On the one hand, the records management activities can be represented in management meetings and on the other hand, the records managers can dedicate themselves to the records management activities. Therefore, records managers should be adequately qualified, trained and properly motivated to undertake the documentation of their unit's activities in a serious manner. Records managers have a duty to manage records from creation to disposal. Associated with that, all staff should be notified and supplied with a directive for implementation of records management processes within the unit. If this does not occur, there will not be enough trained staff to ensure that the created or received records are inserted in the filing systems of EMU units. This activity is unlikely to be done by people who do not have a background in records management. On the other hand, staff must feel ownership of the records, participating as fully as possible in the development process by recognizing the importance of good records management, which builds confidence in the new system. Therefore, workshops, demonstrations, meetings and interviews should be held and adopted as a communications strategy.

As a way forward, the EMU should consider developing an EDRMS in all existing units in liaison with the Center of Information and the MHA. As the management of records is concerned with the flow of information throughout an organization, this EDRMS should link to a work flow system of all documents stored electronically, thereby complying with the requirements concerning requisite time frames. Ngoepe (2013:199) argued that Information Technology does not embrace information management and it is used solely as an enabling component within information management.

Apart from the above recommendations for successful implementation of the National Archive and Records Management Act, any developmental strategies should be associated with the provision of records and archives enclosures, adequate shelving, adequate environmental conditions and adequate records storage areas. This can be achieved by promoting awareness within staff members and top management of the importance of records, regardless of their medium, for the organization's businesses as a corporate resource. There should also be an understanding that records are not merely for personal use. Without such material resources, public records may not be protected and preserved from any hazards and they may also not be made available to the academic community and the public as whole, thus failing to meet the

requirements demanded by the right to information Act of 2014.

Regarding the effectiveness and efficiency of records appraisal and disposal processes, this study proposes that the EMU should consider the extension of the mandate of the Central records appraisal and disposal committee and create two additional sectorial records appraisal and disposal committees for research, teaching and learning processes respectively. The profile and composition of the committee members should comply with the existing archives and records management legislation. The creation of records management units within the academic and administrative units at EMU, based on the designed records management model that is suitable for particular environments, is also a key legal strategy for insuring the effectiveness and efficiency of the records management function. Furthermore, the records appraisal and disposal processes should be carried out in liaison with the MHA as the MHA has a statutory responsibility for the preservation of records of enduring value and the provision of easy access to them by the public.

Finally, there is also a need for EMU, through the School of Communication and Arts and MHA, to develop training modules for records management based on the National State Archives System requirements. This training would identify and define the key functions and activities associated with the design, implementation and maintenance of records management infrastructures for the EMU units. It would also identify the education, training and recruitment strategies that should be employed to close the gap between what exists now and what is required to ensure that the EMU units are supported by relevant and effective record keeping infrastructures. In this way, it will be possible to assess the level of compliance with the National Archives and Records Management Act of 2007. The MHA, as a coordinator of the archiving function at EMU, should also participate by playing an effective role in assisting the EMU units to implement proper records management through participation in designing systems, monitoring their operation, and recommending improvement.

6.5 Implication for policy and practice

This study presents a number of recommendations that may introduce changes to both policy and practice. They can help the EMU and other public government agencies in Mozambique to establish a comprehensive records management programme for the smooth implementation of the

National Archives and Records Management Act. The current study has meet the objectives concerning the assessment of the state of implementation of the National Archives and Records Management Act at EMU, in Mozambique. According to Leedy & Ormord (2010:285), research findings must not entirely differ from the people's current knowledge about the topic in question. Therefore, it adds to the existing conceptual and contextual issues forming the current discourse on records management covering digital records in the public sector. The study has presented a number of recommendations and a framework for the implementation of digital records management by policy as a foundation for introducing records management changes at EMU.

6.6 Final conclusion

The study was structured into six chapters. Chapter One is devoted to introduction and background of the study. Chapter Two reviewed literature regarding the overview of the role of archives and records management act in the public sector. Chapter Three presented research methodology that can be reasonable replicated to a similar study. The methods used in this study were explained in detail to allow readers to be informed enough about the type and place and tools of data that has been collected and used for data analysis, respectively. Chapter Four presented the results of the study from the data collected through questionnaires in relation to the state of implementation of the National Archives and Records Mngement Act at EMU. Chapter Five discussed the research findings offering a broad interpretation of the results. Chapter Six is dedicated to the summary, conclusions and recommendations regarding the findings of the study. This is based on the research objectives and questions as well as data analysis and interpretation and discussion of the findings, which were presented in chapter four and chapter five, and the literature review presented in chapter three of this study. The findings of the study presented in the previous chapters are summarized in this chapter. Finally, the study presented a number of recommendations and a framework for the implementation of a digital records management system utilizing a policy in order to introduce records management changes at EMU by establishing a comprehensive records management programme. Furthermore, the study presented the implication of such a programme for policy and practice.

