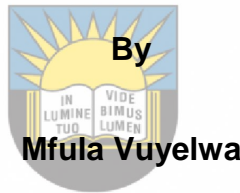




**University of Fort Hare**  
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**AN ASSESSMENT OF RECORDS MANAGEMENT PRACTICES IN SUPPORT OF  
SERVICE DELIVERY (IN THE EASTERN CAPE PROVINCE, SOUTH AFRICA): THE  
CASE OF ENGCOBO LOCAL MUNICIPALITY**



**University of Fort Hare**  
*Together in Excellence*  
201105243

**A dissertation submitted in fulfillment of the requirements for the Degree of  
Master' in Library and Information Science**

**In the**

**Department of Library and Information Science**

**Faculty of Social Sciences and Humanities**

**University of Fort Hare**

**May 2018**

**Supervisor: Mr. F.E Khayundi**

## DECLARATION

I, the undersigned, Mfula Vuyelwa (Student Number: 201105243), hereby declare that the work contained in this Master's thesis is my own work, except where due acknowledgement is in the references. This thesis has not been previously submitted to any university or institution of higher learning for any qualification or certificate.

Signed .....

Date .....



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## DEDICATION

This work is dedicated to God Almighty my creator, my strong pillar, my source of inspiration.

To my parents, my late father Mbulelo Mfula and Nophumzile Mfula, who knew very well the difference between consumption and savings and sacrificed their consumption for my education which they knew to be an investment.

I would like to acknowledge my gratitude to my supervisor, Mr Khayundi Festus who believed in me and made sure that I enrolled for this degree. I consider myself lucky to have worked with him during my studies, his guidance and support, have helped me to grow.



Bongani Nqiqi who has encouraged me all the way and whose encouragement has made sure that I give it all it takes to finish what I have started.

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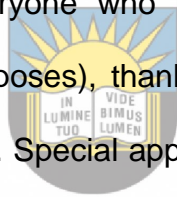
Finally to my child Landa who was the reason for me to work hard and who have been affected in every way possible by this quest.

Thank you, God blesses you all.

## ACKNOWLEDGEMENTS

At the completion of this thesis, I wish to express my sincere appreciation to my supervisor, Mr Khayundi Festus. I gratefully acknowledge his exemplary supervision and expertise that helped me to improve the quality of my work. I am humbled by his academic integrity and deeply appreciative of his generous and invaluable assistance throughout this endeavor.

I also wish to acknowledge with thanks the financial assistance received during my studies from Govan Mbeki Development and Research Centre (GMDRC) of the University of Fort Hare. To everyone who participated in the study (who remain anonymous for confidentiality purposes), thank you for sharing your experiences and knowledge on the subject with me. Special appreciation to my family for being there for me through it all. Your prayers made me stronger and your love and faith in me helped me to achieve my goals.



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## ABSTRACT

The aim of this study was to assess records management practices in support of service delivery in Engcobo Local Municipality. This study sought to determine the type of records received, created and maintained by Engcobo Local Municipality, how records are processed for use in Engcobo Local Municipality, to what extent does the Records Management Practices in Engcobo Local Municipality comply with the legal and Regulatory requirements, and lastly what are the challenges faced by Engcobo Local Municipality and lastly to find out the impact of records management on service delivery



The population of the study was 168 municipality workers and the sample of the study was 50 selected municipality workers who was representative of the whole population. This study employed a triangulated approach whereby the qualitative and the quantitative approaches were used. 35 survey questionnaires were distributed to the respondents and only 30 (thirty) were retained back for data analysis process and 15 in-depth interviews were administered with the participants. The study employed purposive sampling in selecting the sample for the study based on the knowledge of the population.

The study employed thematic analysis in analyzing the qualitative data. Thematic analysis allowed the researcher to discuss the common themes from the thick descriptions obtained from the municipality workers. Quantitative data from the semi structured questionnaires administered were analyzed using statistical methods

(SPSS). The presentation of the findings was in the form of tables, graphs and pie-charts.

The results revealed the Municipality does not have enough space for their records, due to continuous increase in technology, there is need for the municipality to upgrade its infrastructure to suit the standards of 21st century, shortages of skills within the municipality staff pose a big challenge to the development in the municipality and the system is bureaucratic in nature, long channels of communication.

The study recommends that research should be extended to other Municipalities in the Eastern Cape to ensure that the management of records is harmonized to enhance service delivery, accountability and transparency in the Municipalities.

**Key words: Records management, Municipality, Service delivery**



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## ACRONYMS AND ABBREVIATIONS

ARMA.....Association of Records Managers and Administrators

MFMA..... Municipal Finance Management Act 56 of 2003

IRMT.....International Records Management Trust

CCTV.....Closed Circuit Television

CESPAM..... Centre of Specialization in Public Administration and  
Management

PMS.....Performance Management Systems

AGSA.....Auditor General South Africa

LED.....Light Emitting Diode

GDP.....Gross Domestic Product

ICT..... Information and Communication Technology

SPSS..... Statistical Package for Social Sciences

ADM.....Amathole District Municipality



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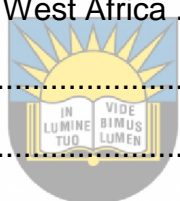
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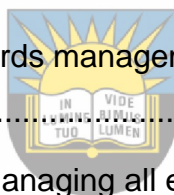
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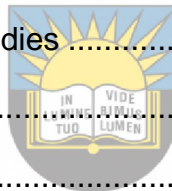
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## CHAPTER ONE: GENERAL OVERVIEW OF THE STUDY

### 1.1 Introduction

This chapter presents the general orientation of the study. It provides the background and highlights the motivation in conducting the study. The research problem, aims and objectives, as well as the research questions are stated. This chapter further demonstrates the significance of the study, namely how the research contributes to society at large in addition to how it can be used for policy implementation of records management. Finally, the outline of the ensuing chapters is presented at the end of the chapter.

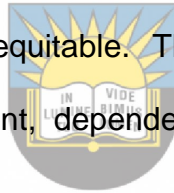


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Records Management is affected by various laws in various ways. Over 800 laws regulate record keeping. About 200 of these laws are applicable in the public sector. No consolidated recordkeeping laws in South Africa. Compliance is challenging. All record management professionals should know the legislation. All entities concerned with good governance must comply with the law. Almost all legislation contains a number of record retention obligations. Legislation is one of the major drivers of the demand for the services (Wallace, 2004)

This study is an assessment of Records Management Practices in Engcobo Local Municipality in support of service delivery. Public and private organizations generate

records in conducting their daily activities. Records can be in different formats and on different media. Maps, photographs, plans, minutes and electronic records on magnetic media, including tapes and diskettes, are examples of records that exist in organizations (Wallace, 2004). Records documents support decision-making and accountability, as well as help to establish the extent to which organizations comply with laws (Wallace, 2004:23–29; Yusuf & Chell, 2005:19 -22). Organizations have to recognize the need to manage records, as such documentation is regarded as a resource and an asset to the organizations concerned (Shepherd, 2006:6; Yusuf & Chell, 2005:19–22). One of the basic values of public administration, as enshrined in Chapter 10 of the Constitution of the Republic of South Africa 1996 (Act No. 108 of 1996), is that public administration must be fair, transparent and equitable. The realization of a transparent public administration is, to a large extent, dependent on the availability of public records (Willis, 2005)



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Proper management of records should be in place to ensure that valuable information is neither lost or misplaced (Chinyemba & Ngulube, 2005:2), Ngulube, 2004: 10). Organization for example tend to provide regular skills training in various identified disciplines for their employees , if the related records are lost the organization concerned would be unable to keep track employees. Records unlike other resources such as finances and human resources are irreplaceable (King, 1997:658-659). Financial assistance can be given to a department that experience a deficit and if an employee with critical skills decides to leave an organization arrangements can be



made with the employee concerned replaced. However, if records are lost, they cannot be either being replaceable nor- recreated (Yusof & Chell, 2002:19-22).

In South Africa, for example, in some cases government departments handle recorded information carelessly without realizing that records constitute a major resource compared to finance, people, money and equipment (Makhura 2001:1; Ngulube 2004:7). According to Venter (2004:1), surveys conducted on records management by the National Archives and Records Service of South Africa (NARS) during the 2003/2004 financial year in government departments of all nine provinces revealed that record keeping has declined to the point where it was seriously hampering the conduct of government business and undermining basic accountability to the public. The surveys revealed that there was no top management support for records management functions in the departments, which resulted in the records managers not having the necessary authority or backing to enforce proper records management practices (NARS 2006a:i). This raises serious concerns as to whether records are managed in government departments as a strategic asset. According to De Wet and Du Toit (2000:74), "it is essential for government departments to integrate records management more effectively with other information management functions so that records management becomes a strategic management function towards reaching a competitive advantage". In other words, to ensure that records management receives the attention it deserves, it should be a strategic objective in the government department's strategic and business plans (NARS 2004:11)

According to Roberts (1998:1) the Association of records managers and Administrators (ARMA international) defines records as recorded information regardless of medium or characteristics made or received by an organization that is useful in the operation of the organization. The National Archives of South Africa (Act no. 43 of 1996) defines a concept record as recorded information, regardless of form or medium.

Roberts (1998: 4) states that records are information created, collected or received in the initiation, conduct or completion on an institutional or personal activity, records has the following requirements:

- Provide evidence
- Comprise context, context and structure
- Have integrity and immutability
- Are unique
- Exist regardless of physical format
- Lead to an outcome



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## 1.2 Background to the study

Auditor general (2012-2013) stipulates out that South Africa in general has been attributed to a poor records management in the municipalities a lack of policies, procedures. Local government is the one sector which touches the broad spectrum of society from the wealthy to grassroots communities. Recently, South African local government received much of the brunt of dissatisfaction from grassroots communities concerning the lack of, or poor, service delivery. According to Eastern Cape Municipal

Finance Management Act 2003 (MFMA), (2012-2013), it was reported that the majority of South African municipalities ignored the prescriptions of the Municipal Finance Management Act, no. 56 of 2005. There is a failure in the South African public sector to recognize the importance of records.

Eastern Cape Municipal Finance Management Act 2003 (MFMA), (2012-2013) audit indicated that Eastern Cape has two metropolitan municipalities, six district municipalities, 37 local municipalities and 10 municipal entities. The province reflects a concerning picture on the drivers of the internal control environment, which is underpinned by a lack of commitment by political and administrative leadership to respond swiftly to concerns of stakeholders, lack of policies, procedures and controls for document management, the absence of daily and monthly financial controls such as transactions and registers being processed, reviewed and reconciled, as well as poor monitoring of compliance with legislation. However, it was noted that the Chris Hani district remains a serious concern, with almost 70% of the municipalities (including the district municipality itself). In 2007, officials from the Eastern Cape Provincial Archives and Records Services conducted an intensive assessment of ADM's records management practices (Eastern Cape MFMA, 2012-2013). One of the findings was that ADM does not have a designated Records Manager and it was therefore recommended that a permanent appointment of a Records Managers dedicated only to records management be made. Very few studies have been conducted on Records Management in the Eastern Cape, general studies have been done and it has proven

that no studies have been conducted in in the former Transkei local municipalities were most municipalities were created by the new democratic dispensation (Roberts, 1998).

Given the background of records management nationally and globally, the purpose of this study was to assess the records management practices in Engcobo Local Municipality which is under the former Transkei.

### **1.2.1 Municipality services**

Willis (2005) noted that the South African Constitution states that municipalities have the responsibility to make sure that all citizens are provided with services to satisfy their basic needs. Municipalities must make sure that people in their areas have at least the basic services they need. There are a large number of services that municipalities provide, the most important are:

- Water supply
- Sewage collection and disposal
- Refuse removal
- Electricity and gas supply
- Municipal health services
- Municipal roads and storm water drainage
- Street lighting
- Municipal parks and recreation

### 1.3 Statement of the problem

Records are basic for the efficient and effective administration of organizations, however, they are regularly underestimated, disregarded or misjudged (Williams, 2006). The Public Service Reform Program (PSRP) presented in numerous African nations including South Africa has reliably underlined the significance of enhancing the nature of records administration as a reason for basic leadership, all the more auspicious administration conveyance and money related reserve funds (International Records Management Trust (2003). In any case, the administration of open records in numerous African nations has been portrayed as a region of emergency (International Records Management Trust and The World Bank, 2003). Different investigations from other African nations demonstrate that most governments give careful consideration to the administration of records in both paper and electronic organizations, along these lines blocking the viability of the general population part in upgrading administration conveyance, advancing effectiveness, responsibility and great administration (Kargbo 2009). In South Africa, as it is in numerous other African nations the administration of open records have been and still is in an extremely frail state (URT, 2005). The circumstance in South Africa is exacerbated by the way that records, both in paper and electronic arrangements are insufficiently and wastefully overseen (Kalumuna, 2000). Barata *et al* (2001) expressed that overseeing records inside individual services was divided and impromptu. Nobody was in charge of guaranteeing that open records were kept in great request and were obliterated on time, making unnecessary volumes of records develop and stop up the framework. In line with the above sentiments, Ngoepe

and Solomon (2008) pointed out that an effective records management programme is a major element of the governance of any organization. However, despite this crucial role played by records management, there is a consensus amongst researchers that many organizations, including government departments, pay little attention to the management of records. In South Africa, government departments are under legislative obligations to adopt a systematic and organized approach to the management of records. For example, the National Archives and Records Service of South Africa Act (Act No. 43 of 1996) requires government departments to develop, implement and maintain proper records management systems

However, the researcher has observed that information or records are not regarded as an important resource that may influence the effectiveness of the institution in South African municipalities. Although legislation regulating the management of records exists, there is ignorance on the part of certain officials (Tale and Alefaio, 2011) and that could have adverse effects on the performance of Engcobo Local Municipality and ultimately on service delivery. There was, therefore, a need to improve the management of records at Engcobo Local Municipalities. This observation has triggered the interest of the researcher to undertake this study, which seeks to create, enhance and sensitize with Engcobo Local Municipality officials of the fundamental role played by effective records management in fulfilling Engcobo Local Municipality mandate. Also, due to the reason that smaller or rural municipalities does not seem to be covered, no studies have been conducted especially in the former Transkei.

## 1.4 Aim and objectives of the study

The main aim of the study was to assess Records Management practices in Engcobo Local Municipality in support of service delivery.

### Specific objectives of the study

- To find out the type of records received, created and maintained by Engcobo Local Municipality
- To find out how records are processed for use in Engcobo Local Municipality
- To what extent does the Records Management Practices in Engcobo Local Municipality comply with the legal and Regulatory requirements
- To find out the challenges faced by Engcobo Local Municipality
- To find out the impact of records management on service delivery

## 1.5 Research questions

**This study seeks to answer the following questions:**

- What type of records received, created and maintained by Engcobo Local Municipality?
- How records are processed for use in Engcobo Local Municipality?

- To what extent does the Records Management Practices in Engcobo Local Municipality comply with the legal and Regulatory requirements?
- What are the challenges faced by Engcobo Local Municipality (in the management of record?)
- What are the impacts of records management on service delivery?

### **1.6 Significance of the study**

Records provide evidence of human activities and transactions. The findings of the study are expected to help Engcobo Local Municipality to suggest ways of improving records management practices. In addition to the above, the results will help policy makers in formulating and implementing vibrant policies that guides records management practices in South Africa. The study was also aimed at enlightening the top management and of staff of Engcobo Local Municipality on the importance of good and proper records management practice. It also establish good record management program that includes policies, procedures and standards that govern records keeping in the Municipalities. The study sought to make useful recommendations on challenges experienced in the provision of good service to the public due to poor records management practices. The research will contribute to the body of knowledge on records management and public service delivery and it will inform the Engcobo Local Municipality on the development of policy system, practices and theory of records management as an integral part of good public services.



## **1.7 Delineation and scope of the study**

The study is delimited to the Engcobo Local Municipality in Eastern Cape Province of South Africa. The municipality claims the most youthful population, as well as the highest rates of poverty and unemployment, in the district, coupled with a high dependency ratio.

## **1.8 Definition of terms**

### **1.8.1 Records management**

The concept records management, just like that of a record, has various definitions, which are based on different views (Yusof & Chell, 1999:10–12). In the current study, records management is defined as the field of management that is responsible for the proper creation, receipt, maintenance, use, and disposal of records to achieve efficient, transparent and accountable governance (Gunnlaugsdottir, 2002:232; Shepherd & Yeo, 2003:1–2; South Africa, 2001:14; 2003:2; Yusof & Chell, 1999:10–12). The two concepts „records management“ and „human resources records management“ are used interchangeably in the present study.

### **1.8.2 Auditors' general report**

The Auditors General Report is the document prepared by the auditors appointed to examine and certify the accounting records and financial position of a firm. It must be filed every year by an incorporated or registered firm (along with its audited financial

statements) with the appropriate regulatory authority. Also called audit report (Yusof & Chell, 1999: 38).

### **1.8.3 Legal and regulatory requirements**

In general, compliance means conforming to a rule, such as a specification, policy, standard or law. Regulatory compliance describes the goal that organizations aspire to achieve in their efforts to ensure that they are aware of and take steps to comply with relevant laws and regulations (Yusof & Chell, 1999: 41).



### **1.8.4 Municipality**

Local government (municipality) is the sphere of government closest to the people; they are elected by citizens to represent them and are responsible to ensure that services are delivered to the community (Yusof & Chell, 1999: 29).

### **1.8.5 Service delivery**

Service delivery is the overall name for every activity performed to render quick and satisfying service, and to respond and resolve community or citizen problems. In a simple definition, service delivery refers to the service delivered or that needs to be delivered by the government to its citizens with the aim of meeting their living needs, right demands or expectations. An example of services delivered by government

includes, but is not limited, to health/medical, water, routes, education and social services (Yusof & Chell, 1999: 36).

## **1.9 Structure of the dissertation**

### **Chapter One:**

Chapter 1 introduced the study and it looked on the research problem, importance of the topic and the justification for the research. An attempt was made to give a background perspective on the importance of Records Management practices and it covered the location of the study and the reason for choosing it.



### **Chapter Two**

Chapter 2 reviewed the literature in order to contextualize the research in line with other studies, available knowledge with regard to records management practices will be explored and discussed.

### **Chapter three**

This chapter explained the research instruments chosen for the study and the procedures for the data collection exercise. This focused on the triangulation method in order to strike a balance in the research reporting exercise.

### **Chapter four**

Chapter 4 presented the findings of the study

## **Chapter Five**

Chapter 5 discussed and interpreted the findings

## **Chapter 6**

Chapter 6 gave a detailed summary of the findings, conclusions and recommendations for future studies

## **CHAPTER TWO: LITERATURE REVIEW**



### **2.1 Introduction**

This chapter presents the relevant theoretical and empirical literature on the role of records management practices in Engcobo Local Municipality. The chapter is categorized into two main sections. The first section introduces the Hybrid Records Life Cycle Model which incorporates the pre-natal phase of the Records Continuum Model and the conceptual stages of the Records Life Cycle Model in the management of both paper and paperless records in the organizations. The second section looks at the framework that shows the nexus between records management practices in an Engcobo Local Municipality and various empirical studies were reviewed The literature review was guided by the following research objectives: to find out the type of records received, created and maintained by Engcobo Local Municipality, to find out how records are processed for use in Engcobo Local Municipality, to what extend does the

Records Management Practices in Engcobo Local Municipality comply with the legal and Regulatory requirements, to find out the challenges faced by Engcobo Local Municipality and to find out the impact of records management on service delivery. The purpose of the literature review was for the researcher to gain an understanding of the existing research and debates relevant to Records Management practices in support of service delivery. Conducting a literature review helps to build your knowledge in a certain field

## **2.2 Theoretical Framework**

According to Simon and Goes (2013: 81), the theoretical framework provides a well-supported rationale to conduct the study, helps the reader to understand that the type of investigation proposed so that it is not based solely on the personal instinct or guesses, but rather informed by established theory and empirical facts obtained from credible studies. This means that the researcher was guided by a collection of interrelated concepts from the same studies related to his or her. A good theoretical literature needs to produce a conceptual framework, including philosophical stances and theoretical assumptions; key assumptions and theoretical problems or contradictions (Mugenda & Mugenda, 2003). There is a tendency amongst organizations not to base their records management practices on existing theories or principles of records management (Ngulube, 2003). However, in records management, the rules that guide the investigation of researchers into issues, problems or concepts are determined by records management theories and methods. Cox (2001) therefore argues that records management has revolved around a specific body of knowledge and is strongly

supported by its own theory. This argument informs this study to adopt the Hybrid Records Life Cycle Model proposed by Chachage and Ngulube (2006) for records management which functions in both paper and electronic environments.

