

**AN EXAMINATION OF THE RECORD MANAGEMENT AND
ARCHIVES PROCESS WITHIN THE EDUMBE COMMUNITY
HEALTH CENTRE, DEPARTMENT OF HEALTH: KWA-ZULU
NATAL**

BY

ERIC BUHLE NYELE

(STUDENT NUMBER: 216074813)

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SUPERVISOR:

PROFESSOR B.C MUBANGIZI

01 FEBRUARY 2018

CERTIFICATION

I have, the undersigned, certify that we have read and hereby recommend for acceptance by the Kwa-Zulu Natal University Westville Campus, the thesis entitled “**An examination of the record management and archives process within the eDumbe Community Health Centre, Department of Health: Kwa-Zulu Natal**” in fulfilment of the requirements for the award of a degree of Masters of Public Administration of the University of Kwa-Zulu Natal.

.....

Thesis Supervisor

DECLARATION

I, Eric Buhle Nyele, declare that this thesis is my own work and that it has not been presented and will not be presented to any other university for similar or any other degree award.

Signature *EB Nyele*

Date 06/09/2018

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ABSTRACT

In the 2012/13, 2013/14, 2014/14 and the 2015/16 financial years, the KZN D.O.H received qualified audits with record management in the health facilities being one of the underlying factors. In light of the above for any medical negligence claims to be successful evidence should be provided before the court of law by the claimant. Therefore, the study aimed at the examination of the record management and archives process within the eDumbe Community Health Centre. Specifically, the research focused on the adherence to policy and rules and procedures of record management, coordination mechanism in place to manage records, the types of resources in place in support of management of records and the control strategies in place to manage records at the Health Centre.

The study adopted a qualitative research design compromising 8 participants. In addition to the 8 participants interviewed, observations of record management at the Health Centre were used to collect data. Data were presented in a narrative method.

The study findings indicate that record management in the eDumbe Community Health is still experiencing significant problems, which is caused by issues related to lack information related to records management from the management of this health facility and the entire Department of Health. Furthermore, this problem is created by the lack of enforcement of policies, rules, and procedure of record management, poor coordination mechanisms, unavailability of space, staff and budget constraints, and lack of control strategies.

The study concluded that in order to ensure efficient and effective record management within eDumbe CHC, all employees should understand the significance of record management in public health. The study recommends that budget strictly related to records management should be established, training of all employees should be conducted, the Chief Executive Officer should be accountable records management, standardise control mechanism should be orchestrated across the Department of Health and policies, rules and producers of record management should be part of staff training.

LIST OF ABBREVIATIONS

KZN	-	KwaZulu- Natal
D.O.H	-	Department of Health
CHC	-	Community Health Centre
R/M	-	Record Management
POSDCORD	-	Planning, Organizing, Staffing, Directing, Coordinating, Reporting and Budgeting
EXCO	-	Executive Committee
MEC	-	Minister of Executive Council
CEO	-	Chief Executive Officer
DM	-	District Director
HRD	-	Human Resources Development
HRM	-	Human Resources Management
SWOT	-	Strengths, Opportunity, Weakness and Threats
ZBB	-	Zero Based Budgeting

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CHAPTER ONE

INTRODUCTION AND BACKGROUND TO THE STUDY

1. Introduction

This chapter presents the introduction and background of the study, the research purpose, research questions that guided the study. Furthermore, a brief literature review, theoretical framework, the significance of the study, and justification of the study, research methodology, ethical consideration, and limitations of the study.

Records management plays a major contribution in the history of an organization in terms of where the organization comes from, the current situation and its future ideals. In addition, good management and preservation of records also assist researchers and policymakers with the information they need in their mission to solve various organizational problems. Furthermore, record management in public institution enables an organisation to uphold transparency in terms of how it interacts with the citizens. In this regard, the management of records in the Department of Health (D.O.H) requires urgent and special attention to curb the recurrent payment of litigation claims against the department of health.

This study aimed at an examination of the record management and archives process within the D.O.H Kwa-Zulu Natal using the eDumbe Community Health Centre and its associated clinics as a case study. This was conducted by examining the policies mandating the record management in the public sector. The study was informed by the organisational theory and specifically drew on Gulick's ideals of Planning, Organising, Staffing, Directing, Coordinating, Reporting and Budgeting (POSDCORB). To this effect, the study examined the following: planning process that are in place to manage record, organizing process that are in place to manage record, the availability of staff to manage record in the department, coordinating mechanism that are in place to manage and archive record in the D.OH, reporting strategies that are used to monitor record in the D.O.H and the budget that is available to support record management in the D.O.H.