The study clearly revealed that the National Archives and Records Management Act will not be successfully implemented without senior management support for recruiting qualified staff and their continued training and acquisition of software and hardware, furniture, shelving and other

records and archival materials. It means that an archival legislation cannot ensure an effective and efficient management, preservation and access to the country's national document heritage if it is not properly budgeted for. The provision of sufficient funding is crucial for the implementation of the National Archives and Records Management Act. However, EMU records managers are not able to enforce the compliance with the Act according to life cycle of a record. The implementation of this Act faces great challenges also because the existing staff of records management at EMU units remains at low level and they cannot deal with more complex issues. In addition, trained staff are frequently moved from one department or unit to another and given new responsibilities not related to records management issues.

The study has also established that the digital environment at EMU units was poor. It was characterised by records that were not accessible together with the lack of a successful and effective programme that could ensure the management of digital records in compliance with best practices in the processes of implementation of this function. The existing digital system is not fulfilling EDRMS specifications. As it is not EDRMS, the system does not perform some applications related to classification scheme, appraisal, destruction, transfer and retention period of records in digital forms as well. Therefore, there is a strong need for the formulation of documents detailing policy, standards, regulations, procedures and guidelines. This must be associated with putting in place a strategic planning and budgeting of records management function within the EMU units. It is also clear from the study that the EMU has a long way to go before the successful implementation of the National Archives and Records Management Act. Clearly, records management plays a significant role as it establishes both legal and administrative infrastructure and protects the rights of citizens with respect to recorded information (ICA 2004:5) as well as allocating roles, power and responsibilities among central state departments and public agencies. Therefore, the EMU administrative, academic and special units should start rising awareness on the importance of the role of records management issues as the first step and follow this by formulating a policy for the implementation of a digital records management that would comply with the National Archives and Records Management Act.

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BOLETIM DA REPÚBLICA

PUBLICAÇÃO OFICIAL DA REPÚBLICA DE MOÇAMBIQUE

4.º SUPLEMENTO

IMPrensa Nacional de Moçambique

AVISO

A matéria a publicar no «Boletim da República» deve ser remetida em cópia devidamente autenticada, uma por cada assunto, donde conste, além das indicações necessárias para esse efeito, o averbamento seguinte, assinado e autenticado: Para publicação no «Boletim da República».

SUMÁRIO

Conselho de Ministros:

Decreto n.º 36/2007:

Altera o Sistema Nacional de Arquivos criado pelo Decreto n.º 33/92, de 26 de Outubro, passando a denominar-se Sistema Nacional de Arquivos do Estado, abreviadamente designado SNAE, e aprova o Plano de Classificação de Documentos para as Actividades de Meio, a Tabela de Temporalidade e Destinação de Documentos para as Actividades de Meio da Administração Pública e o Classificador de Informações Classificadas.

Decreto n.º 37/2007:

Altera o período de realização do recenseamento eleitoral referente ao ano de 2007 e revoga o Decreto n.º 27/2007, de 19 de Junho.

Decreto n.º 38/2007:

Cria o Millennium Challenge Account — Moçambique, adiante designado por MCA — Moçambique e aprova o respectivo estatuto orgânico.

CONSELHO DE MINISTROS

Decreto n.º 36/2007 de 27 de Agosto

Havendo necessidade de adequar o Sistema Nacional de Arquivos ao preconizado na Estratégia para a Gestão de Documentos e Arquivos do Estado e no Plano de Acção para a sua Implementação aprovados pela Resolução n.º 46/2006, de 26 de Dezembro, ao abrigo do disposto na alínea f) do n.º 1 do artigo 204 da Constituição da República, o Conselho de Ministros decreta:

Artigo 1.º É alterado o Sistema Nacional de Arquivos criado pelo Decreto n.º 33/92, de 26 de Outubro, passando a denominar-se Sistema Nacional de Arquivos do Estado, abreviadamente designado SNAE, nos termos constantes do Anexo I, que constitui parte integrante do presente Decreto.

Art. 2.º — 1. São aprovados o Plano de Classificação de Documentos para as Actividades de Meio, a Tabela de Temporalidade e Destinação de Documentos para as Actividades de Meio da Administração Pública e o Classificador de Informações Classificadas, que constituem os Anexos II, III e IV ao presente Decreto, do qual fazem parte integrante.

2. Compete à entidade que superintende na administração pública aprovar a metodologia de elaboração e os planos de classificação e as tabelas de temporalidade de actividades-fim, bem como os classificadores de informações classificadas sectoriais.

Art. 3.º É revogado o Capítulo VI das Instruções Reguladoras do Funcionamento das Secretarias dos Serviços Administrativos Distritais e Locais, aprovadas pela Portaria n.º 21869, de 27 de Fevereiro de 1969, e as disposições que contrariem o presente Decreto.

Art. 4.º O presente Decreto entra em vigor seis meses após a sua publicação.

Aprovado pelo Conselho de Ministros, aos 24 de Julho de 2007.

Publique-se.

A Primeira-Ministra, *Luísa Dias Diogo*.