### **2.2.1 Hybrid/Modified Records Life Cycle Model**

The evolution of records management models from the Records Life Cycle Model to the Records Continuum Model has recently led to the development of the Hybrid Records Life Cycle Model. The Hybrid Records Life Cycle Model blends the pre-natal phase of the Records Continuum Model and the conceptual phases of the Records Life Cycle Model (Chachage & Ngulube, 2006). The Records Life Cycle Model developed by the American, Schellenberg (Shepherd and Yeo, 2003) has guided the management of paper records in many organizations. The Records Life Cycle Model perceives records as an analogy of a biological organism, which is born, lives and dies, and a record, which is created, maintained and used for as long as it has continuing value and is then disposed of either by destruction or by archival (Northwest Territories, 2012; Shepherd & Yeo, 2003). The features of the Records Life Cycle Model imply that the model is more applicable and suitable for organizations dealing with the management of paper records (Yusof & Chell, 2000). Life cycle theory falls into three phases, which may be defined as records creation (Born or adopted), records use and maintenance (they live actively), and records destruction (they die) or transferred to an archival repository (Upward, 2000). The life cycle theory states that records can only live once at each stage in their life. Since the late 1930's the life cycle theory has been the main conceptual framework for managing records, especially in the paper environment.

Yusof and Chell (2002) point out that the Records Life Cycle Model is not suitable for organizations or studies investigating the management of electronic records and calls for the need to replace it with a model that appropriately reflects the special characteristics of electronic records. The perceived weaknesses of the Records Life Cycle Model conspicuously led to the development of the Records Continuum Model.

The Records Continuum Model originated in Canada but was developed and adopted in Australia in the 1980s and 1990s by Australian archival theorist, Frank Upward (Bantin, 2002). The Records Continuum Model refers to the consistent and systematic way of managing records from the development of record keeping systems to the final disposition stage that is either by destruction or preservation or use as archives (IRMT, 2009). Jackson (2008) justifies that the Records Continuum Model works effectively in an organization that operates in an electronic environment. Dikopoulou and Mihiotis (2012) and Kemoni et al. (2007) state that the adoption of the Records Continuum Model is very useful as it facilitates policy making, constitutes organizational memory, enhances compliance and enhances security. The most significant feature of the Records Continuum Model is its participatory nature of the design phase whereby records professionals and systems designers participate in the designing of the system. The design phase of the Records Continuum Model is normally referred to as the pre-natal phase (Flynn, 2001).

Flynn (2001) pointed out that despite the acknowledged success of the records continuum model in explaining the life of records, it is important to note that fundamental practices in the paper environment as illustrated in the life cycle approach are still relevant. While the need for a new paradigm shift is recognized, the researcher is of the view that the life cycle concept must not be dismissed or rejected; instead the continuum model should be looked at as an additional strategy that is useful for managing records in the electronic environment. Therefore the study is to assess the management of records in Engcobo Local Municipality guided by the the blended Hybrid Life Cycle model.

Chachage and Ngulube (2006), stress that all the above principles 'the records life cycle and records continuum model are dominant theories in the archival and records management'. However, the researcher used Hybrid Records Life Cycle model which is a blend of the Records continuum model and Records Life Cycle model to analyze the records managements in municipalities.

Chachage and Ngulube (2006) give a simplified explanation of the Hybrid Records Life Cycle as the fusion of the pre-natal stage of the Records Continuum Model with the conceptual stages of the Records Life Cycle Model. At the design stage, Records Managers and Archivists appraise records and decide on what records would support the functions of the organization during the records continuum.



The collaboration between these stakeholders in the system design enables the creation of the right records containing the right information in the right formats; organizing the records to facilitate their use; systematically disposing of records that are no longer required; and protecting and preserving records. Yusof and Chell (2002) assert that management in organizations should merge both the pre-natal phase of the Hybrid Records Life Cycle Model and that of the Conceptual phases of the Records Life Cycle Model in the management of records as they do not exist independently of each other. The relevance of the Hybrid Records Life Cycle Model informed the study to adopt it as its underpinning model for this study.

However, the study utilized the Hybrid Records Life Model because it perceives records as an analogy of a biological organism, which is born, lives and dies, and a record, which is created, maintained and used for as long as it has continuing value and is then disposed of either by destruction or by archival. The features of the Hybrid Records Life Cycle Model imply that the model is more applicable and suitable for organizations dealing with the management of paper and electronic records such as in this case of the Engcobo local municipality. Hybrid model can be adopted by municipalities in their own pursuit to provide the best service delivery to the communities.

## **EMPERICAL EVIDENCE**

### **2.3 Stages of records management**

#### **2.3.1 Pre-Natal Phase**

Participation in system design simply means the involvements of records professionals (Records Managers and Archivists), management and system designers in the

designing of records management systems (Shepherd & Yeo, 2003). Studies conducted by Myburgh (2005) and Shepherd and Yeo (2003) revealed that records professionals and system designers need to participate in the designing of the records keeping systems as their engagements are likely to improve the management of records in organizations.

A study by Kemoni et al. (2007) stressed the point that an effective collaboration of records professionals and system designers enable the creation of the right records containing the right information in the right formats and organization of records to facilitate their use. Moreover, the Life Cycle Model employed by Iwhiwhu (2005) to conduct a survey into some Nigerian Universities indicated that the cooperation of records professionals in the system design provide evidence of a particular activity, the systems and procedures needed to ensure that the records are captured and maintained, records retention and disposal schedules to fulfil their legal and financial obligations, storage procedures and security and access controls.

Conversely, the Life Cycle and the Records Continuum Models adopted by Chachage and Ngulube (2006) to carry out a survey into some companies in the Iringa region in Tanzania disclosed that without the engagements of records professionals in the system design, some records may disappear in the sub-systems due to a lack of records management and archival knowledge on the part of corporate information systems designers whereas some records are likely not to be captured in the system. This is due to the fact that the adoption and practice of a sound records management

A survey by Dearstyne (2002) into Indiana University Electronic Records Project revealed that successful records and archives management systems require concerted efforts to eliminate traditional boundaries, collaborate with others, improvise when solutions are not clear because the issues and problems are relatively new, and occasionally compromise archival and records management principles. Notwithstanding the cooperation, Dearstyne (2002) recommended that records management programmes need to be designed to capture the organizational culture of the institution because what transpires in organizations is likely to have an impact on the implementation and practice of records keeping programmes and records management system requires a shared purposive activity among records officers, management and system designers, which can only be achieved through cooperative action (Lyytinen & Ngwenyama, 1992). This therefore calls for concerted efforts to re-assign the responsibility between the organization and the records management programmes.

## **2.3.2 Active Phase**

### **2.3.2.1 Records Creation and Capturing**

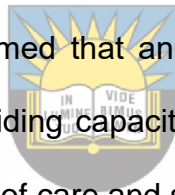
Records creation and capturing involves “developing consistent rules to ensure integrity and accessibility, deciding on systems to log and track records, and procedures for registering, classifying and indexing” (Yusof & Chell, 1999: 10). The thrust of records creation is to ensure that only records needed by the system and the organization are created (Shepherd & Yeo, 2003). Yusof and Chell (2000) are of the view that if the meaning assigned to creation is to be relied upon, then it means organizations are

functioning in a paper environment. Unfortunately, this is not always true because in an electronic environment, records are created automatically by the system. However, the major challenge for any electronic management system is the inability to document the origination of new records in a logical and consistent manner while some records require an individual to create a record manually and this normally occurs in paper environment (Tucker, 2012).

A comparative study by Norris (2002) into some institutions and departments in New York found out that records management is often not effective during the time that records are created. The outcomes of these inefficiencies are redundancy of records, lack of clearly identified official copies and insufficient records for municipal audits and medico-legal issues. Mrwebi (2000), in his survey, put forward that as records are created in different formats, it is imperative that some standards for records retention are established and complied within the organization to ensure that the same information is not duplicated. The National Archives of Canada (2003: 1) asserted that the most important aspect of the creation and capturing of records is to “recognize records as the main source of information that have been generated and to empower employees to assess the value and role of the information contained at the moment of creation within a recognized framework, thereby making it easy to support the organization’s activities and policies”.

### **2.3.2.2 Use and Maintenance**

Records usage is when records are actively accessed and shared by all employees of an organization and it is at this point that ensures easy access to timely, accurate and available information. Irrespective of the format, records need to be managed and maintained well to ensure that they are kept current and secure, and not accidentally disposed of (National Archives of Canada, 2003). It is prudent for public and private institutions to establish policy manuals regarding the classification of documents into records and security concerns as both form part of records maintenance. This can be achieved by instituting security measures and access controls to deny unauthorized access into the system. The Stakeholders Theory and the Records Continuum Model used by Mensah and Adams (2014) to conduct a survey into both private and public organizations in South Africa claimed that an effective management of municipality's records are critical factors in providing capacity for municipality' efficiency, information security and confidentiality, quality of care and service delivery.



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However, a comparative survey done by Wamukoya (2000) into the Eastern and Southern Africa Regional Branch of the International Council on Archives (ESARBICA) region disclosed that in many African countries, records have been created and maintained in paper formats. This revelation was due to the fact that most records professionals were accustomed to working with paper records so much that they perceived the act of keeping records in the context of a paper based environment. The International Records Management Trust (2005) in their survey posited that, over the last decades, there had been a decline in the management of records in developing countries such as Sub-Saharan Africa, which has had detrimental effects on efficiency,

accountability, security, confidentiality, service delivery and decision making in organizations.

In the same vein, Tale and Alefaio (2011) found out that managing records in South Africa was receiving little attention and support as compared to countries of the developed world. The authors further put forward that although the need to have a good filing system was understood, records management practices were not given the necessary credence as it is required in organizations, and invariably records were controlled by staff that had very limited experience or skills in managing records.

In contrast, a study by Ojo (2009) indicated that records that are managed effectively eliminate missing files, increase physical filing space, reduce lengthy turnaround time in retrieving files, It also assists in tracking the movement of paper records in the municipality. In the opinion of Chimezie (2005, as cited in Maal-Ire, 2013), the maintenance system which is essential to the use of records should be included as an additional strategy for managing municipal records. To the author, record may be in place but if they are not well maintained, they lose their credibility and authenticity.

### **2.3.3 Semi-Active Phase**

#### **2.3.3.1 Use and Storage**

At this point, records that have been used and are no longer needed regularly by the organization are used for reference and to fulfil legal and financial obligations. At this stage, organizations must formulate policies that guide the procedures and manners in

which records are to be stored. The essence of this is to ensure proper storage relating to privacy and security issues since any disclosure of sensitive and confidential information could amount to legal suits in the municipalities (Tucker, 2012). The findings from Dhabí's (2009) study indicated that the storage systems (offsite and onsite) are to be equipped with environmental control, applicable safety and security measures to ensure better storage and preservation of in-active records. Thus, the records must be stored in larger and conducive storage places pending ultimate disposal. The Stakeholders Theory and the Records Continuum Model used by Mensah and Adams (2014) to carry out a survey into both private and public organizations in South Africa revealed that the most common storage equipment used by organizations were steel cabinets and wooden shelves.



Wema (2003) in his study showed that expensive office space was wasted on storing records which could have been moved to less expensive space, such as archives. The inappropriateness of storing records on floors has repercussions on the ultimate disposition of the records when their retention time had expired. The author suggested that keeping active and in-active records together poses serious storage and retrieval problems and also, increases the deterioration of records. This means that active records should be separated from inactive records to facilitate easy retrieval to expedite service delivery.

The ramifications of storing records in folders to some extent make such folders susceptible to the violation of privacy and confidentiality issues and other challenges

such as missing files, misfiling and damaged files (Wema, 2003). Therefore, records should be stored in such a manner so as to facilitate user access and ensure that they are protected from unauthorized access, use, disclosure, removal, deterioration, and loss or destruction.

### **2.3.4 Non-Active Phase Disposal and Destruction**

Records disposal is the process whereby the “organization, through its records manager destroys or erases ephemeral records or transfers archival valued records to an archival institution for permanent safe keeping” (Adelaide University Records and Archives Management, 2004: 30). The purpose of disposal or destruction is to permanently remove records from active use, with no possibility of reconstructing the information (Dhabi, 2009; Nye, 2010). The issue of inappropriate records destruction in South Africa informed the National Archives and Records Service (2006) to suggest that, municipalities should determine the length of time for retaining records before disposal. To the Municipality, records officers should set the period for keeping different types of records, based on different records values or use such as administrative, legal, research and financial values. However, the systematic disposal of municipal records that have been maintained for the prescribed retention period is the overall responsibility of concern to municipalities. Municipal record that is scheduled for destruction must be placed in a secure location to guard against unauthorized access until the destruction takes place (Dhabi, 2009).



### **2.3.5 Non-Active Phase**

The International Records Management Trust (2003a) pointed out that among other challenges identified in most African countries; there were no records retention and disposition policies in the ESARBICA region. This was evident in a study by Balasu (2009) that there was no public sector organization in South Africa that applied records retention and disposition schedule as they are not in existence. The author further expatiated that the absence of records retention and disposition schedule is a serious weakness in the governments' disposition infrastructure. A later argument was that once records are no longer needed by their creating agencies, archivists must make a final decision about the disposition of records; that is, whether records merit continued maintenance and preservation in archives or destroyed or disposed of (Marshall, 2006). Consequently, the delay in authorizing the disposal of records may result in unnecessary accumulation of records (Mnjama, 2006). According to Atuloma (2011), information can be maintained in a manner that effectively serves the need of the organization and any information that are no longer necessary can be efficiently disposed of.

#### **2.3.5.1 Archival and Preservation**

Archival and preservation of records are records that are kept permanently because of its administrative, legal, fiscal, or research value (Norris, 2002: 13). Preserving records effectively means that the records must be stored in a safe and secure location and displayed under appropriate preservation conditions. Preservation of records facilitates perpetuation in decision making while providing substantiation of precedent activities

and historical superiority for future generations (Kasetsart University Archives, 2010). A study by Ngulube (2003) stated that records and archives help to establish communication between the past and future generations. To the author, without records and archives, it would be difficult, if not impossible, for records users to learn from past successes or failures and also, limits the society's ability to act based on sound information. The author further opined that without records and archives, we cannot fully explain the ever changing present and inform the future with certainty. Moreover, proper accounts must be kept at all times of the precise location, including those temporarily withdrawn or undergoing administrative uses (Ngulube, 2003).

A survey by Cox (2000) in the United States of America revealed that there was no coherent system of archives and records management existed. To the author, this was a major barrier to the successful protection of the nation's documentary heritage and the scheme between records officers and other information professionals. A study into the European Union framework of the Information Society also disclosed that a lot of public organizations had chosen to preserve parts of their archives by digitization (Dikopoulou & Mihiotis, 2010).

According to Ngulube and Tafor (2006), the overwhelming challenge of Archivists and Records Managers in Sub-Saharan Africa is a long-term preservation and management of electronic records especially converting paper records to electronic records form by means of scanning and other technological devices. Not excluding South Africa, a study by Akussah (2002) showed that there were inadequacies in preserving awareness

among the staff and users of public records in the registries of Government Ministries, Departments and Agencies (MDAs) in South Africa. This was attributed to inadequate professional training of staff and the lack of preservation education in the form of seminars and workshops. This was not different from subsequent surveys conducted by Adams (2010) and Mensah (2011) into the MMDA's and municipalities respectively. In their studies, they found out that most common preservation equipment used in the public sector were steel cabinets and wooden shelves and that there were problems of inadequate storage equipment. This implies that preservation of records for a longer time still poses serious threats to many organizations in African countries such as South Africa.

## **2.4 Good Practices**



### **2.4.1 Security and Access Controls**

According to Dikopoulou & Mihiotis (2010), security issues in most public organizations like municipalities follow traditional norms. Safety measures such as locking cabinets, employing security personnel, cameras, Closed Circuit Television (CCTVs), alarm systems, fire warnings and protection systems are mostly taken for the physical security of records. On the other hand, electronic security measures such as firewalls, passwords, encryption, security copies and access rights for each user category are some of the tools used for securing electronic records integrity, accuracy and trustworthiness. In municipalities, municipal records are filed in a secure location that is locked during non-municipal hours to safeguard against loss, tampering, or use by unauthorized personnel. Municipality staff must take reasonable steps to protect the personal and confidential information it holds from misuse and loss and from

unauthorized access and modification or disclosure (Professional Practice Group, 2008).

This is very essential in municipalities where on daily basis, confidential records in the form of financial expenses are created and maintained. Access rights in organizations are stipulated by the management that prescribes who is authorized or mandated to access confidential and non-confidential records (Dikopoulou & Mihiotis, 2010). To the authors, the lack of security controls in organizations exposes the organization to lose private and confidential records about the individuals and the organization as a whole.

#### **2.4.2 Disaster Management Plan**



Disaster management plan is a formal written plan, on the basis of identified potential accidents together with their consequences, describes how such accidents and their consequences should be handled either on site or off site (MoH & GHS, 2010). Disaster management also known as disaster preparedness is regarded as an essential part of any records management programme. Disaster management ensures that organizations are prepared to respond quickly to emergencies. Disaster mitigation, or the ability to identify risks and prevent some emergencies from happening, should always play a key role in an institution's emergency preparedness and planning efforts.

A survey by Ngulube (2007) revealed that despite the fact that disaster preparedness plans allow organizations to plan and make decisions about emergency response and recovery, archival institutions in South Africa did not adequately plan for emergencies.

To the author, the absence of disaster management plan is obvious in South Africa as a study also showed that most municipalities had not made disaster preparedness as part of their records management strategy. Ngulube (2007) later disclosed that there were four archival institutions that had written disaster preparedness plans. Out of these four archival institutions, only one institution had a disaster management plan covering natural disasters such as floods.

Similarly, Akussah's (2002) study into government registries in Ghana pointed out that most of the government registries did not have any idea about disaster preparedness.

The repercussions of lack of a disaster management plan in organizations leads to missing or lost records and damaged files which ultimately affect decisions and service delivery (Rodriguez, 2005, as cited in Bundotich, 2013). An organization that is well prepared for disaster is able to efficiently and quickly face any emergency that might be dangerous to staff, documents and building. Moreover, it protects records against theft, deliberate or accidental and unauthorized damage and destruction (Ngulube, 2003).

The negative effect of lack of a disaster management plan requires organizations to back-up electronic records on a regular basis to safeguard against loss of information due to equipment malfunctions, human error, or other natural disasters. On the other hand, institutions that have not complied with their retention policy should not dispose of their record notwithstanding the existence of back-up plans (Florida Department of State Division of Library and Information Services, 2010).

### 2.4.3 Staff Capacity Building

Records management has been described as a profession that is constantly evolving. This has implications on the skills and competencies needed to manage records. Training should be an on-going activity for all staff involved in the management of records from the inception to their destruction or preservation. Whilst records management requires that records designers and creators be imparted with some levels of skills in the management of records, the records professionals require an upgrade of their skills that they apply in the course of their work (Dearstyne, 2002). Unfortunately, those entrusted with the management of records are not equipped with the necessary skills and know-how to ensure that records are managed and preserved in a state that will make it accessible in organizations such as Municipalities (Centre of Specialization in Public Administration and Management [CESPAM], 2005).