2. Background of the study

The Kwa-Zulu Natal Archives and Record Service Act (Act No 08 of 2011) makes provision for the proper management and care of public records in the Province. The D.O.H internal records management system such as the approved File Plan and Record Control Schedule give provision of how records should be classified and referenced. The File Plan ensures that all the records on a specific subject matter are placed together. By doing so, the file plan ensures that the departmental records can be made available in the quickest and most satisfactory manner. Despite the Acts and the policies related to record management the Department of Health is still exposed to litigations related to the problem of records management. In the financial year 2012/2013, 2013/2014, 2014/2015 and 2015/2016 assessment, the Department of Health received Qualified Audit (Irregular Expenditure), which is also caused by problems related to record management in the health facilities.

Within the eDumbe Community Health Centre, files are opened for each new patient on arrival at the health facility. In the same way, returning patients give their index cards to the Admission Clerk so that the Information Clerk can check and issue them with their existing file. Every day, 5 to 10 duplicate files are issued by the Admissions Clerks to the patients as their existing file are missing. This reality raises a concern about the mechanisms are in place to make sure that all the patients file a return for admission at the end of the day within the eDumbe CHC? Currently, patients move with the files to see the nurse or the doctor before collecting the medication. The second question relates to whether the nurses and doctors understand that files should be returned to the admission area as the file contains sensitive and confidential information that cannot be in the wrong hands? Furthermore, in other components like Human Resources, Finance, Supply Chain and Systems files are created by the relevant officials by following relevant approved records policies and procedure manual for the D.O.H. Created records should be opened and referenced using the approved file plan of the D.O.H. Existing records should kept, issued, archived and disposed using the procedure manual for records and documents management of the D.O.H. Against this backdrop, this study examined the methods that are in place to ensure that all files issued to patients at the reception are returned to the reception at the end of the day.

3. Research problem

The MEC for Health in KZN told the Provincial Legislature that the Department of Health paid a claim of R992.2m on litigations in the 2012/2013 financial year (Mbonambi & Broughton, 2013:02). In the 2015 financial year, the KZN D.O.H spent almost R1.2 billion on medical litigation. The Daily News reported that the KZN D.O.H medical litigation was R10.6 billion in 2016 (Daily News, 2016:01). Pursuing this further, the Mercury reported that the KZN D.O.H is expected to pay R241 million on medical litigation claims so far this year (Hans,2017:01). All these litigations are related to problems of record management in the D.O.H.

In the 2012/13, 2013/14, 2014/14, and the 2015/16 financial years, the KZN D.O.H received qualified audits with record management in the health facilities being one of the underlying factors. The study aimed to understand problem associated with management of records.

4. Research Objectives

The purpose of the study is an examination of the record management and archives process at the eDumbe Community Health Centre Kwa-Zulu Natal. Specifically, the study sought:

- to determine the extent to which eDumbe Community Health Centre adheres to policy, rules, and procedures for record management;
- to determine the coordination mechanisms in place to manage records at the eDumbe Community Health Centre;
- to establish the type of resources in place to support management of record at the eDumbe Community Health Centre; and
- to determine what control strategies are in place to manage record at the eDumbe Community Health Centre.

5. Research objectives

Main broader Question

The primary question that this study sought to answer is: to what extent does the eDumbe Community Health Centre adhere to policy, rules, and procedures for record management?

The broad research question comprises the following sub-questions:

- what coordination mechanisms are in place to manage records in eDumbe CHC?
- what type of resources in place to support management of record in eDumbe CHC?
- what control strategies are in place to manage record at eDumbe CHC?

6. Literature Review

6.1 Records management definition

The Kwa-Zulu Natal Archive Act (2011) defines the public record as the recorded information regardless of form or medium and also defines the public record as any recorded information created or received by government body while executing their duties regardless of form or medium. Records management is the controlling of information assets in a method that makes data accessible, safeguarded protected and stored and correctly disposed of (Coetzer & Le Roux, 2012:03). Record management indicates a sequence of actions which embrace the formation, dissemination, practise, preservation and disposition of recorded material retained as confirmation of business transactions (Bigirimana et al., 2015:02). According to du Toit (2011:233), records work as the communal memory of an organisation and offer an instrument by which organisations can be made accountable for its actions and transactions.