Anexo I

Sistema Nacional de Arquivos do Estado — SNAE

CAPÍTULO I

Disposições gerais

ARTIGO 1

Definições

Para efeitos do presente Decreto, estabelecem-se as seguintes definições:

- Arquivo*: o conjunto de documentos de qualquer época e forma que, independentemente da natureza ou do suporte da informação, são acumulados e conservados em razão do seu valor ao longo das actividades de pessoas físicas ou jurídicas, públicas ou privadas, para servir de referência, prova, informação ou fonte de pesquisa;
- Arquivo do Estado*: o conjunto de documentos produzidos e recebidos pelos órgãos e instituições da Administração Pública, no exercício das funções.

Incluem-se nos arquivos do Estado os arquivos das entidades de direito privado encarregues pelos serviços públicos.

- c) *Arquivo privado*: o conjunto de documentos produzidos e recebidos por pessoas físicas e jurídicas de direito privado, em decorrência de suas actividades, depositados ou não em instituições públicas;
- d) *Comissões de avaliação de documentos*: grupos técnicos multidisciplinares, com a responsabilidade de coordenar os processos de avaliação, selecção, listagem de documentos de arquivo e elaboração das propostas de planos de classificação e tabelas de temporalidade das actividades-fim, a serem apresentadas ao órgão competente para aprovação;
- e) *Unidades de gestão documental*: unidades orgânicas encarregues de manter o arquivo centralizado de documentos seleccionados a partir de uma fonte produtora, funcionando junto dos órgãos centrais, provinciais e distritais do SNAE;
- f) *Sistema de Arquivo*: conjunto de elementos (entidades, meios, procedimentos) que funcionam de modo articulado, tendo em vista a gestão dos documentos produzidos ou recebidos por um organismo no exercício das suas actividades.

ARTIGO 2

Âmbito

1. O SNAE aplica-se aos órgãos e instituições da Administração Pública, nomeadamente, os órgãos centrais e locais do aparelho de Estado e instituições subordinadas ou dependentes, os institutos públicos de investigação científica e as demais instituições autónomas, tuteladas pelos órgãos do Estado, bem como os órgãos e institutos das autarquias locais.

2. As instituições autónomas e independentes do poder executivo poderão desenvolver os seus subsistemas de arquivos, em função da sua especificidade, desde que não contrariem os objectivos do presente sistema.

ARTIGO 3

Classificação de arquivos

De acordo com a sua utilização os arquivos classificam-se em:

- a) *Corrente*: conjunto de documentos em curso ou que, mesmo sem movimentação constituem objecto de consultas frequentes pela entidade que os produziu e a quem compete a sua administração;
- b) *Intermediário*: conjunto de documentos com uso pouco frequente, que aguardam destino final em depósitos de armazenamento temporário;
- c) *Permanente*: conjunto de documentos que já cumpriram as finalidades de sua criação, conservados e preservados em virtude do seu valor histórico, probatório e informativo para o Estado e para o cidadão, com carácter definitivo, em função do seu valor secundário.

ARTIGO 4

Objectivos

São objectivos do SNAE:

- a) Harmonizar as diversas fases da gestão de documentos, atendendo as especificidades dos órgãos geradores e acumuladores dos acervos;

- b) Organizar, de forma dinâmica e articulada, as actividades de gestão de documentos e arquivo nos órgãos do Estado, com vista a tornar mais eficiente o processo de recuperação de informações para fins administrativos e científicos;
- c) Assegurar a protecção e preservação dos documentos gerados e recebidos no exercício de funções dos órgãos e instituições públicos e privados, revestidos de valor administrativo, histórico e científico;
- d) Facilitar o acesso público ao património arquivístico nacional de acordo com as necessidades de informação, respeitando o disposto nas normas de Segredo de Estado e demais leis que regem o acesso à informação;
- e) Integrar e coordenar as actividades de gestão de documentos de arquivos;
- f) Articular com os demais sistemas que actuam directa ou indirectamente na gestão do património documental e arquivístico do Estado moçambicano;
- g) Assegurar a eliminação de documentos que não tenham valor administrativo, fiscal, legal ou para a pesquisa científica.

CAPÍTULO II

Estrutura do Sistema

SECÇÃO I

Órgãos do Sistema

ARTIGO 5

Composição

1. O Sistema Nacional de Arquivos do Estado (SNAE) integra os seguintes órgãos:

- a) Órgão director central;
- b) Órgãos centrais;
- c) Órgãos provinciais;
- d) Órgãos distritais.

2. A entidade que superintende na administração pública é o órgão director central do Sistema.

3. Os órgãos centrais, provinciais e distritais referidos nas alíneas b), c) e d) do n.º 1 do presente artigo, compreendem, cada um e a seu nível, as seguintes estruturas:

- a) Arquivos correntes;
- b) Unidades de gestão de documentos dos arquivos intermediários;
- c) Comissões de avaliação de documentos.