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The International Records Management Trust (2004) declared that public officials in various organizations lack the requisite skills concerning the nature of records and record keeping, and about why they need to exist, why they need to be managed, and what their responsibilities are for the management of such records over time. This was apparent in a survey conducted by Wamukoya and Mutula (2005b) on capacity building requirements for records management into public sector organizations in the Eastern and the Southern Africa. They reported that there was a dearth of skills in the management of records in Sub-Saharan Africa and later emphasized the need for records management awareness, education and training and continuing professional development. Furthermore, surveys carried out by Ngulube and Tafor (2006) and

Ojedokun (2008) in some African countries revealed that scarcity of skills in managing records has partly contributed to the poor management of paper records, leading them to query whether institutions in Sub-Saharan Africa would be able to handle the additional challenges posed by electronic records.

## **2.5 Records management in different countries.**

### **2.5.1 Introduction**

This section of the chapter presents records management practices in different countries around the world

### **2.5.2 Records management in West Africa**



#### **2.5.2.1 Nigeria**

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Iwhiwhu (2005) conducted a survey into some Nigerian Universities and indicated that there was a serious problem of technophobia in most offices in Africa especially among the older employees. The author further explained that many Traditional Librarians, Records Managers, and Archivists are very conservatives and have phobia for technological equipment such as computers. This may be as a result of generational gaps between the new and old professionals which have made information managers to perceive computers as a threat to their records profession. Surveys conducted by Afolabi (2004) and Egwuyenga (2009) in Nigeria also showed that records management in Nigeria had been plagued by factors such as inadequate skills and inexperience

records officers, insufficient funds and the placement of records management in a low priority in relation to other things.

### **2.5.2.2 Ghana**

Studies in Ghana by Akussah (2003) and Woode (2008) admitted that the records units in Ghanaian organizations lacked professionalism due to the paucity of skilled staff. This evidence shows that the skills needed by records officers in the management of records is essential if a sound records management system is to be practiced. In Ghana, for effective and efficient management of hospital records to exist; there is the need for hospitals to create records management's awareness for staff and also, employ staff that has the requisite skills and competences to manage the records in the design, creation, storage and disposition stage (Mensah, 2011)



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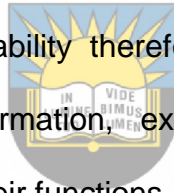
### **2.5.3 Records management in Southern Africa**

#### **2.5.3.1 Zimbabwe**

Public records are important as they help the responsible authorities to uphold the rule of law and to demonstrate good governance through fair and equal treatment of citizens. The availability of records enables the public to hold officials accountable for their actions and it enhances service delivery particularly in such sectors as health, education, pensions, land, municipalities and judicial rights. This means that records are critical to the several aspects of the governance process. In this regard, records



management can be labeled the road to accountability, transparency, good governance and improved service delivery. The concept of accountability refers to the legal and reporting framework, organisational structure, strategy, procedures and actions that a government follows to help ensure that a government is held responsible for its actions (Lindberg, 2009). Evans (2008) notes that accountability is the willingness by a government to accept the responsibility of its actions and decisions. As such, accountability can be perceived to be central to the democratic theory as democracy has been attested to necessitate accountability. Blagescu et al. (2005) indicates that accountability is when a government is open to the populace and makes available the relevant information to enable the people to meaningfully contribute to ongoing national dialogues and debates. Accountability therefore refers to the obligation that public officials have of providing information, explanations and justifications for their performance in the execution of their functions.



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### **2.5.3.2 South Africa**

South African municipalities must adhere to the principles of good, developmental local governance and comply with an inclusive statutory and regulatory framework that governs service delivery. In order to achieve this, municipalities need to design and implement comprehensive performance management systems (PMS). Such systems should facilitate the continuous assessment, monitoring, and evaluation of municipal structures, systems and processes. This should be done in alignment with a municipality's integrated development plans and service delivery outcomes, as well as operational plans for implementing the budget (Kemoni et al, 2007)

According to Kemoni et al. (2007), Section 13 of the National Archives and Records Services of South Africa Act, 1996 requires all local municipalities to manage their records in a well-structured record keeping system, and to put necessary policies and procedures in place to ensure that records management practices comply with the requirements of the Act. Southwood and Hare (1996) posited that records are created not for the sake of it but to provide information about what happened, what was decided, and how to do things.

#### **2.5.3.2.1 General report on the local government audit outcomes**

##### **Auditor general report**

Auditor General Report (2015/2016) stipulates out that the accountability that the municipal leadership must take for their actions, decisions and policies (including being answerable to the community) is critical for financial and performance management as well as respect for the law in local government. However, the limited improvement in audit outcomes over the past year shows that accountability for these important functions is not as strong as it should be. The focus of many municipal leaders was on the local government elections and important interventions to address vacancies and instability as well as poor control environments were postponed with the view that it would receive attention by the new administration or that the amalgamation as a result of the re-demarcation of municipal boundaries would address it.

As a result of these root causes not being addressed, there was limited improvement in the audit outcomes of municipalities, with 15% improving, 13% regressing and 67% remaining unchanged. The number of municipalities with clean audit opinions decreased, which included two metros that lost their clean audit status. Clean audit opinions represented only 19% of the total local government expenditure budget (Auditor general, 2012-2013).

The audit outcomes of municipalities in the Eastern Cape, Limpopo and Mpumalanga showed momentum in the right direction, with the Eastern Cape showing the greatest improvement. The improvements in the Eastern Cape can be attributed by improved record keeping, the support provided by the provincial treasury and the provincial department responsible for cooperative governance, the leadership attending to audit recommendations, the implementation of the minimum competency levels, and the use of consultants. The improvements in Limpopo were as a result of increased focus to resolve audit findings in response to a strong stance taken by the premier that steps will be taken against municipal managers if audit outcomes are poor. In Mpumalanga, strong leadership, accountability and good human resource (HR) management at an increased number of municipalities had the desired effect (Auditor general, 2012-2013).

Auditor general (2012-2013) stipulates out that South Africa in general has been attributed to a poor records management in the municipalities, a lack of policies and procedures. South African public sector records management practices are the evidence of the nonchalant demeanour and Cinderella status of the public sector

information source, as recorded evidence of the narratives of post- apartheid in South Africa. The sources of information including lack of evidence thereof reveal narratives of corruption, mismanagement of funds and resources, poor security of information required to protect the state and individual, breakdown of trust and interest and poor or no service delivery.

Local government is the one sector which supports the broad spectrum of society from the wealthy to grassroots communities. Recently, South African local government received much of the brunt of dissatisfaction from grassroots communities concerning the lack of, or poor, service delivery. According to the online news media News24 in May 2011, it was reported that the majority of South African municipalities ignored the prescriptions of the Municipal Finance Management Act, No. 56 of 2005. The Auditor-General was waiting for financial statements of 46 municipalities for the financial year 2009/10. Further reported was that 210 municipalities had infringed laws and regulations regarding the awarding of tenders. The article further reported that the information supplied was of a poor quality and 70% of the expenditure reports on service delivery projects were unusable (Repackage damning report, 2011).

Metrofile (2010) believes that much of the audit concern AGSA raises in governmental bodies can be mitigated through proper records management by ensuring that the Information needed by auditors is properly arranged and readily available. Practice indicators for governmental bodies to achieve clean audit results, many governmental bodies in South Africa are disclaimed every year due to a lack of documentation. While

various researchers and organizations around the globe acknowledge the importance of proper record-keeping for the auditing process and corporate governance, AGSA (2010) observes that records management is often not regarded as essential for good governance in the public sector of South Africa.

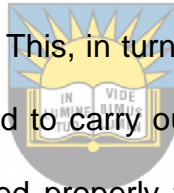
#### **2.5.3.2.2 Records management in the Eastern Cape**

In 2007, officials from the Eastern Cape Provincial Archives and Records Services conducted an intensive assessment of Amathole District Municipality's records management practices. One of the findings was that the municipalities do not have a designated Records Manager and it was therefore recommended that a permanent appointment of a Records Manager dedicated only to records management be made. This culminated in the designation of the sectional manager responsible for records management, among other responsibilities, as Records Manager (during 2009), no studies have been done in in the former Transkei municipalities were most municipalities were created by the new democratic dispensation (Auditor general, 2012-2013).

Furthermore, most managers do not rank organizing records highly among their priorities. Instead, it is thought to be a Mundane chore with which management should not be concerned. This tedious task is often left to the discretion of the staff in charge of records management (IRMT, 1999). In addition, financial legislation, regulations, standards and the accounting manuals, which provide the foundation for designing

financial management systems, tend to specify what records should be kept but not how they should be kept. Beside the financial legislation, standards and regulations not prescribing or recommending the how part of records management, the other dilemma is that some records such as financial records, personnel records and electronic records usually fall outside the jurisdiction of the organization's records manager. As a result, these records are not managed or controlled adequately (IRMT, 1999).

Ngoepe (2011) observes that in South Africa, most records are managed only during their last stage when they are put into archives and by then it is too late to control the records. Failure to manage records can lead to the build-up of unwanted records, overcrowding and disorganization. This, in turn, will make it very difficult to retrieve and use financial records efficiently and to carry out the auditing process. In this light, it is essential that records are managed properly to enable the auditing process and risk management.



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#### **2.5.4 Challenges around records management**

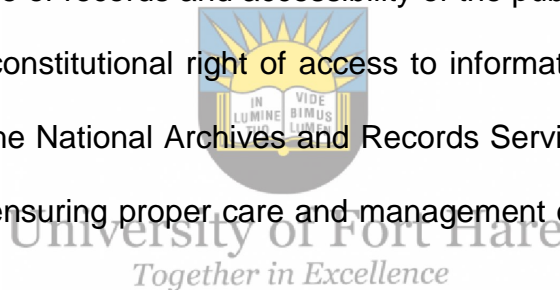
Mensah (2011) study on the assessment of records practices in Ghana mentioned the challenges faced in the process of records management as follows:

- Not seen as a key business process by Municipalities or no defined records management process or lack of discipline in adhering to records management processes
- Leadership both Administrative and Political not setting the tone from the top
- Political oversight sees it as an Administrative function

- Junior or unskilled staff tasked with records management in municipalities
- Lack of physical and logistical resources to enable proper records management
- Provincial Archive legislation not understood or applied and link to
- Provincial Archivist poor (training, mentoring and professionalization).

### **2.5.5 Statutory and regulatory requirements of records management**

In South Africa a legal framework exist for both public and private bodies to have effective control and management of their records and to be able to make information available when required. Statutory bodies were also established to ensure proper management and care of records and accessibility of the public to the records to protect their rights. The constitutional right of access to information held by the public and private bodies, and the National Archives and Records Services which is assigned with the responsibility of ensuring proper care and management of records by public bodies (Mensah, 2011)



#### **2.5.5.1 South African legislation**

Republic of South Africa (2014) noted that South African legislation gives guidelines on what is expected of municipalities and how public records should be managed, for effective administration and management in the municipalities. In terms of chapter 7 of the Constitution of the Republic of South Africa of 1996, Section 152(1), one of the objects of local government is to ensure the provision of services to communities in a sustainable manner. Furthermore, Section 41(1) (c) stipulates that all spheres of government and organs of state must provide effective, transparent and accountable

service delivery for the Republic as a whole. Effective records management enables municipalities to document the delivery of services and to promote accountability and transparency. The White Paper on Local Government (March 1998) states that municipalities have a range of delivery options to enhance service provision and their administrations need to be geared to implement the chosen delivery options in the most effective manner and to ensure maximum benefit to their communities (Republic of South Africa, 2014).

Powell (2012) pointed out that the White Paper on Transforming Public Service Delivery (Batho Pele White Paper, October 1997) seeks to build a public service capable of meeting the challenge of improving the delivery of services to the citizens of South Africa. It promotes the application of the Batho Pele Principles by public officials in the execution of their duties. Lack of proper management of records may hinder the implementation of the eight Batho Pele Principles. Section 56(2)(c) of the Local Government: Municipal Structures Act 117 of 1998, requires the Executive Mayor to recommend to the municipal council strategies, programmes and services to address priority needs through the Integrated Development Plan. Section 56(3) (e) states that the Executive Mayor must oversee the provision of services to communities in a municipality in a sustainable way. Sound records management is the foundation any government needs to provide services (Powell, 2012).



### 2.5.5.2 Legal and Regulatory Framework

Laws and regulations play significant roles in records management. From experiences of other countries, relevant legislations such as records and archives laws, freedom of information and data protection laws are used to safeguard malpractices in the field of records management (Nengomasha, 2009). The Life Cycle and the Records Continuum Models employed by Chachage and Ngulube (2006) to carry out a survey into some companies in the Iringa region in Tanzania disclosed that organizations need to keep records as they generate them during their routine activities in order to comply with legal requirements as well as to protect the stakeholders' rights. Conformity is mainly concerned with "information integrity, privacy and records retention" (Marobella, 2005: 18). Compliance with legislation has an effect on how records are created or captured, transmitted and used, stored, indexed, retrieved, controlled, retained and preserved.



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Contrarily, inadequate legal and regulatory environments have been cited as challenges facing developing countries as they move towards making the management of records, particularly in electronic format. A study by Barata, Bennett, Cain and Routledge (2001) revealed that there was inadequate legal and institutional framework that regulates records management in Namibia. Also, a research by Gibbons and Shenton (2003) showed that in spite of the regulatory framework that was in existence, the records management practices of the United Kingdom Parliament was not in conformity with the practices recommended by their statutes. The non-compliance with legislations can result in disorganization, missing, stolen, destruction and unauthorized access to documents.

On the other hand, McLeod and Hare (2006) pointed out that adherence to legal and regulatory framework is imperative to the strengthening of records management practices in organizations. Conversely, the non-adherence and compliance is a leading cause of poor records management particularly, in Africa (Tagbotor et al., 2015).

### **2.5.5.3 Policies and Standards**

The International Standards Organization 15489-1 (2001) provides a framework for public and private organizations in the management of its records, irrespective of the medium in which the records are created, captured and maintained. University of Texas State (2009) posited that records management programme ensures sound record-keeping practices that support business activities, assist in the capture and maintenance of corporate memory and ensures compliance with relevant legislation. The Stakeholders Theory and the Records Continuum Model adopted by Mensah and Adams (2014) to conduct a survey into both private and public organizations in Ghana reiterated that the existence of records management policies provide the mandate and overall authority for the creation, use and preservation of records, and are vital to the effective management of records in all organizations. Ngulube and Tafor (2006) in their study further explained that the adoption of records management standards and integrating them ensure that records are managed consistently for the required periods.

On the contrary, a survey by Dikopoulou and Mihiotis (2012) found out that most organizations in South Africa did not have written and approved policies for the management of their records. Studies by Kemoni (2007) and Tagbotor et al. (2015)

agreed that without a records management policy, it is difficult to establish efficient records management systems that support service delivery. However, formulating records management policies within a particular department may be challenging, but integrating records and policies that involve several functional areas of an organization can be a significantly more complicated task (Kennedy & Schaunter 1998). To the authors, records management standards serve as a guide for effective functioning of records management systems within an organization. This is due to the fact that standards provide information on “who, what, when, where and how the records management systems operate” (Kennedy & Schaunter, 1998, p. 527). The absence of records management procedures and standards impacts negatively on records creation, use, maintenance and disposal or preservation of records in organizations (Kemoni et al., 2007).



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### 2.5.6 Implications of the Reviewed Studies

This chapter presented a review of empirical literature on records management in public organizations such as municipalities. There were similarities in most of the methodologies used in the various studies that were encountered. Most of the studies used both qualitative and quantitative approaches, the survey methods, questionnaires and interviews. Various lessons were learnt from the review and from other literature that was not included in this study.

The literature established that there is a great need to preserve corporate memory. The preservation of corporate memory guarantees that organizations operate in perpetuity. This would support the future of the organization, help it to operate effectively and efficiently and learn from previous mistakes.

Extant literature revealed that organizations need to develop records management policies, guidelines and procedures to help organizations function effectively and efficiently. This is due to the fact that records management policies, guidelines and procedures play a major role in organizations as they clearly stipulate the responsibilities of the records professionals. The availability of adequate policies set up a foundation or guide for the effective management of records in an organization. In the case of an institution like the Engcobo Local Municipality, adequate policies would result in staff awareness of standards and allow them to follow proper records management practices.



The literature disclosed that there should be an adequate records management programme and an implementation plan. The University of Texas State (2009) posited that the records management programme ensures sound record keeping practices that support business activities, assist in the capture and maintenance of corporate memory and ensures compliance with relevant legislations.

The literature indicated that records professionals must adapt to the use of information technology in the creation, storage, retrieval and dissemination of preserved or recorded information. For instance, records management software can be used as an additional

strategy to the existing Information Technology Systems to improve records keeping practices.

Finally, the review of literature showed that an organization's ability to comply with state legislations and standards, implementation of disaster management plans, improving staff capacity, developing a records management programme that is embedded in policies and adoption of a comprehensive and an integrated electronic records management system are likely to improve decision making in organizations.

### **2.5.7 Research gap**



The researcher has perceived that there is a research gap with regards to the role of records management practices in improving service delivery. This chapter examined the role of records management practices in improving service delivery by introducing the Hybrid Records Life Cycle model which encompasses the pre-natal phase of Records Continuum Model and the conceptual phases of the Records Life Cycle Model. The Hybrid Records Life Cycle Model functions effectively in organizations that deal with both paper and paperless records. The Hybrid Records Life Cycle Model provided a theoretical foundation for the study to address the role records management practices in improving service in public organizations like Municipalities. Theoretical and empirical literatures were reviewed in accordance with the conceptual framework proposed for the study. The review of an empirical literature has clearly indicated the importance of records management especially on how paper and paperless records need to be

managed to improve municipality and service delivery. Challenges faced by records officers in managing records have been identified. The review further explained the significance of records management policies, standards, procedures and proper records management practices for the perpetual existence and well-functioning of an organization. It is against this backdrop, that the research question of this proposed study is to find out ways on how to improve service delivery by municipalities.



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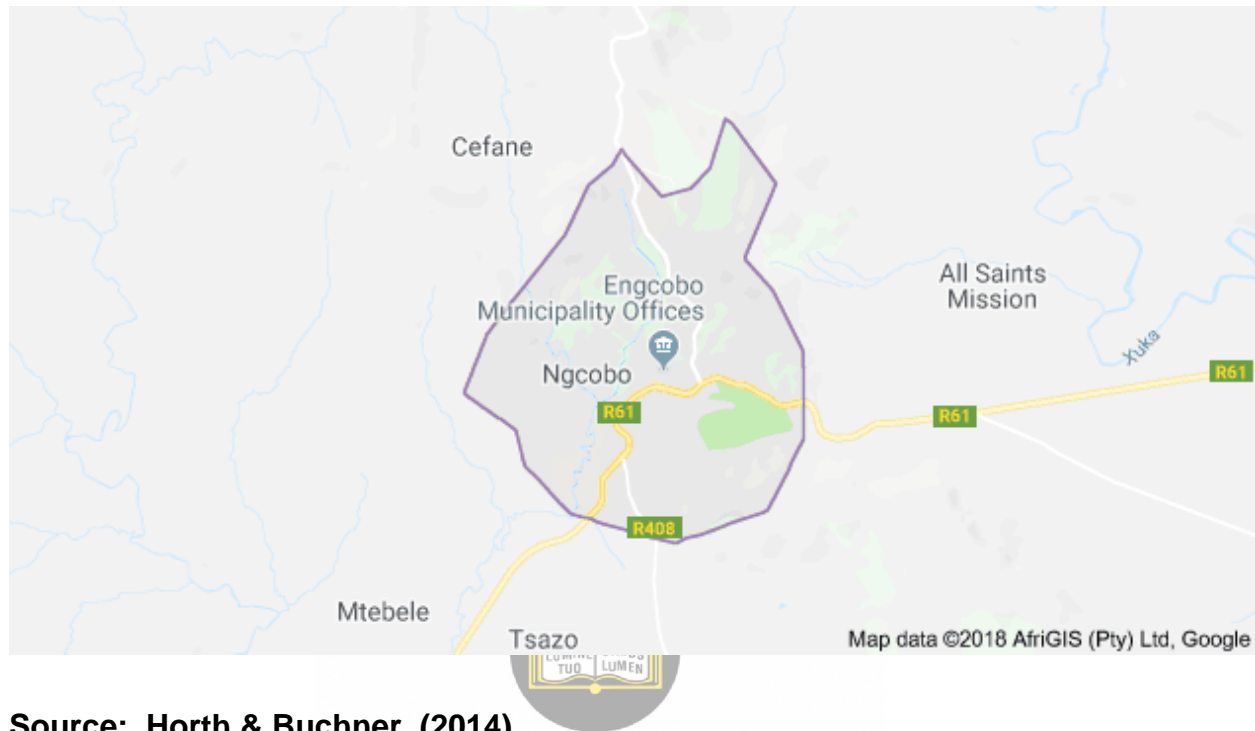
## CHAPTER THREE: RESEARCH METHODOLOGY

### 3.1 Introduction

This chapter presents appropriate approaches, research design and processes that are used for collecting data and literature for the entire study. Also, the chapter provides a brief description of study area, target population, sampling strategy, determination of sample size, data collection instruments, sources of data and data collection procedures for the study. Pretesting, reliability and validity and adherence to ethical considerations are considered during data collection and reviewing of extant literature. The study was guided by the following research objectives: to find out the type of records received, created and maintained by Engcobo Local Municipality, to find out how records are processed for use in Engcobo Local Municipality, to what extent does the Records Management Practices in Engcobo Local Municipality comply with the legal and Regulatory requirements, to find out the challenges faced by Engcobo Local Municipality and to find out the impact of records management on service delivery.

### 3.2 Profile of Study Area

**Figure 1: Engcobo Local Municipality Map**



**Source: Horth & Buchner, (2014)**

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The location chosen by the researcher to conduct this study is Engcobo Local Municipality in the Eastern Cape province of South Africa. The Engcobo Local Municipality is a Category B municipality situated in the Chris Hani District in the Eastern Cape Province. It is one of the six municipalities in the district. The municipality claims the most youthful population, as well as the highest rates of poverty and unemployment, in the district, coupled with a high dependency ratio (Horth & Buchner, 2014). A dedicated Light Emitting Diode (LED) strategy has been developed in order to guide interventions in turning this situation around. The economy is underperforming and currently fails to create needed jobs and revenues. The municipality's low productivity score points to the low Gross Domestic Product (GDP) per worker (formal

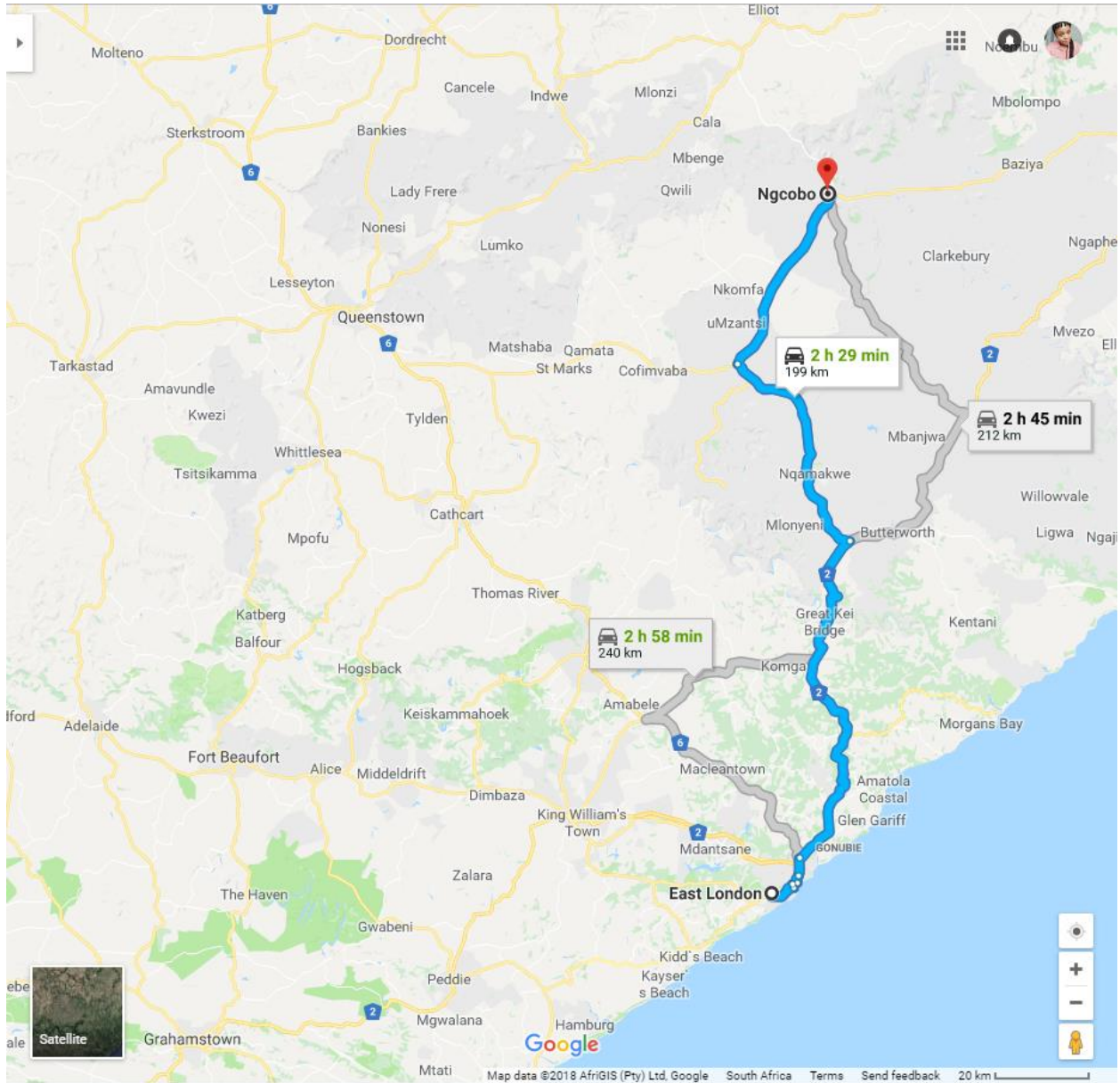


and informal), a relative shortage of skills available to the economy and low growth. On a broad scale, the Engcobo Municipality has some striking features: it is a peripheral area in terms of the national economy, is underdeveloped, has a fragmented settlement pattern, has a low-density rural settlement environment, and its resource base is under pressure. On the scale of urban development, Engcobo Town is classified as a Sub-District Development Node (i.e. it is among a group of towns deemed to be on a second tier below the dominant district node of Queenstown) (Horth & Buchner, 2014). This means that Engcobo is understood to have an influence (reach or catchment population) beyond simply its local area and that it draws people to the town to access goods and services from a broader area (i.e. in some cases even from neighboring municipalities) (Horth & Buchner, 2014). However, Engcobo may also currently be described as a low-density urban environment. In spite of its low density and intensity of development, Engcobo's business center is thriving, though it does not function optimally due to overcrowding and a lack of facilities serving both pedestrian and vehicular traffic. Business in the town is reliant on commuters (rural consumers) and there is no mass of resident consumers (Horth & Buchner, 2014). This limits the range of commercial and social facilities that the private sector provides in town and inhibits the development of a more vibrant urban character.



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## Directions to Engcobo Local Municipality



### 3.2.1 Vision of the Municipality

“A well-capacitated clean, safe, and friendly Municipality characterized by vibrant agricultural and tourism sectors with skilled and empowered communities” (Jackson et al, 2009: 57)

### **3.2.2 Mission Statement of the Hospital**

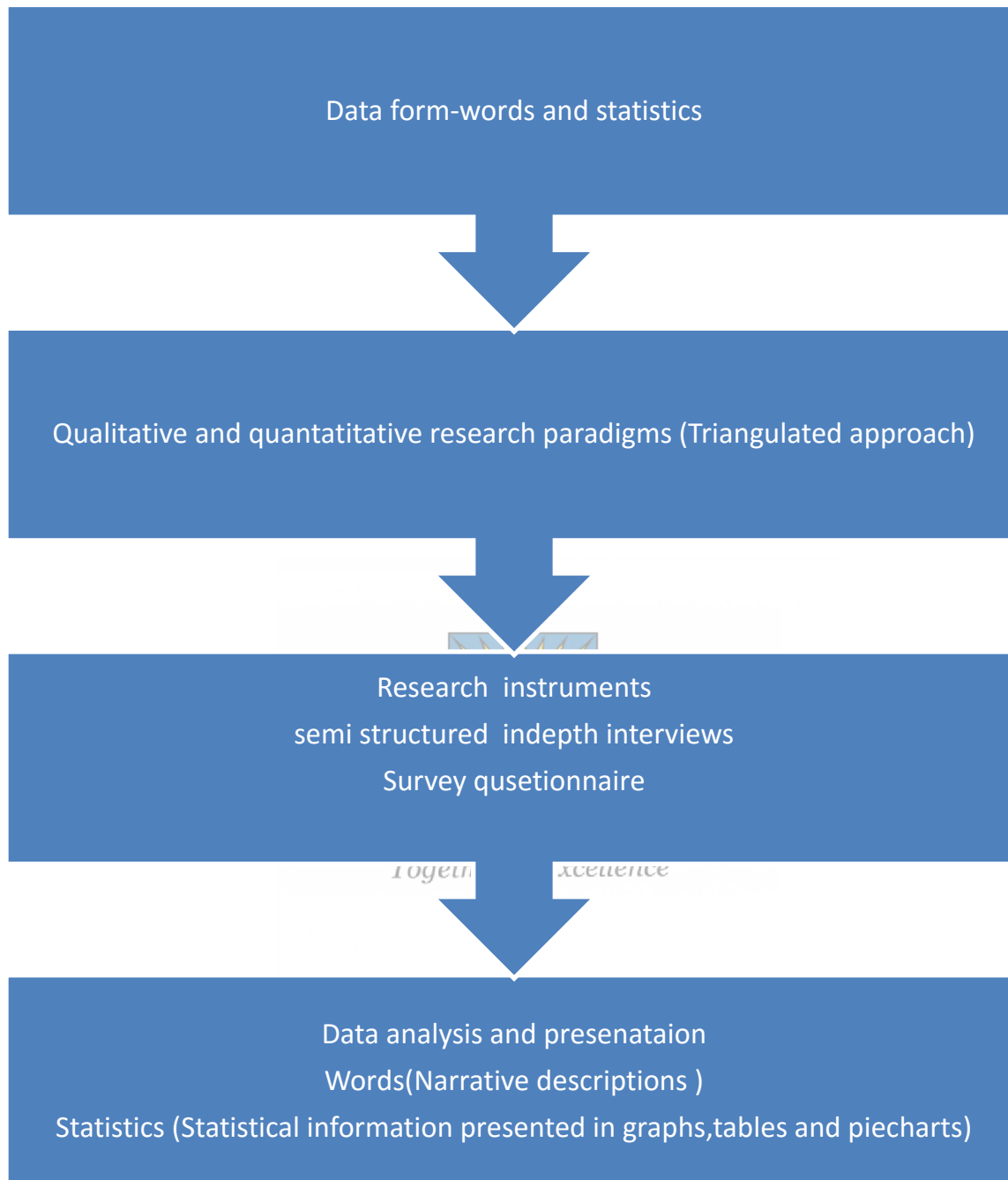
“To provide basic and affordable services, alleviate poverty and improve the quality of lives of the Engcobo community through social and economic development of the area and creating a safe, healthy and secure environment.” (Jackson et al, 2009: 56)

### **3.3 Research process**

#### **Figure 2: Research process in this study**



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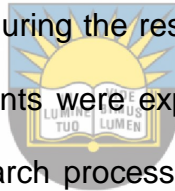


The diagram above illustrates the stages of research that was followed during the process of data collection. The first stage was data form words and statistics. In this stage the researcher was looking at which research methods and approach to use. The next stage illustrated by the diagram is the research paradigm that was in data

collection process. The researcher used a triangulated research paradigm. Thirdly, the research instruments that were used are in-depth interviews and survey questionnaires. Finally, the data was analyzed using narrative words, statistical methods as shown above. The diagram showed the five stages that were followed in the process of data collection.

### **3.4 Gain entry / Rapport**

The process of entering Engcobo local municipality started by presenting the covering letter to the management of the municipality which seeks permission to collect data. The covering letter was attached with ethical clearance form that specified all the ethical considerations that was followed during the research process. In addition to the above, the participants and the respondents were explained all the stages that was followed and the reason towards the research process. The researcher gained entry after she got the permission to collect data from the responsible authorities in the municipality.



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### **3.5 Research methodology**

Babbie (2010) defined research methodology as the specific procedures or techniques used to identify, select, process, and analyze information about a topic. The study utilized triangulated research method in which both qualitative and quantitative methodologies were utilized. Qualitative research methodology used in-depth interviews whilst qualitative research methodology used survey questionnaires. This has the advantage that the weakness of the other can be reinforced by the strength of the other in the data collection process. This made the data collection process a success since they used interviews and questionnaires to collect the data.

### 3.6 Research Approach

Kothari (2011) pointed out that research approach refers to the method used to undertake formal work to systematically increase the stock of knowledge so that new applications can be devised. The common research approaches are quantitative, qualitative, triangulation, experimental and observational research. This study employed a triangulated approach whereby a mixture of methods was used that is the qualitative and the quantitative approaches. The researcher chose a mixed approach to assess records management practices in Engcobo Local Municipality in the Eastern Cape. Triangulation was prioritized over other research approaches because of the many numerous advantages that it offers to the researcher.

#### 3.6.1 A mixed methods approach



According to McMurray, Pace and Scott (2004) triangulation refers to the use of multiple methods (different research techniques) to conduct a study with the view of confirming and verifying data gathered in different ways. When using triangulation an outcome is assessed from different standpoints so that at the end of the day an outcome is produced that is supported by all the approaches hence matching data is harvested. “Such an approach adds rigor, richness, and depth to the research design and to the data collected” (McMurray, Pace and Scott: 263). Hence the justification for the use of the triangulated approach in this study. In this study both qualitative and quantitative methods were used. The underlying premise of triangulation is that quantitative and qualitative methods are two diverse approaches and no one approach assumes superiority over the other. The rationale of employing a triangulated design in this study is that, “by combining multiple observers, theories, methods, and empirical materials,

the researcher can hope to overcome the weakness or intrinsic biases and the problems that come from single method, single-observer, single-theory studies” (Yeasmin and Rahman, 2012:157). In this regard, by combining qualitative and quantitative approaches the researcher is able to neutralize the defects of one paradigm and strengthening the advantages of the other for better research outputs. Therefore, this study employed in-depth interviews and questionnaires as instruments of data collection. This helped covering the gaps left uncovered by the single method.

Triangulation can be grouped into four broad categories namely source triangulation, investigator triangulation, theory triangulation and methodological triangulation (Denzin, 1978). Source triangulation entails that multiple data sources are used and investigator triangulation means that more than one investigator (researcher) partakes in the research. Theory triangulation entails that multiple theoretical frameworks and perspectives are used to guide the study and interpret the data gathered. Many different data collection techniques are used when using a methodological triangulation (Denzin, 1978). In assessing records management practices, the study utilized a methodological triangulation where both quantitative and qualitative data gathering techniques are used thus semi structured (quantitative) survey questionnaires and the semi structured in-depth interviews (qualitative) respectively.

### **3.6.2 Qualitative research approach**

Babbie (2010) defined qualitative research as the systematic inquiry into a research problem to gain understanding of a social occurrence through the participants’

descriptive narratives. Qualitative research relies on qualitative data and does not actively and purposely manipulate the phenomena under investigation (McNab, 2013). A qualitative research approach can be used to develop the understanding required for evaluating if a variable is or is not to a given problem situation. Through close contact with the research field for a prolonged period of time, the researcher develops a profound understanding and becomes able to formulate a conceptually rich theory explaining the phenomena under investigation. Furthermore Kothari (2011) points out that qualitative research approach needs significant engagement with the perceptions, emotions and feelings of the participants in order to gain an understanding of how they describe their experiences. Contact with the field of research may be based on interviews, observations, or analysis of documents and other artifacts. In addition, literature studies are performed to the extent required developing sensitivity in observation and interpretation (Luton, 2010). The three most common qualitative methods are participant observation, in-depth interviews and focus groups. Each method is particularly suited for obtaining a specific type of data. However, the study is mainly going is focused on in-depth interviews. In-depth interviews are optimal for collecting data on individuals' personal histories, perspectives, and experiences, particularly when sensitive topics are being explored; hence they are effective in facilitating the data collection process (Kothari, 2011).

### **3.6.3 Quantitative research approach**

Since the study utilized a triangulated approach, it also used the quantitative research approach in addition to the qualitative approach. Quantitative research is a type of research that seeks to explain social phenomena by collecting numerical data that is



analysed using mathematically based methods (in particular statistics)(Creswell, 1994). Banister (2011) in the same vein also stressed that quantitative analysis involves using scientific or mathematical data to understand a problem, such as analysing surveys to predict consumer demand. These contrasts with a qualitative approach, which uses a more social methodology, like interviewing people. The quantitative approach focuses on the results from a large number of people, instead of focusing on individuals. Often a combination of the two approaches is used to solve a problem, taking advantage of each approach's strengths. Quantitative methods involve compiling statistics, opinion surveys and questionnaires, then examining the results to produce data-driven analysis. With quantitative research, everyone from policy makers to marketers can determine the most popular choices to make (Feilzer, 2010). The quantitative approach provides hard numbers, which are useful in making business decisions and deciding between various projects. In this study, 35 survey questionnaires were distributed to the selected respondents. Out of the 35 questionnaires that were distributed, only 30 questionnaires were returned for data analysis process. The data from questionnaires were analyzed using statistical methods and presented in pie charts and bar graphs.



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### **3.7 Population of the study**

A population is an identifiable set of interests to the researcher and related to the phenomena under study (Hair et al, 2008). According to Flick (2009), population generally entails the specification of the survey group under investigation and the specifications define the elements that belong to the target group and those that are not to be included. The population of this group comprised of managers and staff of Engcobo Local Municipality. The population comprised of 168 municipality workers at Engcobo municipality.

### **3.8 Sampling Technique**

For the purpose of this study, purposive sampling techniques were used to select respondents and participants for the study. The essence of the purposive sampling technique was to select respondents from the records management cluster based on the knowledge of the workers and the population under the study. The study was ascertained based on the activities and functions performed by records management workers in the municipality. This made the researcher to elicit information pertaining to how records are created, used, maintained, preserved and disposed in the municipality. This ensured that municipality workers that created and kept records were purposively selected to provide relevant answers to the kinds of questions to help address the research objectives.

#### **3.8.1 Sample**

Sampling involves the selection of a small segment of a population from which information about the entire population can be obtained (Bernard and Grey, 2010). In

the social researches, especially in a qualitative research, people are mainly units of analysis. The widely accepted rule is that data should be collected on the lowest level unit of analysis possible (Bernard and Grey, 2010).The underlying philosophical underpinning of sampling is the fact that accurate information about the entire population may be obtained by examining a portion of the total group One hundred and sixty eight) 168. Therefore, to obtain information on the nature of records management, the researcher selected a sample who are representative of the entire population which composed municipality workers and management. Hence a total of (Fifty) 50 participants and respondents were selected from the study population. However, 35 survey questionnaires and 15 in-depth interviews were administered.



### **3.9 Data Collection Instruments**

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#### **3.9.1 Questionnaire**

For the purpose of this study, the questionnaire was made up of thirty five (35) questions. The questionnaire was structured into eight (8) thematic areas, namely: demographic characteristics of respondents which were mostly close-ended and a few open-ended questions; awareness and knowledge of records management which were close-ended questions; records keeping continuum which were mostly close-ended while a few were open-ended questions; compliances and good records practices were mostly close-ended and a few open-ended questions; and records management challenges and suggestions were entirely open-ended questions.