4. O Arquivo Histórico de Moçambique é o órgão de gestão de documentos na fase permanente e de assessoria ao órgão director central do Sistema.

SECÇÃO II

Funções dos órgãos do Sistema

ARTIGO 6

Órgão director central

1. São funções do órgão director central, as seguintes:

- a) Dirigir e coordenar centralmente as actividades de gestão de documentos desenvolvidas pelos órgãos centrais, provinciais e distritais do Sistema;
- b) Coordenar a implantação e implementação do Sistema Nacional de Arquivos do Estado;

- c) Normar e orientar tecnicamente as actividades de gestão de documentos de arquivo;
- d) Acompanhar, supervisionar e monitorar a aplicação de normas técnicas e tecnologias de gestão de documentos de arquivo;
- e) Promover a disseminação de normas técnicas e informações de interesse, junto dos outros órgãos do sistema;
- f) Propor normas de acesso aos documentos dos arquivos públicos, respeitando as normas de acesso à informação e Segredo Estatal;
- g) Promover a capacitação dos funcionários responsáveis pela gestão de documentos;
- h) Promover e manter o intercâmbio de cooperação técnica com instituições congéneres nacionais e internacionais;
- i) Manter um cadastro geral actualizado das unidades que desempenham actividades de arquivo no âmbito do Sistema.

2. A transferência das funções de órgão central do Sistema, do Arquivo Histórico de Moçambique à entidade que superintende na administração pública, não prejudica a realização das outras funções a que o Arquivo Histórico de Moçambique está legalmente adstrito, nem a coordenação, nos termos do artigo 11 do presente Sistema.

ARTIGO 7

Órgãos centrais, provinciais e distritais

São funções dos órgãos centrais, provinciais e distritais deste Sistema, no seu âmbito de actuação, as seguintes:

- a) Implementar o Sistema Nacional de Arquivos do Estado;
- b) Implementar e acompanhar as rotinas de trabalho, visando à padronização dos procedimentos técnicos relativos às actividades de gestão de documentos de arquivo no órgão central, provincial e distrital;
- c) Coordenar a aplicação dos planos de classificação e tabelas de temporalidade de documentos, em articulação com os outros órgãos do Sistema;
- d) Identificar e reportar ao órgão director central as necessidades de formação dos responsáveis pela gestão de documentos;
- e) Supervisionar a aplicação e o emprego de normas técnicas e tecnologias de gestão de documentos de arquivo.

ARTIGO 8

Funções do Arquivo Histórico de Moçambique

São funções do Arquivo Histórico de Moçambique, além das previstas no n.º 4 do artigo 5 do presente Sistema:

- a) Participar na elaboração de normas técnicas de gestão de documentos;
- b) Participar na harmonização e monitoria dos processos de avaliação de documentos dos arquivos intermediários.

ARTIGO 9

Arquivo provincial

1. Segundo a necessidade e onde haja condições, será criado o Arquivo Provincial.
2. O Arquivo Provincial detém a custódia, com carácter provisório, de documentos recolhidos dos arquivos intermediários, funcionando em complementaridade e subordinação ao Arquivo Histórico de Moçambique.

3. São funções específicas do Arquivo Provincial:

- a) Garantir a recolha e guarda dos documentos do arquivo intermediário com valor permanente a nível distrital e provincial, enquanto aguardam a recolha ao Arquivo Histórico de Moçambique;
- b) Assegurar a transferência para o Arquivo Histórico de Moçambique de acervos documentais sob sua custódia.

ARTIGO 10

Comissões de avaliação de documentos

São funções das comissões de avaliação de documentos na sua esfera de actuação:

- a) Elaborar e implementar os respectivos planos de actividades;
- b) Coordenar a implementação dos planos de classificação e tabelas de temporalidade dos documentos nas instituições e unidades orgânicas sob sua responsabilidade;
- c) Elaborar as propostas de planos de classificação e tabelas de temporalidade de documentos das actividades-fim;
- d) Coordenar a avaliação dos arquivos correntes e intermediários;
- e) Assegurar a gestão de documentos e arquivos públicos;
- f) Proceder a avaliação, selecção e destinação de documentos;
- g) Elaborar os planos de destinação de documentos, em coordenação com os responsáveis dos arquivos das instituições e unidades orgânicas sob sua responsabilidade, respeitando o disposto na tabela de temporalidade.

SECÇÃO III

Coordenação e subordinação

ARTIGO 11

Coordenação

No exercício das suas funções, os órgãos que fazem parte do presente Sistema e relacionados, devem desenvolver as suas actividades de forma coordenada entre si.

ARTIGO 12

Subordinação

1. Os órgãos do SNAE, em cada escalão subordinam-se aos Secretários Permanentes centrais, provinciais e distritais.
2. No âmbito deste Sistema, as comissões de avaliação de documentos e as unidades de gestão de documentos subordinam-se tecnicamente ao órgão director central.

SECÇÃO IV

Custódia e gestão de documentos

ARTIGO 13

Custódia

1. Os órgãos e instituições a que se aplica o presente Sistema, detendo a custódia de documentos que se encontrem nas fases corrente e intermediária, devem no quadro das normas estabelecidas, assegurar:

- a) A protecção e conservação da sua integridade, fidedignidade e autenticidade;

- b) O acesso público às informações neles contidas;
- c) A preservação do carácter sigiloso dos que dizem respeito à ordem nacional e à segurança pública, ao resguardo da inviolabilidade da intimidade e da vida privada, bem como aos relativos aos segredos protegidos por lei;
- d) A eliminação dos que, depois de esgotado o seu valor corrente, estejam classificados como desprovidos de valor permanente, devendo essa eliminação observar as normas técnicas estabelecidas;

2. Para a prossecução do preconizado no número anterior do presente artigo, os órgãos e instituições nele referidos, devem ser responsáveis pela organização e gestão dos respectivos arquivos intermediários.

3. Cada unidade orgânica dos órgãos que integram este Sistema é responsável pela organização e gestão do seu próprio arquivo corrente.

ARTIGO 14

Avaliação de documentos

Os documentos dos arquivos correntes e intermediários serão objecto de uma avaliação regular, com vista a determinar-se o seu valor quanto a sua guarda temporária, permanente ou eliminação.

ARTIGO 15

Prazos de guarda de documentos

1. Os processos de avaliação, selecção, transferência, recolha e eliminação de documentos de arquivos são determinados pela tabela de temporalidade.

2. Poderão ser recolhidos para o arquivo provincial ou ao Arquivo Histórico de Moçambique, mesmo que não esteja cumprido o prazo de guarda, desde que avaliados, os documentos na fase intermediária quando a falta de espaço ou outros motivos especiais de protecção dos mesmos justifiquem.

ARTIGO 16

Acesso aos arquivos

1. É permitido o acesso aos documentos depositados em arquivos públicos a todos os interessados, salvaguardando-se os princípios que regulam o segredo estatal e a inviolabilidade da vida privada.

2. Os arquivos de acesso condicionado no roteiro do segredo estatal poderão ser livremente consultados pelos utentes, após a sua desclassificação ou término do prazo de validade do acto de classificação.

CAPÍTULO III

Disposições finais

ARTIGO 17

Outros órgãos do Sistema

São instituídos, junto do órgão director central, o Conselho Nacional de Arquivos (CNA) e a Comissão Nacional de Avaliação de Documentos (CNAD) cuja estrutura e funcionamento serão objecto de regulamentação específica.

ARTIGO 18

Normas complementares

Para assegurar e garantir o bom funcionamento do sistema, a entidade que superintende na administração pública aprovará as normas complementares necessárias.

ARTIGO 19

Infracções

Os funcionários dos órgãos, que integram o presente Sistema, respondem disciplinar, criminal e civilmente, pelas infracções que cometerem no exercício das suas funções, nos termos da lei.

ARTIGO 20

Criação de arquivos privados

É livre a criação, nos termos a regulamentar, de arquivos privados, segundo a definição constante da alínea c) do artigo 1 deste Sistema, de pessoas singulares e colectivas, desde que a sua criação, objecto ou fim não sejam contrárias à lei.

Anexo II

Plano de Classificação de Documentos de Arquivo:

1 - Definições e Conceitos

O plano de classificação de documentos de arquivo é um instrumento de trabalho utilizado para classificar todo e qualquer documento produzido ou recebido por um órgão no exercício de suas funções e actividades. A classificação por assuntos é utilizada com o objectivo de agrupar os documentos sob um mesmo tema, como forma de agilizar sua recuperação e facilitar as tarefas arquivísticas relacionadas com a avaliação, selecção, eliminação, transferência, recolha e acesso a esses documentos. A classificação define, portanto, a organização física dos documentos arquivados, constituindo-se em referencial básico para sua recuperação.

Em geral, os documentos que devem ser arquivados por assunto, são os referentes à administração interna e às respectivas actividades-fim. Dependendo do volume da documentação a ser guardada por assunto, pode escolher-se métodos mais ou menos complexos, capazes de atender às necessidades.

O método de arquivamento por assunto não é, porém, de fácil aplicação, pois depende da interpretação que se faz dos documentos em análise, além de amplo conhecimento das actividades institucionais que se deve ter, sendo mais aconselhável nos casos em que haja grandes massas documentais e variedade de assuntos.

Em muitas instituições públicas e privadas do nosso país, é comum confundir-se o assunto com a espécie documental. Assim, erradamente, adoptam-se como classificação por assunto, por exemplo: correspondência recebida e expedida; contratos; acordos; pareceres; telegramas; telex; actas; etc. É evidente que as espécies documentais têm importância quando adoptados como subdivisões auxiliares.

Não existe esquemas padronizados de classificação por assunto, como ocorre em relação à biblioteconomia que usa a CDD (Classificação Decimal de Dewey) e a CDU (Classificação Decimal Universal).