### **3.9.2 Interview Guide**

The researcher conducted 15 face-to-face interviews with the head of records unit to gather vital information that the questionnaire was not able to provide. In view of that, a semi-structured interview guide was designed to elicit vital information from the records professionals at the municipality to support the findings from the questionnaire. The face-to-face interview with the head of records unit was necessary because the study wanted to ascertain the records keeping practices, records keeping standards, the challenges the municipality is encountering in their attempt to keeping records and most importantly, the involvement of records professionals in the designing of records keeping systems for the municipality. The interview guide consisted of ten (10) questions which covered areas such as records management standards, programmes, archival information, ICT information and challenges in managing records. The information collected from the head of records unit was used to complement the findings derived from the questionnaires.

### **3.9.3 Data Collection Procedure**

The data collection was categorized into two parts. The first part was the distribution of questionnaires to the municipality workers while the second part was the face-to-face interview with the head of the records unit. A period of three (3) days was used for the entire data collection exercise. The content of the questionnaire was briefly explained to the respondents and their permission was also sought verbally before administering the

questionnaires. In view of that, the questionnaires were distributed to staff of Engcobo Local Municipality to elicit information on the kinds of records keeping practices in their respective units and how it contributes to service delivery. The questionnaire distribution was done by the researcher with the help of a municipal employee. The researcher ensured that municipality workers were purposively selected to have a fair representation of the staff of the municipality. An average of ten 35 questionnaires was distributed to the municipality workers and 30 were returned back. Laos 15 in-depth interviews were undertaken. On the last day, the researcher had the opportunity to have a face-to-face interview with the head of the records unit to get in-depth information concerning the state of records keeping practices at the Municipality.



### **3.10 Reliability and Validity**

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The study ensured reliability and validity through the use of a structured questionnaire, interview guide as well as pre-testing, which led to revision and refinement of the questionnaire to make sure that respondents understood the questions as intended by the researcher. To ensure validity and reliability, the questionnaires were piloted on a small group of people outside Engcobo Local Municipality before administering the questionnaires to the municipality workers. The people involved in the pilot study were ICT workers, librarians and Archivist. The pilot study tested whether the questions were clear and that could be understood by different respondents. The questionnaire and the interview guide designed proved to be reliable after the pilot study. The pilot study

revealed that the questionnaire should not take more than thirty five (35) minutes to complete.

### **3.11 Data analysis**

Data analysis is the process of evaluating data using analytical and logical reasoning to examine each component of the data provided to see whether there are patterns or trends that can be identified or isolated, or to establish themes in interpretation (De Vos, 2011). The study employed thematic analysis in analyzing the qualitative data. Klenke (2008) defines thematic analysis as a process of encoding qualitative information and the encoding requires an explicit code. Thematic analysis allowed the researcher to discuss the common themes from the thick descriptions obtained from the municipality workers.



Quantitative data from the semi structured questionnaires administered were analyzed using statistical methods (SPSS). The presentation of the findings was in the form of tables, graphs and pie-charts.

### **3.13 Ethical considerations**

Ethics refers to what is good and just for individuals, groups, organizations and society (Jonasson and Ingason, 2013). The participants and respondents in this study will be well informed about the general nature of the research so that the research can obtain their informed consent before the interview process. Only those who have consented and are willing to take part will be interviewed. Participants also need to be informed about any potential challenges or problems that can be involved in the research. The participants in this study are authorized the rights to pull out from the research study at

any point if they wish to, to refuse to answer any question asked, and to be unidentified and to have confidentiality of their data protected. Information or data obtained from participants is not to be divulged unnecessarily unless consent is secured from the participants. The researcher should never do any harm to research participants or those who may be affected by the research

Ethical behavior is of profound importance in every study. To ensure this, the rights of the participants will be respected. For instance, that is participants and respondents will be asked to participate on their own free will. In addition names of respondents will not be sought and this will guarantee the principles of anonymity and confidentiality. Respondents will be guaranteed anonymity and their rights will be respected. Patton (2002) argued that all social research involves ethical issues; this is because the research involves collecting data from people and about people. The information gathered in this research will be used only for academic reasons and will be treated with strict discretion.

The researcher will also acknowledge sources cited in the research study to avoid plagiarism and ensure that the study is authentic. Furthermore, an ethical clearance certificate will be sought from the University of Fort Hare Ethics Committee to ensure that the researcher abides by the institution's ethical guidelines and obeys the ethical obligations expected from him in the conduct of this study.

### **3.14 Summary**

This chapter discussed the methods, processes and instruments used for the entire study. In view of that, a mixed method and an exploratory survey design was adopted

for the study. A semi-structured questionnaire and an interview guide were designed to elicit information from the staff and head of records unit at Engcobo Local Municipality. Although the study relied on both primary and secondary data, the primary data was basically used for the analyses and discussions. The data was analyzed using both SPSS Statistics Version 21 and Microsoft Excel 2007.

## **CHAPTER FOUR: PRESENTATION OF THE FINDINGS**

### **4.1 Introduction**

This chapter looked at the analysis of data and interpretation of the findings that were gathered with the aim of assessing records management practices at Engcobo Local Municipality in the Eastern in support of service delivery. Data analysis is a key aspect of any research, and it helps to draw conclusions and generalisations from the data as it relates to a problem statement (Creswell 2009). Out of the (thirty five) 35 questionnaires distributed, only (thirty) 30 were returned, representing 86% response rate and according to Babbie (20058), this is good response rate. Quantitative data from questionnaires were analysed, using different analytical tools and computer software such as Microsoft Excel Spread sheet and Statistical Package for Social Sciences (SPSS). Twenty interviews were administered and the qualitative data from interviews results were analysed manually and used to substantiate numerical data. Results were presented using written descriptions, numerical summarisations and tables. The results were presented according to research objectives outlined above.



The analysis of the data was based on the following objectives: to find out the type of records received, created and maintained by Engcobo Local Municipality; to find out how records are processed for use in Engcobo Local Municipality; to what extent does the Records Management Practices in Engcobo Local Municipality comply with the legal and Regulatory requirements, to find out the challenges faced by Engcobo Local Municipality and to find out the impact of records management on service delivery. This chapter focuses on the presentation and discussion of findings based on the four themes. The study used in-depth interviews and survey questionnaires. All the data was presented according to the themes that emanated from the responses of the participants in the process of data collection.



## 4.2 Biographical characteristics of the participants

### 4.2.1 Age and Sex distribution of participants

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Age as a dimension of identity determines the power relations between adult and child and how these categories influence each other's existence.

**Table 1: Age and sex distribution.**

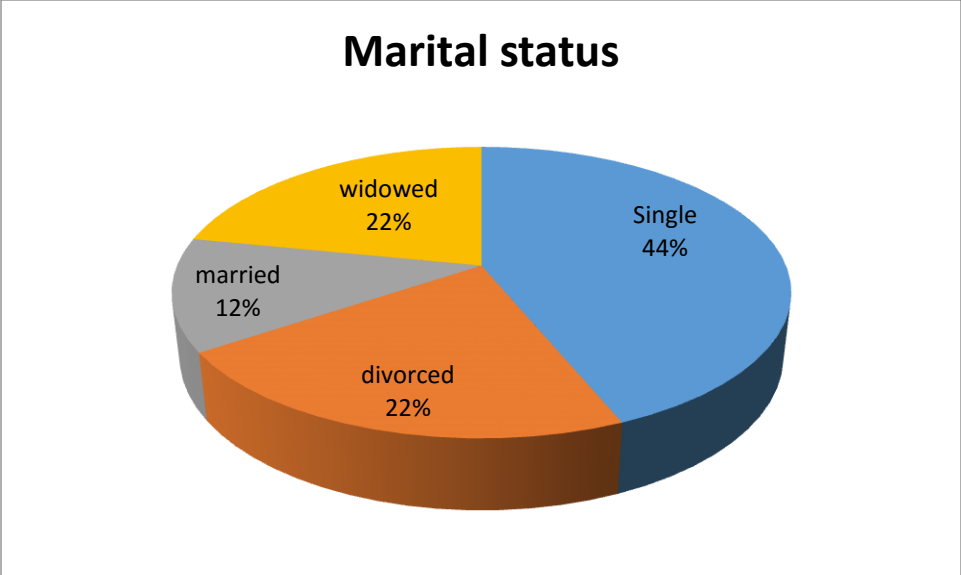
Age(years)	(n)	Sex	
		F	M
10-19	0	0	0
20-29	16	8	6

<b>30-39</b>	<b>19</b>	<b>10</b>	<b>9</b>
<b>40-49</b>	<b>10</b>	<b>6</b>	<b>4</b>
<b>50-59</b>	<b>4</b>	<b>2</b>	<b>2</b>
<b>60+</b>	<b>3</b>	<b>2</b>	<b>1</b>
<b>Total</b>	<b>50</b>	<b>28</b>	<b>22</b>

Notably, there were no participants in the age group 10-19; 16 (32%) participants in the age group 20-29; 19 (38%) in the age group 30-39; 10 (20%) in the age group 40-49; 4 (8%) in the age group 50-59 and 3 (6%) participants in the age group 60 and above. Total respondents were 50. Majority of the participants were female 28 (56%) and males 22 (44%). This shows that there are more workers in the age group 20 to 29 and this is an indicate that the municipality have got active workforce and they should provide services of high quality to the communities.

**4.2.2 Marital status**

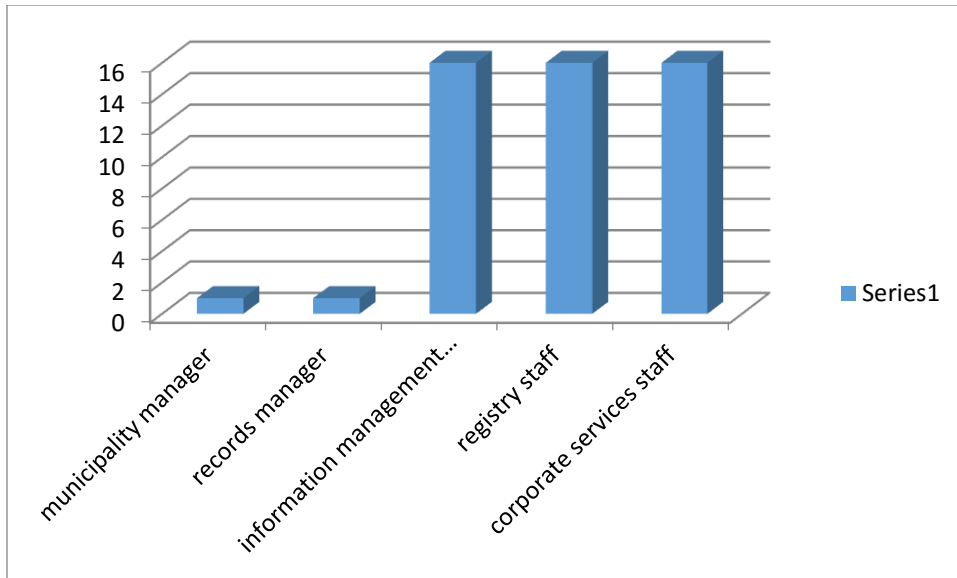
**Figure 1: Marital Status**



The pie chart above illustrates the marital status of all the respondents and participants who took part in the study. Figure 1 above indicates that 14 (28%) of the participants are single, 25 (50%) are married, 4 (8%) are divorced and 7 (14%) of them are widowed. The women above 60 years of age constitute the widowed category. From the statistics of the marital status above, it was indicated that most of the workers in the municipality are single who are still active workforce in the age group of 30 to 40 years. However, having diversified range of workers who single, married, widowed and divorced can help the municipalities to improve their services since they can share their family experiences and this can be a positive motivator to the workers.

**4.2.3 Job positions**

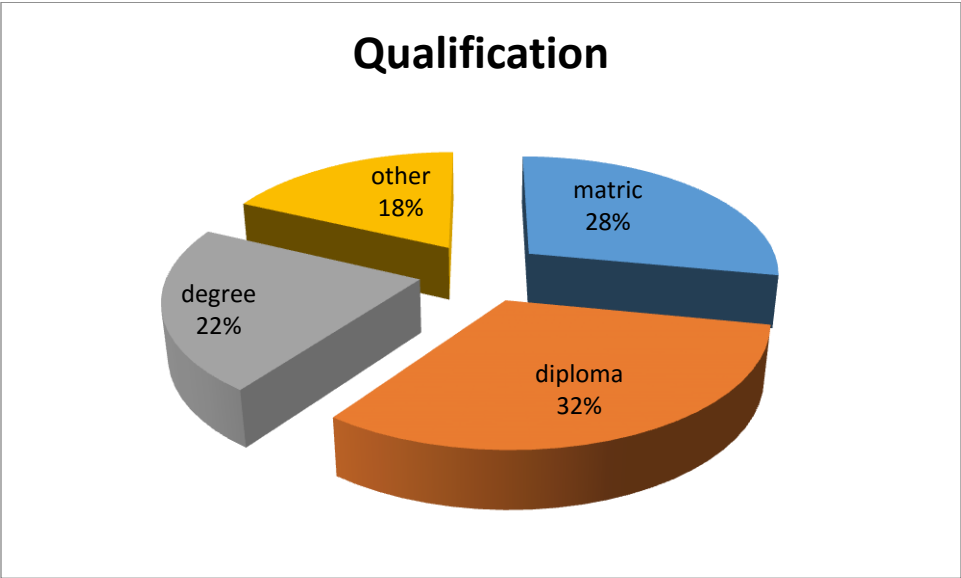
**Figure 2: Job positions**



The bar chart above illustrates the job positions of all the workers that took part in the study. Figure 2 above indicates that 1 (2%) of the participants is the municipality manager, 1 (2%) is the records manager, 16 (32%) are information management staff, 16 (32%) of the workers are registry staff and finally 16 (32%) of the workers are corporate services staff. The statistics of the job positions above showed that the municipality has got diversity in terms of workers from different departments. This promotes effective and efficient service delivery since there is inclusive approach in the provision of the services by the workers from different departments with different skills. It was noticed that all workers from the different departments mentioned above are being involved in the decision making process of the municipality. This improved the service delivery as the workers feel to be motivated as well as being taken as an important stakeholder of the organization.

### 4.2.3 Qualifications

#### Figure 3: Qualifications



The pie chart above illustrates the qualifications of all the municipality workers who took part in the study. Figure 3 above indicates that 14 (28%) of the workers have got matric; 16 (32%) of the participants have got diplomas; 11 (22%) of the workers have degrees and 9 (18%) of the workers hold other qualifications such as national certificates, masters and doctoral degrees. The statistics showed that there are a reasonable number of workers who have professional qualifications such as degrees, diplomas and national certificates. However, there are a small number of workers who have matric and other qualification. There is need for continuous on job training programmes to equip the workers with the necessary skills that are needed for service delivery. In addition, the municipality should also give workers study leave and assist the workers financially in their studies. This will help to improve the standards of the municipality in comparison with other municipalities in the country.

### 4.2.3 Race

All the municipality workers who took part in the study are blacks. This show late of diversity at the workplace therefor there will be poor service delivery because of lack of diversified decision making from people from different races.

### 4.3 What are the types of records received, created and maintained?

**One participant pointed out;**

*“There are three, main types of records that are being processed at the municipality. The three types of records includes business records, financial records and academic records”*



The business record contains information related to all business tenders that are offered by the municipality to other people. Financial records contain all the information related to the financial status of the municipality and this is regarded as information that requires high level of privacy. An academic record contains information related to the academic achievements of the workers as well as information related to the schools around the municipality.

**One of the participants has this to say;**

*“Records that show the performance of service delivery as well as the management practices that are adopted by the municipality”*

There is need for proper assessment of the effective and efficient of the service delivery as well the management process that are adopted by the municipality. This will help the


municipality to improve its services because they know that they will be evaluated at the end of the year and the information is being kept in the records.

#### **4.4 What are the stages in the records management process?**

**Participant has this to say;**

*“There are current (active records), semi-current (semi-active records) and non-current records (inactive records or archives)”*

In the creation stage, the current or active information sources are created and maintained for purposes of administrative, executive, financial and legislative activities. This is the stage where the onus of responsibility for creation, managing and controlling the information sources is in the realm of the creators. The semi-active information sources are those records less frequently consulted and often moved to basement areas, records centers needing to be considered for storage in facilities offered by off-site storage companies.



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The responsibility for the records at the semi-current stage shifts to the records manager of the creating entity, who maintains and safeguards the records integrity by observing the principles of provenance and maintaining the selected order and arrangement of the creating entity. At this stage, the records manager would be assigned the responsibility of appraising the information sources and determining which items migrate to the following stage of relocating to archival. At the final stage, the onus for the preservation and safekeeping of the integrity and authenticity of the non-current or inactive records (archives) is assigned to the archivist. Thus, in the life-cycle concept,

archivists primarily occupy the role of custodians, keepers or guardians of the record and occupy a role of “neutrality and objectivity”.

**Another participant mentioned this;**

*“It is still difficult for us to differentiate between the different stages of the record’s management process since it is a still new process in the municipality”.*

The main stages of documents found in the municipality includes active state, semi-active, and vital and are kept and maintained in the registry, while in-active records are kept in the records store.

**One participant says;**



*“Still have limited resources to maintain and keep the records during their life span”*

**Another participant said this;**

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*“There are irregularities on the life span of the records management process. I am not sure how long does each stage take. I need clarity on the life span of each and every stage of the process .However each and every stage should be given enough attention”*

In general, it was noted that life-cycle model has for too long concentrated on managing the last phase of the life cycle disposition. The life-cycle model furthermore tends to focus on the archivists’ roles as guardians which become problematic when effectively dealing with the challenges of the long-term preservation of digital records. The archivists’ knowledge of understanding archives or records based on traditional archival



principles are particularly problematic with fast-changing technology that does not observe these principles. The positivist life cycle model approaches the responsibilities of ensuring and safeguarding the information sources integrity to the creating entity. The model further assigns the tasks of appraisal and the determination of the fate of these primary sources to the creating entity. The creating entity is thus provided with the power to choose what should be transferred to archival custody and to select information sources for destruction. This model does not consider executive and administrative management echelons with few incentives to retain any information sources for historical research. Any incentives for retention would need to be sanctioned by legal instruments and “right-to-know” purposes. Placing the onus of the creation, safekeeping and disposition of the information sources solely in the hands of creating entities, then relegates the archivists to the role as keepers and custodians of information sources



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#### **4.5 Records Management Practices compliance with the legal and Regulatory requirements**

**One participant said this;**

*“Records management practices in the municipalities are being guided by the legislative framework of South Africa”.*

Post-apartheid legislative items affecting public records, and local government, particularly, and coinciding with good governance principles as advocated by the World Bank and International Monetary Fund, have been selected for discussion. The good governance elements are: effective management of public sector administrative

procedures, treasury controls, mechanisms to monitor financial and accountable use of resources; and civil rights to all people living within the borders of the country to fair, equal treatment and public participation in governance processes. The legislative items determining the framework are: The Constitution of the Republic of South Africa, no. 108 of 1996; National Archives & Records Service Act of South Africa, no. 43 of 1996; Promotion of Access to Information Act, no. 2 of 2000; Municipal Finance Management Act, no. 56 of 2003; and Electronic Communications Transaction Act, no. 25 of 2002.

**The participant mentioned that;**

*“The South African constitution addresses issues related to access of records by the citizens and the municipality is addressing this issue in line with the requirements of the constitution”*



The constitution addresses the rights of South Africans to access information held by the State or by another person when that information is required for the exercise or protection of any right. This Act has many similarities to freedom of information acts in other democracies and has been referred to as the gold standard in access legislation.