No código de classificação, as funções, actividades, espécies e tipos documentais genericamente denominados assuntos, encontram-se hierarquicamente distribuídos de acordo com as funções e actividades desempenhadas pelo órgão. Em outras palavras, os assuntos recebem códigos numéricos, os quais reflectem a hierarquia funcional do órgão, definida através de classes, subclasses, grupos e subgrupos, partindo-se sempre do geral para o particular.

O modelo adoptado para este plano é o código de classificação decimal. Os assuntos são divididos em 10 classes, sendo a décima reservada para assuntos gerais que não possam ser incluídos

Appendix B: Questionnaire used in the study to collect data

Questionnaire used for data collection on the Assessment of the State of Implementation of the National Archives and Records Management Act N° 36/2007 at EMU, in Mozambique. Mark (X) the option relevant to you. There is a space provided to write your answers to the questions.

1. Please, specify the EMU unit that you are working for:

School	
Faculty	
Special Centre	
Research Centre	
Directorate	

1.1. What is your position within the unit?

Senior manager	
Records manager	
Other, specify:	

2. State the availability and implementation status of the following key records management documents:

Document	Available but not implemented	Implemented	Unavailable	Comment
Policy				
Procedures				

Classification scheme for common records				
Classification scheme for specific records				
Classification scheme for classified information				
Retention schedule for common records				
Retention schedule specific records				

3. How do you rate the level of compliance of records management processes from records creation to records disposal with The National Archives and Records Management Act?

Records management processes	Poor	Fair	Very good	Others, specify:
Records creation				
Records capture				
Retaining records				
Records registration				
Classification of common records				
Classification of specific records				
Classification of classified information				

Storage and handling of records				
Access to records				
Records transfer				
Destruction of records				
Management of digital records				
Staff training on records management				

4. What are the existing electronic record formats?

Electronic record formats	Existing but not accessible	Accessible	Comments:
Databases			
E-mails			
HTML;			
PDF			
Word			
Excel			
Power Point			
Web-site;			
Intranet			
Workflow			

systems			
Others, specify:			

4.1. In which medium are digital records stored?

Medium	Existing but not accessible	accessible
Hard disc		
Flash		
DVD		
External disc		
Others, specify:		

4.2. What is the software used for managing digital records?

Commercial/Proprietary	
Free	

4.3. If it is a free software, who had customized it?

--

4.4. What is the name of the software?

--

4.5. What are the main records management processes performed by the software?

Records creation	
Records capture	
Registration of records	
Classification of records	
Retaining records	
Records control	
Records appraisal	
Records destruction	
Records transfer	
Records storage	
Records retrieval	
Others, specify:	

5. Who is responsible for records appraisal and disposal?

Records life cycle	Unit's records appraisal committee	Central records appraisal committee	Records management unit	Mozambique Historical Archives	Others, specify:
Current-records					
Semi-current records					

5.1. Is the records review implemented as part of records appraisal and disposal processes?

The life cycle of a record	It does not form part of	It forms part of but not implemented	Implemented	Others specify:
Current-records				
Semi- current records				

5.2. When is records appraisal and disposal taking place?

The life cycle of a record	Annually	biannually	Each Five years	Others, specify
Current-records				
Semi- current records				

5.3. Which records appraisal approaches are you following?

Records life cycle	Content/value of records approach	Functional approach	Sampling procedures approaches	Others, specify:
Current records				
Semi-current records				

5.4. How often do you destroy records?

Records life cycle	Annually	Biannually	Each Five years	Others, specify:
Current-records				
Semi- current				

records				
---------	--	--	--	--

5.5. Which methods do you use for the destruction of useless unit's records?

Shredding	
burning	
Others, specify:	

5.6. Where are the unit's non- current records transferred?

Mozambique Historical Archives	
Unit's semi-current records storage area	
Conversation to another medium	
Others, specify:	

5.7. Does the records appraisal and disposal committee ensure the completeness of the unit's records over time?

Records characteristics	Ensured	Not ensured	Comments:
Static			
Authentic			
Authority			

Unique			
--------	--	--	--

5.8. How do you rate the effectiveness of the records appraisal and disposal committee created within the unit?

Records life cycle	Poor	Fair	Very good	Others, specify:
Current-records				
Semi- current records				

6. What hazards that can create physical damage to records?

Hazards	Affect	Not affect
Fluctuation of temperature and relative humidity		
Mold		
Insects		
Dust		
Inadequate/insufficient records storage areas		
Lack of adequate shelving and archival enclosures		
Others, specify:		

6.1. Which furniture is used to store the unit's current records?

Adjustable shelves	
Nonadjustable shelves	
Wooden racks	
Steel cabinets	
Cupboards	
Laid down on the Floor	
Others, specify	

6.2. The conditions that can affect the availability of unit's records to any users

Records life cycle	Back logs	Lack of finding aids	Poor physical conditions	Others, specify:
Current records				
Semi-current records				

6.3. How do you rate the accessibility of unit's records by users?

Records life cycle	Poor	Fair	Very good	Others, specify:
Current records				
Semi-current records				

--	--	--	--	--

7. What training did you attend to support records management function?

Records management	
Library management	
Other, specify:	

7.1. What qualification did you finish to support records management function?

Diploma	
Bachelor in History with specialization in Documentation Sciences	
Bachelor in Archival Sciences	
Bachelor in Library and Documentation	
None	
Others, specify:	

7.2. How you rate the level of trained staff in executing records management function within the unit?

Poor	
Fair	
Very good	
Other, specify:	

7.3. Does the records management function form part of the induction program of new employees?

Records life cycle	It does but not in systematic ways	It does not form part of	Comments:
Current records			

7.4. Who provides training for records management staff in your unit?

The MHA	
The EMU Directorate of Human Resources	
Others, specify:	

8. What is the annual budget allocated to the records management function?

1000-6000 USD	
7000- 9000 USD	
10000-12000 USD	
13000-15000 USD	
Comments:	

8.1. For which activities is the budget allocated?

Records creation	
Records capture	
Retaining records	
Registration	
Classification of common records	
Classification of specific records	
Classification of classified information	
Storage and handling of records	
Access to records	
Records transfer	
Destruction of records	
Management of digital records	
Staff training on records management	

8.2. How does senior management support the records management function?

Do support	
Do not support	
Comments:	

8.3. How often is the unit records management performance reporting to other hierarchy?

Stakeholders within the National State Archives system?

Monthly	
Quarterly	
Annually	
Other, specify:	

8.4. How is the unit's planning operationalizes the National Archives and Records Management

Act?

Not effectively enough	
Effectively	
Very effectively	
Other, specify:	

9. If you have any thoughts, feel free to provide additional information or recommendations on this questionnaire:

--

Thank you for completing this questionnaire and returning it back to the researcher.

Renato Augusto Pereira

Appendix C: Covering letter with dispatch of approval to conduct research at the EMU

ARQUIVO HISTÓRICO DE MOÇAMBIQUE/UEM

Exmo Senhor Prof. Doutor, Joel das Neves
Tembe
Director do
Arquivo Histórico de Moçambique

Autografo
Devo-me a vossa
do de diário
na unidade pela
DAUEM por
Dr. Renato
seu - portante
articulador -
ele para se
redundâncias e
degradação nos
unidades em
aquele.

Assunto: Colecta de dados nas unidades orgânicas da UEM

No âmbito do programa de formação para a obtenção do grau de Mestre em Ciência da Informação com especialização em Arquivística pela Universidade de África do Sul-UNISA iniciado em Abril de 2015, o dr. Renato Augusto Pereira vem, mui respeitosamente através desta pedir a vossa excia que se digne autoriza-lo para efectuar, em 44 unidades orgânicas da Universidade Eduardo Mondlane, a colecta de dados sobre a gestão de documentos e arquivos a luz do Decreto N°36/2007 de 27 de Agosto de 2007 através de inquéritos por questionário e entrevistas semi-estruturadas previamente elaborados. Esta actividade tem duração aproximada de dois meses.

Renato
28/10/16

Junto enviamos a lista das unidades orgânicas que são objecto do referido estudo.

Sem mais assunto de momento os nossos melhores cumprimentos

Maputo, 27 de Outubro de 2016

O Mestrando

RA
Renato Augusto Pereira

Appendix D: Letter granting permission to conduct research at the EMU



ARQUIVO HISTÓRICO DE MOÇAMBIQUE

Credencial

Para os devidos efeitos se credencia o dr. Renato Augusto Pereira, chefe do Departamento de Gestão de documentos, no Arquivo Histórico de Moçambique, estudante de Mestrado em Ciências da informação com especialização em Arquivística, na Universidade de África do Sul – UNISA, para se apresentar na vossa instituição, a fim de fazer a colecta de dados sobre a gestão de documentos de arquivos, à luz do Decreto nº 36/2007 de 27 de Agosto de 2007, através de inquéritos por questionários e entrevistas semi-estruturadas, previamente elaborados. Esta actividade tem a duração de aproximadamente dois meses.

Sem mais de momento, aproveitamos o ensejo para endereçar os nossos melhores cumprimentos, agradecendo antecipadamente a colaboração.

Maputo, 31 de Outubro de 2016.

O Director
EDUARDO
Prof. Doutor Joel das Neves Tembe
ARQUIVO HISTÓRICO
DE
MOÇAMBIQUE

Appendix E: List of academic, administrative and special units visited at the EMU

Academic units	Research centers	Special units	Directorate units
Faculties	Biotechnology	University press	Academic Registers
Agronomy and Forestry Engineering	Coordination of Gender Issues	The Mozambique Historical Archives	Administration and Institutional Development
Architecture	Distance Learning	The Natural History Museum	Communication and Marketing
Arts and Social Sciences	Human Rights	University Foundation	Cooperation
Economy	Industrial, Security and Environmental Studies		Culture
Education	Policy Analysis		Finance
Engineering	Studies of Regional Integration		Human Resources
Law	African Studies		Informatics
Philosophy	Biotechnology		Internal Audits
Veterinary Sciences			Maintenance and Infra-structure
Schools			Provision and Logistics
Sport Sciences and management			Scientific

Appendix F: Ten key questions for assessing organisations on records management (Crookston 2011)

Question 1: Does the organisation have a records management policy?