**One participant mentioned that;**

*“The National Archives and Records Service Act set the objectives that guide records management in our municipality. However, the only problem is that workers are not aware of the requirements of the act and they need to be trained so that they work according to the requirements of the act”*

The objectives and functions of the National Archives & Records Service, as described in the Act, are to: preserve public and non-public records with enduring value for use by the public and state; make such records accessible and promote their use by the public; ensure the proper management and care of all public records and collect non-public records with enduring value of national significance which cannot be more appropriately preserved by another institution, with due regard to document aspects of the nation's experience neglected by archives repositories in the past. The archival legislation does require the National Archives to focus on measures to attain and maintain a national archival heritage. However, it is also mandated to provide effective management and care of public records of governmental bodies. This public body is thus aligned with the responsibilities of overseeing and enforcing effective records management programmes, enabling public bodies to manage their information to meet their mission and objectives.



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**The municipality manager showed that;**

*“The municipality is doing its best in taking great care of the records as there are continuous on job training to train the workers on records management practices. Workers are also trained on disposal methods and financial management practices of records”*

The Municipal Finance Management Act (MFMA) contains sections which have bearing on the management, care and disposal of financially related records in the public sector. The purpose is to establish a basis for improved financial management, essential to improve service delivery and sustain municipal services. The attainment of financial

sustainability in municipalities could be achieved through the establishment of clear and uniform standards of good governance and financial management.

**One participant said this;**

*“Community members are able to access information related to service delivery in the municipality. However, privacy and confidential is always maintained when it comes to important information that requires privacy”.*

For security, administrative and financial reasons, public bodies may request to be exempted from provisions of other acts that advocates for openness and transparency when it comes to public information. However, this can only be done with permission from the Minister of Communications. Records should only be destroyed to comply with records management logistical requirements. Disposal of records is not meant to be used to conceal damaging mitigating evidence.



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**One of participants said this;**

*“As the municipality management, we make sure that that important information related to management of the municipality can only be disclosed following directive by the minister of communication. This is because some of the information is so sensitive that it ends up affect the operational stability of the municipality in the process of service delivery.”*

South Africa’s democratic enlightenment and good governance ideologies are shrouded by the Government’s intention to implement the Protection of Information Bill. This Bill

proposes to curtail access to information rights and damage public participation and good governance.

#### **4.6 The challenges faced by Engcobo Local Municipality**

**One participant pointed out that;**

*“They do not have enough space for their records”.*

Restoration and improvement of records management is regarded as a high priority of local governments in post-apartheid South Africa. If records management practices in the municipalities improve, communities will have better access to employment opportunities; this would lead to better household incomes. Local municipalities have to improve its infrastructure. This is because there is no enough building for keeping the records in the municipality.



**Participant showed that;**  *University of Fort Hare*  
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*“Due to continuous increase in technology, there is need for the municipality to upgrade its infrastructure to suit the standards of 21<sup>st</sup> century”.*

Faced with the ever-changing Information age, the role of the records manager has intensified. This official is now responsible for overseeing the development and management of the organization’s records management programme; ensuring that the record keeping practices are effectively constructed and managed to effectively address the organization’s objectives; and complying with the legal requirements from the legislative instruments having bearing on the organization’s records

**Participant identified that;**

*“Shortages of skills within the municipality staff pose a big challenge to the development in the municipality.*

Lack of skilled workforce with the necessary experience poses a great threat to the service delivery in the municipality. Under advertisement from the public archivist, the records managers’ tasks also necessitate their involvement with the selection, management and control of electronic records. If the organization wishes to remain relevant in the global economy, it is extremely important for records managers to keep abreast of developments and agreed international standards concerning the management and care of electronic records. It is the contention of this study that international organizations should stipulate mandatory observance and compliance with internationally agreed standards of compliance and good governance concerning electronic records.



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**One of the participants indicated that;**

*“Workers with the necessary skills should be employed so that they can work and meet the bench mark of records management practices”.*

These benchmarks should be endorsed as determining criteria for public entities receiving, or hoping for, financial or related assistance from donor agencies, including those with affiliations to the United States of America, the European Union and related entities.

**Another participant mentioned that;**

*“They still using wooden shelves”*

Infrastructural development in the form of furniture plays an important role in service delivery. Workers who use outdated furniture can be demotivated and end up providing services of poor quality

**Participant said;**

*“They do not have a messenger”*

Shortage of messengers that help in transporting of records from one place to another place delays the records management process, This is because management staff will end up transporting the records leaving out important aspects that needs their attention.

**One of the participants said;**



*“The system is bureaucratic in nature, long channels of communication”*

A bureaucratic organization takes a long time to accomplish a task and this delay the service delivery in the municipality. Long channels of communication can lead to low morale within the workers; therefore, it can reduce the productivity of the municipality.

However, if the organizations is bureaucratic in nature and have long channels of communication, what the municipality fails to do is conveyed to the public largely by records and information of various types in the public service, without which there will be no government. When records are poorly managed in a bureaucratic set up, much time is involved in sorting and locating needed information from large volumes of records. The rate of records misplaced or lost from which useful information for decision making is usually obtained makes it difficult to provide concise and up-to-date records of

both past and present operations, raising the challenge of effective record-keeping. Thus this study examined records management practices in Engcobo local municipality.

**Another participant indicated;**

*“There is need for reconstruction of more storage facilities since there is limited storage facility”*

Storage facilities for record-keeping were insufficient. Security measures against unauthorized access to records were by restrictions and subject users to managerial clearance. The study concluded that council records were in chaos and recommended the formulation of coherent measures that guides records management process.

**4.7 What are the responsibility of records management department**

All the respondents (30) in the questionnaires showed that the registrar staffs are the one that is responsible for records management in the municipality. This is because they are the one that are trained in record keeping. One of the respondent indicated that Engcobo Municipality is a grade 3 municipality; therefore, registry staff are responsible for records keeping. A small number of the respondents indicated that they were not sure about the reason but they highlighted that it is the registry staff. Registry management staffs are responsible for records keeping in maintaining the proper safety and security of the records. Lack of records management staff was raised as another reason why registry staff are taking responsibility of all the records.

**4.8 Number of staff who work in in records management**

**One participant indicated that;**



*“We only have 4 workers in the records management department”.*

**Another participant has this to say;**

*“It is only me and the other two workers as well as the manager, so we still have a short fall of human resources”*

Most of the participants showed that 4 to 6 workers on average are working in the municipality office. This shows that there is shortage of workers at the workplace. Municipalities have to recruit more records management workers to promote service delivery.

**4.9 Do you have a dedicated records manager (sub records manger) who takes specific responsibility for the keeping and management of paper based employee records?**



**Participant said this;**

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*“The records manager is not dedicated as there is no clear line of delegation in the municipality. Sometimes records are not properly stored because of lack of proper management systems”*

**One of participant pointed that;**

*“I am still confused about who exactly is the records manager because I am not well informed about the top leadership”*

All the participants pointed that there is no dedicated records manager at the municipality. This was shown by lack of proper time frames for submission of records as well as lack of knowledge by other municipality workers on how to maintain records and dispose records in the municipality. In addition to the above, lack of proper on job training programs shows lack of dedicated records managers in the municipality.

#### **4.10 When recruiting staff for records management, do they have skilled human resources experts.**

**One of the participant from records management showed that;**

*“I was never interviewed by human resources experts. I only submitted my CVs and was called to come for work”.*



The participants indicated that there are human resources workers at the municipality but some of them lack proper selection and recruiting skills as they do not follow the right procedures. This can lead to hiring of workers without the necessary skills and working experience because there is no formal interview when hiring the workers.

#### **4.11 Which procedures are being followed after recruiting staff for records management**

**Participant has this to say;**

*“I did go through orientation and induction training on my first days at the municipality. Also they offer voluntary on the job training programs”*

Participants showed that there are on job training programs that usually take place once or twice in a year but they are voluntary in nature and some of the workers does not want to take part in these training programs. The problems with voluntary on job training programs is that some workers are lazy and do not want to participate in the programs.

#### **4.12 Are the staff members outside the records management programme aware of their records management's roles/ responsibilities?**

**Participant said this;**

*“Workers in the other departments are not aware about the procedures on how to records documents”*

One of the participants indicated that,



*“Workers in some departments sometimes come to assist us in the records management department, but you can notice that they do not know anything concerning records management”*

Almost 90 % of the participants indicated that staff outside records management is not aware of records management responsibilities and roles.

#### **4.13 Do you use or refer to file plan when creating correspondence**

**One participant said this;**

*“I sometimes refer to the file plan, but in most cases I do not do that since they is no follow up”*

**Another participant**

*“I always refer to the file plan when creating correspondence because I know that if I do not do that, no one will do it in the top management”*

Most of the participants indicated that they refer to the file plan when creating correspondence because sometimes other officials are ignorant of the file plans so it's important to keep on checking whether all important information has been included.

#### **4.14 Suggestion on how to improve the current records management practices at your municipality**

**Participant has this to say;**

*“The municipality should employ more skilled and experienced records management experts since we have shortage of workers”*



**Another participant showed that,**

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*“There should be continuous on the job training programs so that we can be equipped with skills on records management”*

**One of the participants said,**

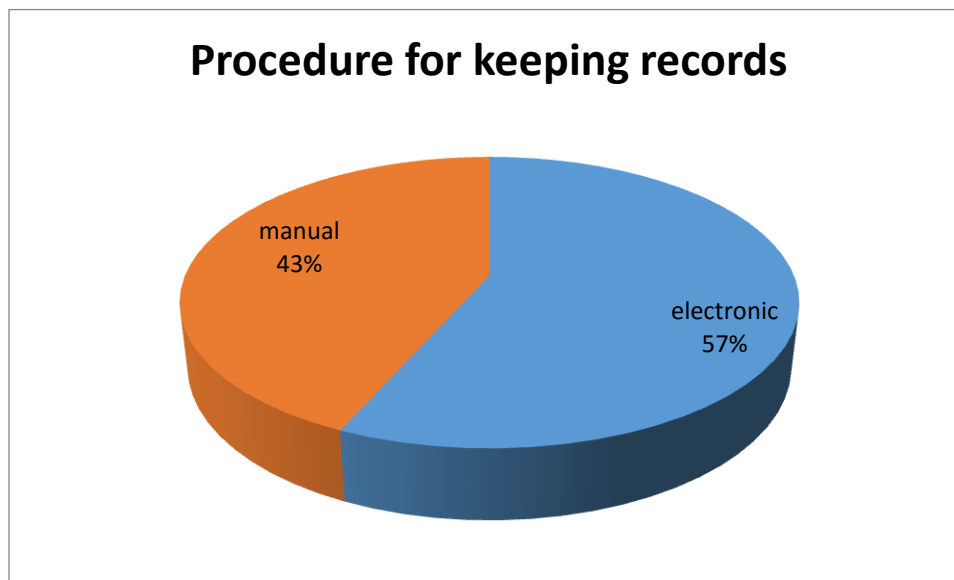
*“Top management should give us direction on all the activities that are taking place in the municipalities regarding records management”*

In addition to the above mentioned sentiments by the municipality workers, the municipality should pay more attention on records management practices. This means that they should give more financial assistance to the registry office in order to carry out

its duties. Also there is need to appoint staff on all vacant post to allow for smooth flow of activities.

#### 4.15 Procedure for keeping and managing paper based and electronic records

**Figure 4: Procedure for keeping records**



The respondents indicated that they have a procedure of managing all the information of the workers in a manual or electronic manner. As illustrated by figure 4 above 17 (57%) showed that they keep the information in an electronic manner and 13 (43%) showed that they keep the information in a manual manner. They manage it electronically by keeping the information in the data bases which have electronic back up system in the case that the information is lost. They also keep it in a manual manner by keeping the information in different files.

#### 4.16 Where records should be kept for easy access

Figure 5: Records keeping place

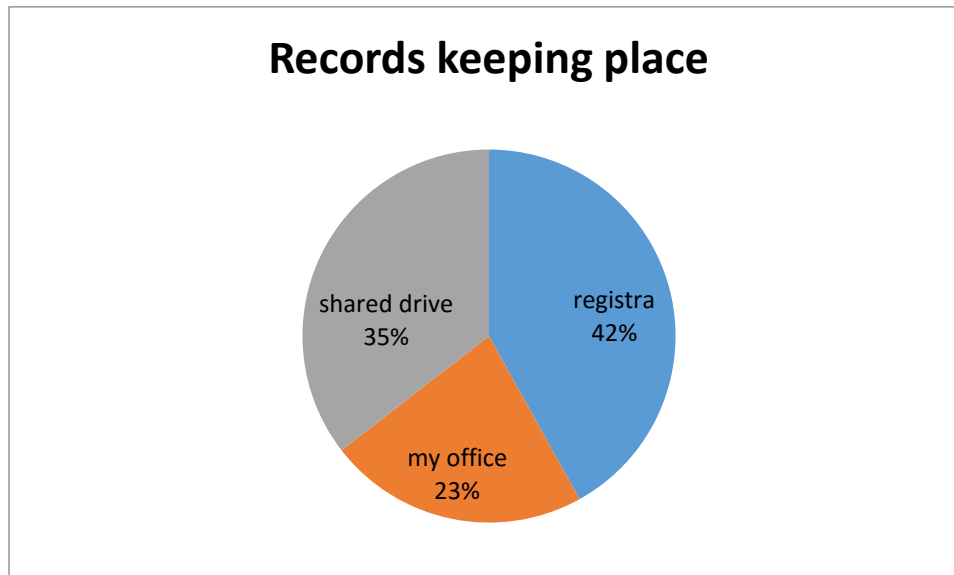


Figure 5 above illustrates responses from the 30 returned questionnaires out of the 35 questionnaires that were distributed to the workers. Out of the 30 returned questionnaires, 11 (35%) indicated that they should be kept in the shared drive so that they can have easy access to the records, 13 (42%) indicated that they should be kept in the registry office for confidentiality purposes as well as for the safety of the records and finally 11 (23%) said that they should be kept in their offices so that they can have the records nearest to them.

#### 4.17 Does records management receives the best attention in the local municipality

Figure 6: Records management attention

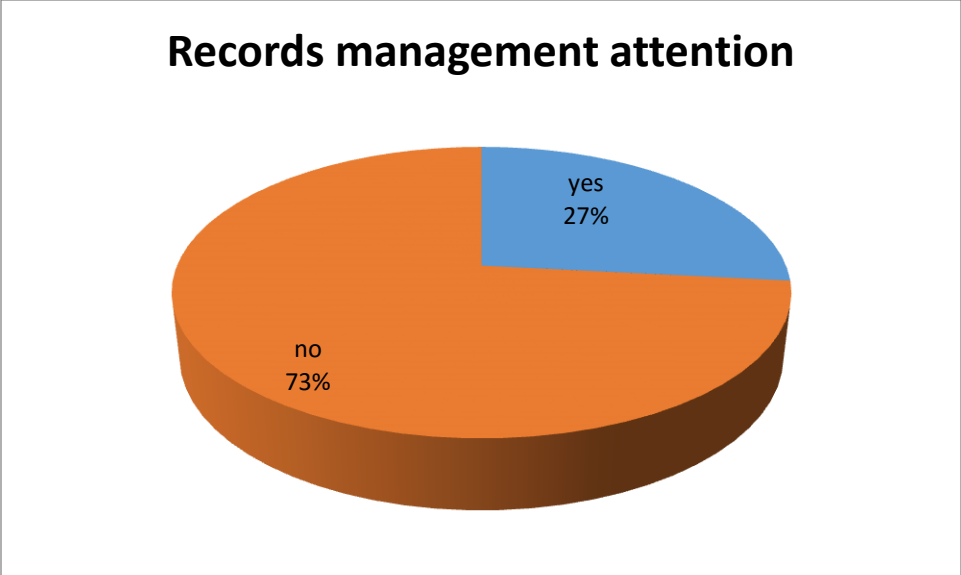


Figure 6 above showed that 8 (27 %) of the respondents indicated that records management receives attention by management and 22 (73 %) of the respondents pointed out that it does not get enough attention from the management. Most of the respondents indicated that records management is not being given the best attention because records management is a newly introduced aspect in the municipality. So there is still resistance from some of the workers. In addition to the above, there is lack of knowledge about records management by the workers in the municipality. On the other hand, few respondents showed that the municipality is trying the best to give it attention, only the fact is that it is still a new phenomenon in many municipalities, therefore, they need to keep training workers on records management.

**4.18 Records management infrastructure in the municipality**

**Figure 7: Records management infrastructure**

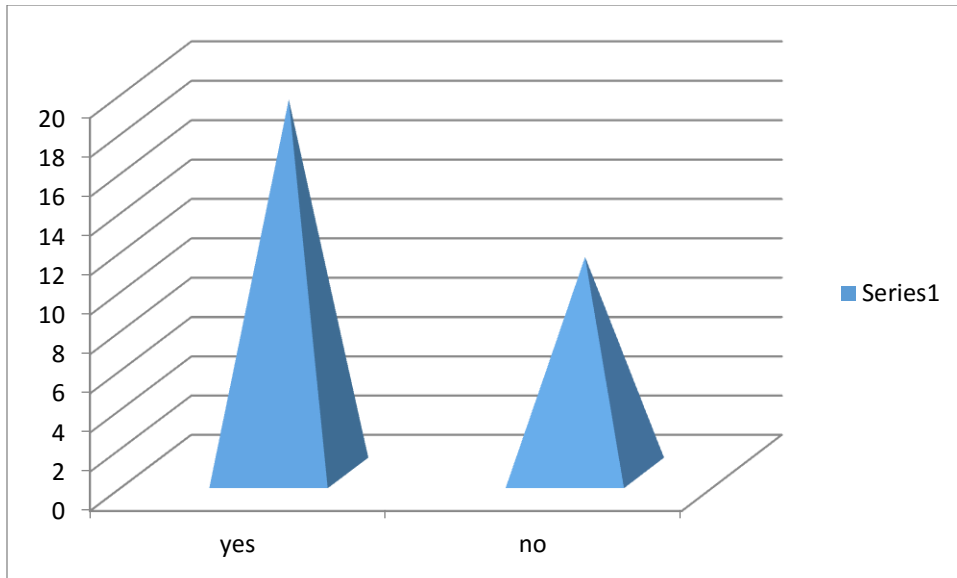


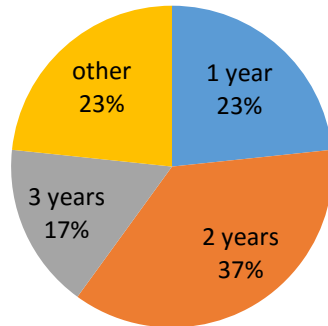
Figure 7 above shows the availability of infrastructure in the municipality. The data that was gathered showed that 19 (63%) of the responded indicated that there is records management infrastructure at the municipality. Only 11 (37%) showed that they is no enough and proper infrastructure at the municipalities. They rose that some of the records are being kept in unsafe places because of the shortage of infrastructure. They also pointed out the fact that some of the infrastructure is old and dilapidated and there in need for reconstruction of new infrastructure that is equivalent to 21<sup>st</sup> century standards.

#### 4.19 Time frame working in the municipality

##### Figure 8: Time frame in the municipality



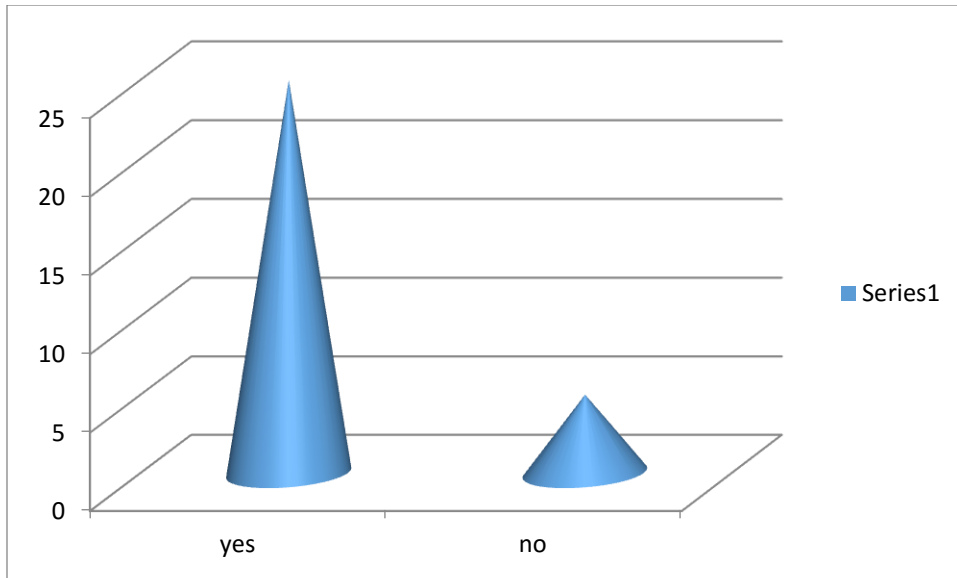
## Time frame working in the municipality



The pie chart above indicates the time frame respondents have been working in the municipality. The pie chart shows that 23% of the workers have been in the municipality for 1 year, 37% of the worker have been in the municipality for 2 years, 17% of the workers indicated that they have been working there for 3 years and finally 23% showed that they have been working in the municipality for more than 3 years. This statistics above shows that most of the workers who took part in the study have been working at the municipality for a long time. They only lack skills on how to create, maintain and retrieve records; therefore, they need to have on job training programs that equip them with necessary skills on record management practices.