The policy should be: written down signed by the CEO or other senior officer issued to all staff describe the responsibilities all staff have for managing records include e-mail and other electronic records allow for penalties for staff who do not comply.

Question 2: Do the senior managers in your organisation support good records management?

You can show support by: assigning responsibility for RM to a senior officer providing adequate budgets, resources and training ensuring penalties are applied when staff break RM rules'

Question 3: Is responsibility for records management tasks assigned to a specific area?

Responsibility could be assigned to: A records management officer (in small offices) A records management unit or registry

Question 4: Do the organisation's records management staff have enough training to do their jobs?

RM staff should: Know how to identify a record and what makes a record different from other types of information Be able to analyse the recordkeeping requirements of the organisation Be familiar with standard RM practices like file registration and movements, safe records handling, records disposal

5: Does the organisation have procedures for managing its records?

Procedures should: Be written down State clearly who is responsible for each part of the procedures Not conflict with the policy.

Question 6: Does the organisation know what its record-keeping requirements are?

Record- keeping requirements: are a need to keep evidence of an organisation's actions and decisions are usually identified in laws, policies, procedures and reviews should be documented should be regularly reviewed.

Question 7: Can the organisation find particular records when it needs them? Finding records is easier if you use:

a file creation and movement register secure storage that only records management staff can access a naming and numbering system that all staff can understand.

Question 8: Does the organisation abide by the government's rules for deciding when its records can be destroyed?

Disposal rules: require the national archivist's agreement should help to preserve historical records should be based on the organisation's recordkeeping requirements.

Question 9: Are the organisation's records stored securely so that they cannot be stolen, damaged or altered?

Secure storage should: only be accessed by appropriate staff be kept clean and free of vermin include back-up systems for electronic records include all files – staff should return files to storage include a disaster plan for salvaging important records.

Question 10: Does the organisation set performance indicators for its records management unit, report on those indicators, and make improvements when they are not met?

Performance Indicators: Are goals the organisation sets for itself can help to identify problems are an important part of accountability and good governance.

Appendix G: The Ethical Clearance Certificate



DEPARTMENT OF INFORMATION SCIENCE RESEARCH ETHICS REVIEW COMMITTEE

Date: 31 July 2017

Dear Mr RA Pereira,

Decision: Ethics Approval

Ref #:
2017_RAPereira_57637776_001
Name of applicant: RA Pereira
Student #:X
Staff #:

Name: Title and name of principle applicant, address, e-mail address, and phone number
RA Pereira, Unisa Information Science, 57637776@mylife.unisa.ac.za; and 0258 825077552

Proposal: Assessing the state of implementation of the National Archives and Records Management Act at Eduardo Mondlane University, in Mozambique.

Qualification: Masters in Information Science

Thank you for the application for research ethics clearance by the Department of Information Science Research Ethics Review Committee for the above mentioned research. Final approval is granted for 4 years.

For full approval: The application was reviewed in compliance with the Unisa Policy on Research Ethics by the Department of Information Science Research Ethics Review Committee on 31 July 2017.

The proposed research may now commence with the proviso that:

- 1) The researcher/s will ensure that the research project adheres to the values and principles expressed in the UNISA Policy on Research Ethics.
- 2) Any adverse circumstance arising in the undertaking of the research project that is relevant to the ethicality of the study, as well as changes in the methodology, should be communicated in writing to the Department of Information Science Ethics Review Committee. An amended application could be requested if there are substantial changes from the existing proposal, especially if those changes affect any of the study-related risks for the research participants.



University of South Africa
Pretter Street, Muckleneuk Ridge, City of Tshwane
PO Box 392 UNISA 0003 South Africa
Telephone: +27 12 429 3111 Facsimile: +27 12 429 4150
www.unisa.ac.za

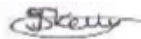
3) *The researcher will ensure that the research project adheres to any applicable national legislation, professional codes of conduct, institutional guidelines and scientific standards relevant to the specific field of study.*

Note:

The reference number 2017_RAPereira_57637776_001 should be clearly indicated on all forms of communication [e.g. Webmail, E-mail messages, letters] with the intended research participants, as well as with the Department of Information Science RERC.

Kind regards,

Signature



Dr Isabel Schellnack-Kelly
Department of Information Science
Research Ethics Review Committee

012 429 6936



University of South Africa
Preller Street, Muckleneuk Ridge, City of Tshwane
PO Box 392 UNISA 0003 South Africa
Telephone: +27 12 429 3111 Facsimile: +27 12 429 4150
www.unisa.ac.za