**4.20 Is there list of documents which can be disclosed and those that cannot be disclosed?**

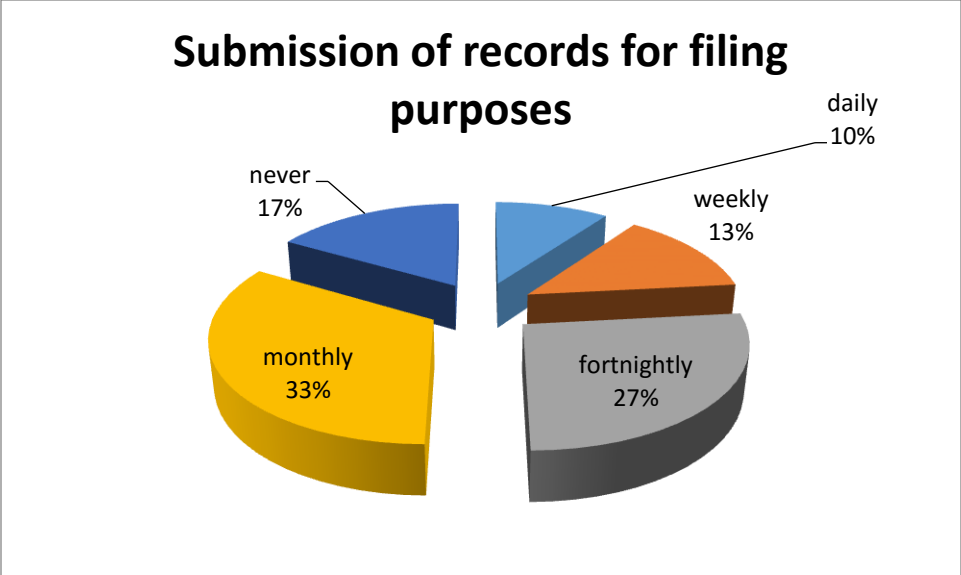
**Figure 9: Documents that requires privacy**



The bar graph above shows that the respondents showed that there is a list of documents that can be disclosed and those that cannot be disclosed. This was shown by 25 (83%) participants that indicated that there are records that can be disclosed and others that cannot be disclosed. A small number of the participants, only 5 (17%) pointed out that there is no list of documents that can be disclosed and not disclosed. This may be lack of knowledge about the different types of records and their importance in terms of privacy. The participants showed that a record that cannot be disclosed includes important financial statements and government documents in the municipality. On the other hand, records that can be disclosed include documents of service delivery progress reports of the municipality. However, financial statements and other governments' documents are not disclosed unless the municipality got permission from the minister.

#### **4.21 How often do you forward correspondence generated by yourself to the records office**

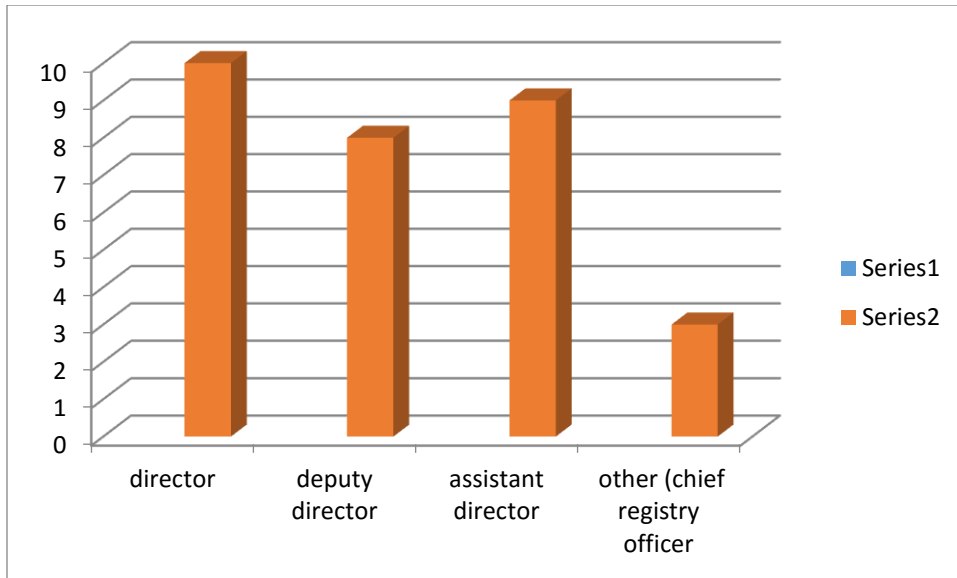
**Figure 10: Submission of records for filing purposes**



The pie chart above shows the percentages of time frames on which municipality workers submit records for filing purposes. The diagram shows that 10% of the workers submit records daily, 13% of the workers submit records on weekly basis, 27% of the workers submit after every two weeks, 33% submit after every month and finally 17% of the workers never submitted records for filing purposes. The different time frames given by the workers in the municipality showed that there is no specific time frame for submission of records for filing and even some of the workers said they never submitted the records. This indicates poor management system in the municipality that fails to give the right time table for records management processes. This can lead to poor service delivery.

**4.22 What is the level or position of the overall records manager at your municipality?**

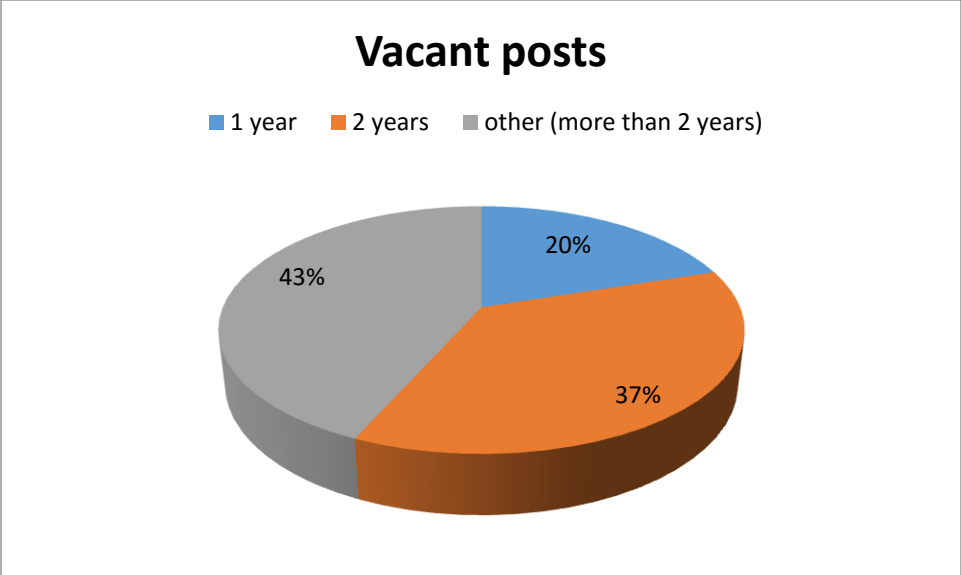
**Figure 11: Position of records manager**



The bar graph above shows that 9 workers indicated that the position of the records manager is the director, 8 of the workers showed that the records manager is assistant director, 7 of the workers showed that the position of records manager is deputy director and 2 of the workers showed that the position of the records manager is chief registry officer. The responses of the workers showed that they are not aware of the position of the top management. This can result from unclear line of management that depicts the positions of the top managers in the municipality.

#### 4.23 Open vacancies in the municipality especially for records management

**Figure 12: Vacant posts**



More than 80% of the workers that took part in the study showed that there are open vacancy in the records management department as well as other different departments such as registry and information. The respondents showed that it's been long time since the vacancies were open. They specified that some of the posts are more than 2 to 4 years without replacement. Some of the former employees are deceased, retired and others were transferred as they were not replaced.

**4.24 Summary**

Chapter four of the study gave a detailed analysis, presentation of data that was provided by the respondents and participants from the fieldwork and discussion of the findings. The section provided the data and interpretation of issues the respondents and the participants raised. The respondents and the participants provided exploratory and descriptive insights into possible conclusions and recommendations. To this end, the chapter that follows discusses the conclusions arrived at by the study as well as recommendations for future inquiry in the field. Chapter five of the study will summarize the findings, provide conclusions and recommendations of the study.

## CHAPTER 5: DISCUSSION/ INTERPRETATION OF THE FINDINGS

### 5.1 Introduction

This chapter will discuss the findings of the study. It discusses the findings based on the following themes: Type of records received, created and maintained; The process of records management; Records Management Practices compliance with the legal and Regulatory requirements; The challenges faced by Engcobo Local Municipality; Records management responsibility; Procedure for keeping and managing all employees' paper based and electronic; where should records kept for easy access; does records management receives the best attention in the local municipality and Records management infrastructure in the municipality.



### 5.2 Type of records received, created and maintained

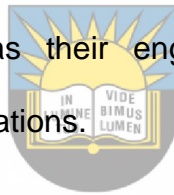
Participants in the study indicated that there are three, main types of records that are being processed at the municipality. The three types of records include business records, financial records and academic records.

However, Kemoni *et al.* (2007) supported the above view by arguing that the main types of records are financial and business records. He further differentiated between the two types of records by outlining that business records contains information related to all business tenders that are offered by the municipality to other people whilst financial records contains all the information related to the financial status of the municipality and this is regarded as information that requires high level of privacy

### 5.3 The process of records management

Informants in the study pointed out that there are current (active records), semi-current (semi-active records) and non-current records (inactive records or archives).

Shepherd & Yeo (2003) argued that the first stage in the records management process is the management of current records by participation in system design which simply means the involvements of records professionals such as records managers and archivists, management and system designers in the designing of records management systems. Studies conducted by Myburgh (2005) and Shepherd and Yeo (2003) revealed that records professionals and system designers need to participate in the designing of the records keeping systems as their engagements are likely to improve the management of records in organizations.



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In support to the above sentiments by the participants, Yusof and Chell (1999) pointed out that records creation and capturing involves developing consistent rules to ensure integrity and accessibility, deciding on systems to log and track records, and procedures for registering, classifying and indexing. The thrust of records creation is to ensure that only records needed by the system and the organization are created. Yusof and Chell (2000) are of the view that if the meaning assigned to creation is to be relied upon, then it means organizations are functioning in a paper environment.

Tucker (2012) postulated that semi-active phase is the stage where records that have been used and are no longer needed regularly by the organization are used for

reference and to fulfil legal and financial obligations. At this stage, organizations must formulate policies that guide the procedures and manners in which records are to be stored. The essence of this is to ensure proper storage relating to privacy and security issues since any disclosure of sensitive and confidential information could amount to legal suits in the municipalities (Tucker, 2012).

#### **5.4 Records Management Practices compliance with the legal and Regulatory requirements**

Most participants in the study highlighted that records management practices in the municipalities are being guided by the legislative framework of South Africa. They further showed that the South African constitution addresses issues related to access of records by the citizens and the municipality is addressing this issue in line with the requirements of the constitution.



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However, May (2011) argued that the South Africa legal framework exist for both public and private bodies to have effective control and management of their records and to be able to make information available when required. Statutory bodies were also established to ensure proper management and care of records and accessibility of the public to the records to protect their rights.

Republic of South Africa (2014) noted that South African legislation gives guidelines on what is expected of municipalities and how public records should be managed, for effective administration and management in the municipalities. In terms of chapter 7 of



the Constitution of the Republic of South Africa of 1996, Section 152(1), one of the objects of local government is to ensure the provision of services to communities in a sustainable manner

Laws and regulations play significant roles in records management. From experiences of other countries, relevant legislations such as records and archives laws, freedom of information and data protection laws are used to safeguard malpractices in the field of records management (Nengomasha, 2009)

The International Standards Organization 15489-1 (2001) provides a framework for public and private organizations in the management of its records, irrespective of the medium in which the records are created, captured and maintained. University of Texas State (2009) posited that records management programme ensures sound record-keeping practices that support business activities, assist in the capture and maintenance of corporate memory and ensures compliance with relevant legislation

### **5.5 The challenges faced by Engcobo Local Municipality**

Diversified views were mentioned by participants in the study. Some of the participants identified that they do not have enough space for their records, due to continuous increase in technology, there is need for the municipality to upgrade its infrastructure to suit the standards of 21<sup>st</sup> century, shortages of skills within the municipality staff pose a big challenge to the development in the municipality and the system is bureaucratic in nature, long channels of communication.

Mensah (2011) mentioned the challenges faced in the process of records management as follows: not seen as a key business process by Municipalities or no defined records management process or lack of discipline in adhering to records management processes, leadership both Administrative and Political not setting the tone from the top, political oversight sees it as an Administrative function, junior or unskilled staff tasked with records management in municipalities, lack of physical and logistical resources to enable proper records management, provincial Archive legislation not understood or applied in the management process and poor training, mentoring and professionalization within operations of municipalities.

#### 5.6 Records management responsibility

The respondents showed that the registrar staffs are the one that is responsible for records management in the municipality.



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Barata et al (2001) supported the above view by saying that the registrar office in the highest office in different local municipalities and it takes the responsibility of keeping the important records in many organizations. Barata et al (2001) further added that the registrar office usually have the most trained record keepers in the municipalities therefore records are being kept there.

#### 5.7 Number of staff who work in in records management

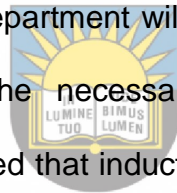
The respondents in the study highlighted that there is an average of 4 to 5 workers in the department. According to Mensah (2011), shortage of workers in the record

management department affects the records management process. This has got a negative effect on the overall functioning of municipality.

### **5.8 When recruiting staff for records management, do they have skilled human resources expects.**

The participants in the study showed that there is no proper human resources staff that is there to assist in the recruitment process. However, 30% of the worker showed that they go through induction and on the job training programs after they are recruited.

In line with the above sentiments, Nengomasha (2009) pointed out that human resources department is a major pillar for each and every organisation. Failure to have human resources management department will affects the organisation since they end up recruiting workers without the necessary skill required by the organisation. Nengomasha (2009) further showed that induction and on the job training will equip the workers with the necessary skills required in the municipality.



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### **5.9 Procedure for keeping and managing all employees' paper based and electronic**

The respondents indicated that they have a procedure of managing all the information of the workers in a manual or electronic manner

Upward (2000) argued that municipalities use different systems of keeping the records such as the manual and electronic system for security reasons. However, they manage it electronically by keeping the information in the data bases which have electronic back up system in the case that the information is lost. They also keep it in a manual manner

by keeping the information in different files. This means that if the information is lost by any other means, they are able to recover the information from another source.

### **5.10 Where records should be kept**

Most of the respondents indicated that they should be kept in the shared drive so that they can have easy access to the records. However, a small number of them pointed out that they should be kept in the registry office or in their own offices.

Bantin, 2002) argued that records should be kept in a place where all the interested stakeholders have access to them. This means that the community and all business people should have access to the records. However, Kemoni et al. (2007) argued that issues related to confidential and security should be taken into consideration because some of the records are important to the extent that they cannot be disclosed to any person without the approval of the minister.



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### **5.11 Does records management receive the best attention in the local municipality**

Workers from the municipality pointed out that record does not get enough attention from the management. Most of the respondents indicated that records management is not being given the best attention because records management is a newly introduced aspect in the municipality.

Flynn (2001) postulated that in many municipalities around the world, records management process does not get more attention because of lack of skills by the workers hence there is need for continuous on job training programs to upgrade the standards of the workers. In addition to the above, Dikopoulou and Mihiotis (2012) said

that there is still resistance to change by some of the workers who resist to take the new approach of keeping records

### **5.12 Records management infrastructure in the municipality**

Most of the respondents indicated that there is records management infrastructure at the municipality. Only a few number of the respondents showed that there is no enough and proper infrastructure at the municipalities.

Dearstyne (2002) was of the idea that different governments should spent more on upgrading the infrastructure of their local, provincial and national municipalities. This will have positive impact on the services provided to the people. Lack of infrastructure in the municipalities can result in records being kept in other places that are not safe for records keeping.



### **5.13 For how long you have been working in the municipality**

The participants in the study showed that 23% of the workers have been in the municipality for 1 year, 37% of the worker have been in the municipality for 2 years, 17% of the workers indicated that they have been working there for 3 years and finally 23% showed that they have been working in the municipality for more than 3 years.

According to Dearstyne (2002), experience is an important aspect in any organisation. Workers who are loyal and working in the same municipality for a long time bring more positive outcome to the success of the municipality as well as the best service delivery to the community. However, the municipality should keep on returning the experienced workers to promote best service delivery.

#### **5.14 Do you have a list of documents which can be disclosed and those that cannot be disclosed?**

The results of the study showed that there is a list of documents that can be disclosed and those that cannot be disclosed. They highlighted that those that cannot be disclosed are the one like financial statements of the municipality and those that can be disclosed are records about the service delivery of the municipality. Flynn (2001) outlined that records that cannot be disclosed includes important financial statements and government documents in the municipality. On the other hand, records that can be disclosed include documents of service delivery progress reports of the municipality. However, financial statements and other governments' documents are not disclosed unless the municipality got permission from the minister.



#### **5.15 How often do you forward correspondence generated by yourself to the records office for filing purposes**

Respondents in the study showed that they submit records daily, weekly, fortnightly, monthly and however some indicates that they never submitted records for filing purposes. In line with the above statements, Dikopoulou and Mihiotis (2012) pointed out that there is no specific time frame for submission of records but it differs by organizations. The records manager should specify the time frame for the submission, however, if they did not specify the time frame it will affects the functioning of the municipality.

#### **5.16 Summary**

This chapter discussed the following themes in depth. Type of records received, created and maintained; The process of records management; Records Management Practices

compliance with the legal and Regulatory requirements; The challenges faced by Engcobo Local Municipality; Records management responsibility; Procedure for keeping and managing all employees' paper based and electronic; where should records kept for easy access; does records management receives the best attention in the local municipality and Records management infrastructure in the municipality. Scholarly literature was used in the discussion of the above mentioned themes.



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## **CHAPTER SIX: SUMMARY OF FINDINGS, CONCLUSION AND RECOMMENDATION**

### **6.1 Introduction**

The previous chapter dealt with analysis and interpretation of data obtained using in-depth interviews and questionnaires. This chapter presents a brief summary of the research findings from where conclusions and recommendations are derived. The findings obtained from both literature review and empirical investigation on records management practices at Engcobo Local Municipality in the Eastern. In particular, the following details are discussed: the type of records received, created and maintained by Engcobo Local Municipality; how records are processed for use in Engcobo Local Municipality; to what extent does the Records Management Practices in Engcobo Local Municipality comply with the legal and Regulatory requirements and the challenges faced by Engcobo Local Municipality.



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### **6.2 Summary of findings**

The purpose of this study was to assess records management practices at Engcobo Local Municipality in the Eastern. Specificity was placed on the examination of the employees of the municipality in order to assess the records management practices and how it affects service delivery in the municipality. In the context of this study, records management is defined as the field of management that is responsible for the proper creation, receipt, maintenance, use, and disposal of records to achieve efficient, transparent and accountable governance (Gunnlaugsdottir, 2002:232) and service delivery is defined as the service delivered or that needs to be delivered by the



government to its citizens with the aim of meeting their living needs, right demands or expectations (Gunnlaugsdottir, 2002:232).

The rationale behind this study is the fact that, besides the government efforts to put in place measures that govern the records management operations in the municipalities, there is still an increase in poor-management practices that affects service delivery in the municipalities. However, this affects the well-being of the citizens since there will be poor service delivery due to poor records management. There are increased allegations and concerns that the continuous increase in poor records management practices can lead to loss of important documents that can affect the overall performance of the municipalities. This, therefore, compromises the agenda of the government to improve records management practices and improve the services offered by the municipality as well as openness and transparency of the operations of the municipality. In addition to that, the economy of the country will also be affected negatively since they will be poor service delivery by the municipality. The empirical evidence focused on Engcobo Local Municipality where the research sample was drawn from the municipality. The data was collected using in-depth interviews and questionnaires.

### **6.2.1 The type of records received, created and maintained by Engcobo Local Municipality**

This study found out that the main types of records that are received created and maintained by Engcobo Local Municipality are business records, financial records and

academic records. The records are being created by different department in the organizations and they are sent to the registry for check-up and they are being stored and maintained in the storerooms. The results showed that the most of the records are being created maintained and stored in the municipality, but however, the results showed that there is lack of storage facilities therefore some of the records end up lost during the storage process. The results of the study showed that out of the 3 types of records, financial records are the main important type of records since they show the financial status of the municipality. This is followed by business records that indicate the overall functioning of the municipality. Finally, the academic records indicate the academic achievements all the interested stakeholders. However, the above records should be taken seriously because without the records service delivery will not be efficient and effective.



### **6.2.2 How records are processed for use in Engcobo Local Municipality**

Records management process is a very important aspect in the operations of municipalities. Positive records management process in the municipality can boost the morale of the workers and it motivates the workers. Participants showed that there are current active records, semi-current semi-active records and non-current records inactive records or archives. The participants indicated that in the creation stage, the current or active information sources are created and maintained for purposes of administrative, executive, financial and legislative activities. This is the stage where the onus of responsibility for creation, managing and controlling the information sources is in the realm of the creators. The semi-active information sources are those records less frequently consulted and often moved to basement areas, records centers needing to

be considered for storage in facilities offered by off-site storage companies. The participant indicated that the process of records management has a life cycle and records should be properly management during the life cycle.

Other workers in Engcobo Local Municipality, however, expressed that it is still difficult for them to differentiate between the different stages of the record's management process since it is a still new process in the municipality. More so, the results of the study showed that few participants was of the idea that the stages of records management should be shortened because, sometimes it end up being boring to keep records for long time. This means that there should be training programs to teach the workers on the main stages of records management and the process should be shortened so that it will not end up being boring to the workers.



### **6.2.3 To what extent does the Records Management Practices in Engcobo Local Municipality comply with the legal and Regulatory requirements**

In the wake of some stakeholders, workers and shareholders who are mainly concerned with the legal and Regulatory requirements of the records management practices in the municipalities, the results of the study showed that records management practices in the municipalities are being guided by the legislative framework of South Africa. However, the participants showed that operations of records management outside the requirements of the law is not allowed, therefore all the municipalities should act in accordance to the requirements of the South African Constitution. Some of the act that were highlighted by the participants are the Constitution of the Republic of South Africa, no. 108 of 1996; National Archives & Records Service Act of South Africa, no. 43 of 1996; Promotion of Access to Information Act, no. 2 of 2000; Municipal Finance

Management Act, no. 56 of 2003; and Electronic Communications Transaction Act, no. 25 of 2002 (Willis, 2005). The results showed that the municipality is acting in accordance to the above mentioned laws but the only problem is lack of knowledge, skills and experience about the implementation of the principles of the acts by the municipality workers. The municipalities should continue to train their employees in records management principles.

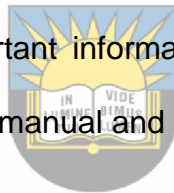
#### **6.2.4 The challenges faced by Engcobo Local Municipality**

It emerged in this study that there are a lot of challenges that are being encountered by the municipality in the records management process. Results of the study showed that the municipality does not have enough space for storage of the records. They need to construct more storage rooms so that they will be able to cope up with the increasing number of records. The municipality is still using old infrastructure, however, due to continuous increase in technology, there is need for the municipality to upgrade its infrastructure to suit the standards of 21<sup>st</sup> century standards. Shortages of skills within the municipality staff pose a big challenge to the development in the municipality. Workers with the necessary skills should be employed so that they can work and meet the bench mark of records management practices. Finally, the municipality management is bureaucratic in nature, long channels of communication. Results show all the above mentioned challenges and it is the duty of the municipality to address them so that they will be able to provide the best service to the citizens.

#### **6.3 Conclusions**

The study focused on assessing records management practices at Engcobo Local Municipality in the Eastern. The study sought to get insights into the type of records

received, created and maintained by Engcobo Local Municipality; how records are processed for use in Engcobo Local Municipality; to what extent does the Records Management Practices in Engcobo Local Municipality comply with the legal and Regulatory requirements and the challenges faced by Engcobo Local Municipality. It was noted from the research that the main types of records received, created and maintained by Engcobo Local Municipality are business records, financial records and academic records. Municipality workers showed that the 3 types of records are important for the operations of the municipality. They cannot operate well without one of the records because they are being used to assess the effective and efficiency of the municipality. Also, the study concluded that if the municipalities lost one of the above mentioned records, it loses important information; this means that they need to use different storage methods such as manual and electronic manner.



The study also concluded that the process of records management has got three main stages which are current active records, semi-current semi-active records and non-current records inactive records or archives. The process goes through the stages and each stage has a specific time frame. There is no specific time frame for each stage mentioned above but it depends by the nature of the records. Therefore, the study concluded that the process of records managements is a cycle that should be followed and it goes through the above mentioned 3 stages.

More so, the study concluded that records Management Practices in Engcobo Local Municipality comply with the legal and Regulatory requirements. It was concluded that they follow the principles of Constitution of the Republic of South Africa, no. 108 of 1996; National Archives & Records Service Act of South Africa, no. 43 of 1996;

Promotion of Access to Information Act, no. 2 of 2000; Municipal Finance Management Act, no. 56 of 2003; and Electronic Communications Transaction Act, no. 25 of 2002. However, the study concluded that the municipality lack experienced and skilled workers to implement the principles of the laws.

Finally, the study concluded that the municipality faced a lot of challenges as follows: the municipality do not have enough space for storage of the records, the municipality is still using old infrastructure, shortages of skills within the municipality staff pose a big challenge to the development in the municipality and the there is a bureaucratic management system in the municipality. Poor records management system poses a challenge to the overall economy of the country as some of the citizens suffer from poor service delivery by the municipality.



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#### **6.4 Recommendations**

Based on the findings of this study and a review of existing literature, the researcher made recommendations on how to improve records management practices in Engcobo Local Municipality. The following recommendations were made:

##### **6.4.1 The municipality should set principles that guides its operations**

Unresolved disputes within the municipality management and employees and their trade unions and any subsequent strike action are possibly expensive and harming to both the administration and staff. In this way, every exertion ought to be made by all parties required to keep away from conflicts emerging in any case by working proactively in the municipality. However, be that as it may, conflict arises; methods ought to be set up for

settling the wellspring of the contention as soon and as amicably as could be expected under the circumstances. However, if the principles of how to execute are set, employees will be aware of what need to be done for example when to create , maintain and store the records. The guidelines on how to manage records should be clearly outlined so that the workers will execute according to the guidelines of the law. In addition to the above, great relations amongst associations and their staff are vital to making a conducive workplace that promotes good records management practices. Inability to set principles could bring about questions which, thusly, prompt to poor records management practices in the municipality.

#### **6.4.2 There should be formal communication channels**

It is a decent practice for municipalities to create normal channels for informing and communicating with their employees on all issues related to records management. Poor communication between different departments such registry, information and service department in an organization can affect records management process in a negative way in the municipality.

#### **6.4.3 Intervention of the government**

The government can intervene to solve problems that arise in the operations of the municipalities. Government can assist the municipality financially so that they can execute their duties with sufficient money. In addition to the above, the government should help by employing more experienced human resources in the municipalities with records management skills.. The government should formulate and implement vibrant

policies that govern the operations of records management and they have to monitor whether the policies are being implemented and followed by the municipalities in managing records.

## 6.5 Suggestions for further studies

The following recommendations were suggested for further research:

- There is need for further studies on records management practices and its impacts on service delivery in the economy of the country.
- There is need for further studies on records management practices and its impacts on service delivery on the global level.
- It is also pertinent that further research also investigates how records are processed for use in different municipalities around the world.
- Studies that are based on the policies on records management practices and service delivery should be undertaken.
- Furthermore, the type of records received, created and maintained by municipalities should be viewed on a global perspective.
- Further research has to focus on possible strategies that should be implemented by records management consultants to improve the management of records.
- More research should be undertaken on whether the Records Management Practices in South Africa are in line with international records management standards.



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- There is also need for further research on the challenges faced by municipalities in managing records and counter strategies to the identified problems.

## 6.6 Summary

The chapter discussed the summary of the findings, conclusions and the recommendations in relation to records management practices at Engcobo Local Municipality in the Eastern. The study found out that poor records management practices has got negative effected on the overall service delivery, therefore, strategies to improve records management practices should be implemented. Finally, the chapter provides recommendations that can be implemented to improve records management practices in the municipalities.



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## APPENDICES

### APPENDIX 1: CONSENT FORM

I hereby confirm that:

- I have understood the information provided regarding the study.
  
- I am aware that a tape recorder will be used to capture data during this study.
  
- I understand that participation in this study is voluntary.
  
- I have the right to withdraw from the study at any time.
  
- I understand that no payment will be received for participating in this study.
  
- I have a right to access the study results if I so wish.



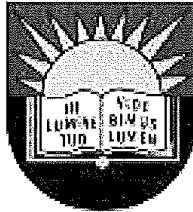
University of Fort Hare

I hereby confirm that I fully understand the conditions of this study and what my rights and responsibilities as a participant are.

I am therefore willing to participate in this study.

Signature: .....

Date: .....



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**DEPARTMENT OF LIBRARY AND INFORMATION SCIENCES**

**FORT HARE UNIVERSITY: ALICE CAMPUS**

Dear participants, I am Vuyelwa Mfula a student pursuing Masters in Library and Information Sciences second year, in the Department of Library and Information Sciences in the University of Fort Hare Alice Campus. My research is based on Assessment of Records Management Practices, particularly focusing in the Engcobo Local Municipality, Eastern Cape Province. I request your kind participation in this study. The information will remain confidential and all the information given here will be used for academic purpose only. Participation in this survey is voluntary and anonymous. Your contribution will be greatly appreciated.

Please note that there is no right or wrong answer .However; please be as truthful as possible.

Thank you for your corporation and participation

---

**Section A**

**Back ground information for Municipal Manger only**

1. Please state your gender (mark with X in the correct box)

Female	<input type="checkbox"/>	Male	<input type="checkbox"/>
--------	--------------------------	------	--------------------------

2. Please state your age bracket (mark with X in the box)

18- 35		35- 52		52-69		Other, specify	
--------	--	--------	--	-------	--	-------------------	--

3. Please specify your academic qualification (mark with X in the correct box)

Matric		Diploma		Degree		Other, please specify	
--------	--	---------	--	--------	--	--------------------------	--

4. How long have you been working in your Municipality? (Mark with X in the correct box)

One year		Two years		Three years		Other, please specify	
----------	--	-----------	--	-------------	--	-----------------------	--

5. Please state your race (Mark with X in the correct box)

Black		Indian		Coloured		White		Other, please specify	
-------	--	--------	--	----------	--	-------	--	-----------------------	--

6. Do you have a records management programme at your Local Municipality?

Yes	
No	

7. Are you aware of the following?

Please Indicate (Mark with X in the correct box)

a. Section 13 of the National Archives and Records Services of South Africa Act 1996	
b. National Archives and Records Services Act 43 of 1996	
c. Promotion of Access to Information Act 2 of 2000	

---

8. (a) Do you understand the requirements of Records Management Policy or National Records Act 43 of 1999 with regard to record keeping?

Yes	
No	

(b) If yes, please explain what you understand?

.....

.....

.....

9. What types of records are created, received and maintained by your Local Municipality?

- i. ....
- ii. ....
- iii. ....
- iv. ....

---

10. Do you have Records Management infrastructure in your municipality?

Yes	
No	

---

11. (a) Does your Municipality have a records management policy?

Yes	
No	

(b) If yes, do you understand the requirements of this Policy?

.....

.....

.....

12. Please state the number of staff who work in the records management

.....

(b) Are there any posts in your municipality, specifically for records management?

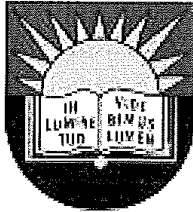
Yes	
No	

(c) Are all posts filled?

Yes	
No	

(d) If no, how long have the posts been vacant?

1 Year	
2 Years	
Other, specify	



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**Section B**

**Corporate Services, Information Technology and Registry staff**

**13. Please state your gender (mark with X in the correct box)**

Female	<input type="checkbox"/>	Male	<input type="checkbox"/>
--------	--------------------------	------	--------------------------

**14. Please state your age bracket (mark with X in the correct box)**

18- 35	<input type="checkbox"/>	35- 52	<input type="checkbox"/>	52-69	<input type="checkbox"/>	Other, please specify	<input type="checkbox"/>
--------	--------------------------	--------	--------------------------	-------	--------------------------	-----------------------	--------------------------

**15. Please state your race (Mark with X in the correct box)**

Black	<input type="checkbox"/>	Indian	<input type="checkbox"/>	Coloured	<input type="checkbox"/>	White	<input type="checkbox"/>	Other, please specify	<input type="checkbox"/>
-------	--------------------------	--------	--------------------------	----------	--------------------------	-------	--------------------------	-----------------------	--------------------------

**16. Please specify your academic qualification (mark with X in the correct box)**

Matric	<input type="checkbox"/>	Diploma	<input type="checkbox"/>	Degree	<input type="checkbox"/>	Other, please specify	<input type="checkbox"/>
--------	--------------------------	---------	--------------------------	--------	--------------------------	-----------------------	--------------------------



17. What is your position in your Municipality? (Mark with X in the correct box)

Record Manager		Information management		Senior manager	Librarian		Other, specify	
----------------	--	------------------------	--	----------------	-----------	--	----------------	--

18. How long have you been working in your Municipality? (Mark with X in the correct box)

One year		Two years		Three years		Other, please specify	
----------	--	-----------	--	-------------	--	-----------------------	--

19. Who is responsible for Records in your municipality and why? (Mark with X in the correct box)

Senior Manager	
Records Management staff	
Registry staff	

.....

.....

.....

20. Do you have a written procedure manual for the keeping and managing of all employees paper-based and electronic records?

Yes	
No	

---

21. In your view, where should records be kept for easy access? Motivate your answer.

a. Registry	
b. My Office	
c. Shared Drive	

.....

.....

.....

22. In your opinion is records management receiving the attention it deserves at your Local Municipality? Please motivate your answer

Yes	
No	

.....

.....

.....

---

23. Do you have Records Management infrastructure in your municipality?

Yes	
NO	

24. Is there a list of all documents which can be disclosed and those which cannot?

Yes	
No	

25. How are records organized and stored in your local municipality?

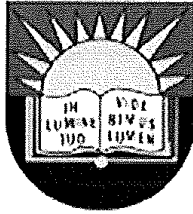
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.....

26. How often do you forward correspondence generated by yourself to the records office for filing purposes?

Daily	
Weekly	
Fortnightly	
Monthly	
Never	



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**Section C**

**Municipality records staff only**

**What is the level or position of the overall records manager at your Municipality?**

**Please (Mark with X) on the relevant box below.**

Director	<input type="checkbox"/>
Deputy Director	<input type="checkbox"/>
Assistant Director	<input type="checkbox"/>
Other , please specify	<input type="checkbox"/>

**(a) Please state the number of staff who work in the records management**

.....

**(b) Are there any posts in your municipality, specifically for records management?**

Yes	<input type="checkbox"/>
No	<input type="checkbox"/>

---

(c) Are all posts filled?

Yes	
No	

(d) If no, how long have the posts been vacant?

1 Year	
2 Years	
Other, please specify	

27. Is there a dedicated records manager (a sub-record manager) who takes specific responsibility for the keeping and management of paper-based employee records?

Yes	
No	

28. When recruiting staff for records management, do they have to have a training background in records management?

Yes	
No	

29. After recruiting staff for records management, do they go through any training?

Yes	
No	

---

If yes, what kind of training, please specify

.....  
.....  
.....

30. Are the staff members outside the Records Management programme aware of their records management roles/ responsibilities?

Yes	
No	

31. Do you use or refer to the File Plan when creating correspondence? Please state reason for your answer.

.....  
.....  
.....

32. Is there a list of all documents which can be disclosed and those which cannot?

Yes	
No	

33. How are records organized and stored in your Local Municipality? Please explain

.....  
.....  
.....

---

34. How often do you forward correspondences generated by yourself to the record office for filing purposes?

Daily	
Weekly	
Fortnightly	
Monthly	
Never	

35. Can you make any suggestion with regard to the improvement of the current records management practices at your municipality?

.....

.....

.....

.....

.....  
*THANK YOU FOR YOUR CORPARATION AND PARTICIPATION.*  
.....



University of Fort Hare  
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**ETHICAL CLEARANCE CERTIFICATE**  
**REC-270710-028-RA Level 01**

Certificate Reference Number: OND121SMFU01

Project title: **An Evaluation of Records Management Practices in the Sakhisizwe and Engcobo Local Municipalities, Eastern Cape Province.**

Nature of Project: Masters

Principal Researcher: Vuyelwa Mfula

Supervisor: Prof E.M Ondari-Okemwa

---

On behalf of the University of Fort Hare's Research Ethics Committee (UREC) I hereby give ethical approval in respect of the undertakings contained in the above-mentioned project and research instrument(s). Should any other instruments be used, these require separate authorization. The Researcher may therefore commence with the research as from the date of this certificate, using the reference number indicated above.

Please note that the UREC must be informed immediately of

- Any material change in the conditions or undertakings mentioned in the document
- Any material breaches of ethical undertakings or events that impact upon the ethical conduct of the research



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The Principal Researcher must report to the UREC in the prescribed format, where applicable, annually, and at the end of the project, in respect of ethical compliance.

**Special conditions:** Research that includes children as per the official regulations of the act must take the following into account:

Note: The UREC is aware of the provisions of s71 of the National Health Act 61 of 2003 and that matters pertaining to obtaining the Minister's consent are under discussion and remain unresolved. Nonetheless, as was decided at a meeting between the National Health Research Ethics Committee and stakeholders on 6 June 2013, university ethics committees may continue to grant ethical clearance for research involving children without the Minister's consent, provided that the prescripts of the previous rules have been met. This certificate is granted in terms of this agreement.

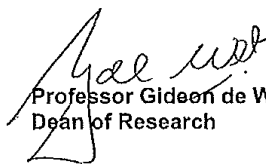
The UREC retains the right to

- Withdraw or amend this Ethical Clearance Certificate if
  - Any unethical principal or practices are revealed or suspected
  - Relevant information has been withheld or misrepresented
  - Regulatory changes of whatsoever nature so require
  - The conditions contained in the Certificate have not been adhered to
- Request access to any information or data at any time during the course or after completion of the project.
- In addition to the need to comply with the highest level of ethical conduct principle investigators must report back annually as an evaluation and monitoring mechanism on the progress being made by the research. Such a report must be sent to the Dean of Research's office

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The Ethics Committee wished you well in your research.

Yours sincerely

  
Professor Gideon de Wet  
Dean of Research

01 February 2016



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