The various definitions indicate that record should be created and maintained as they carry the most information about the organization. Furthermore, it indicates that the D.O.H should develop a turn-around strategies for managing records to avoid further wasteful expenditure. Management of records should be seen in the context of Gulick's view on organisational functioning described below. According to Andersson-Fele (2006), one of the fundamentals for a purposeful organisation, with a respectable work atmosphere and a practical assignment, is that the leaders have a sensible volume of dependents, thus facilitating the leaders to get to distinguish all of them. The directors can then not only obtain the essential information of the

day-to-day accomplishments but also obtain enhanced prospects to compromise backing and reaction to their control. Furthermore, he describes Public administration as the Science and Art of organisational structures, functioning services, predominantly on the managerial flank. Bearing in mind the variety of occupations, somebody allotted an office manager position is anticipated to have numerous capacities. Nearly all of the proficiencies which he is predictable to retain are problem cracking and judgement creation aptitudes, truthfulness, energetic, tractable, exactitude and the talent to manage with pressure. According to Simon (1946:53), what is required to adopt the concern is a principle of administration that would empower one to consider the comparative advantages of the two developments of accomplishment. However, neither the standard of unity of command nor the standard of concentration is accommodating in arbitrating the contrivers.

6.2 Planning

Tactical planning is about control, expectation, analysis, and programming (Fairholm, 2009:09). The understanding of record management requires good planning which should be in line with the organisation's vision and mission. Both scholars agreed on the rationality of planning in the organisation in which Olumuyiwa et al., (2012) linked planning with organizational objectives. However, both authors did not explain what will be the implication of poor planning in the organisation. Based on the above debate, it is evident that plans on how record should be managed in the D.O.H should be available. In the same way, the plan can assist management in developing monitoring tool for records management.

6.3 Organising

Marume (2016: 40) states that the term organisation specifies how the numerous parts making up a whole fit into the structure of that whole and how they are linked together. According to Marume (2016), poor organisation is where component do not join together, where there is repetition and efficient control as well as lack of proper delegation and balance. Schraeder et al., (2014:55) argue that the organising function of management is encompassed of various events directly or indirectly related to the distribution of resources in ways that support the accomplishment of goals and plans that were established in the planning function. Within the organising structure are several human resources management associated activities such as job design and the assignment of duties. The above literature raised the question about the structure that are in place in terms of management of records at the eDumbe CHC.

6.4 Coordinating

Coordination expressions and models have been developed in different fields to facilitate the collaboration among components and objects. Nowadays, the models are used to model and analyse organisations. However, several studies have shown that coordination and cooperation leads to enhanced and inter-group relations because they generate development methods in dealing with problems that originate from intra-link and cross-cultural contexts in relation to an organisation (Osifo, 2009:08). In addition, coordination has connection to confidence and performance. Coordination produces performance, because it creates the essential trust needed for accomplishing performance through networking (Osifo, 2009:10). Based on the theory put forward by Osifo, the following question can be asked. How can coordination lead to better performance in terms record management at the eDumbe CHC? Clearly, that Osifo did not mention that people exhibit different behaviour in the organisation which might negatively influence attempt to coordinate them towards achieving similar goal. Health Facilities are made out of different professionals such doctors, nurses, engineers, pharmacists, administrators and general workers. Therefore, how can one make sure that all these people understand why records should be managed efficiency and effectively. Moreover, what are the implications of poor record management to the future of the organization?

6.5 Controlling

According to Schraeder et al., (2014:56), organisations and managers develop a range of strategies or approaches associated with control. These practices range from explicit, highly restraining, and forceful forms of control to more implicit, decentralised, secondary forms of control. The approach may include the use of numerous management information systems but has been demonstrated, in the past, by the managers guiding employees, telling them how to do their jobs, and close monitoring of the employee's performance. In the attempt to understand what systems are in place to manage record at eDumbe CHC, a question that must be answered relates to what control systems are in place to ensure smooth management of records in this health facility.

6.6 Budgeting

Pintea et al., (2014: 163) define the term 'budget' as signifying a list placed face to face with anticipated revenues and expenditures of a specific economic unit, for an explicit period. Underneath this, budget can be understood as general finance specific practical process through which, it highlights how material and sizing of financial capitals is done, in particular economic entities, on the circulation to numerous destinations of resources for the accomplishment of prearrangement targets. This explored whether the KZN D.O.H budget for the management of record in their health facilities. In addition, the study also examined the tabling of the budget for eDumbe CHC in the last 5 years if they ever make funds available for record management in the facility. The procurement plan for the component entrusted with the management of record in the facility was also assessed.

7. Theoretical framework

The organisational theory was developed in the United States of America in 1937 based on the Planning, Organising, Staffing, Directing, Coordinating, Reporting and Budgeting (POSDCORB) by Office Managers. Agriwal and Vashistha (2013:248) mention that, Gulick built their ideas based on the ideas on the earlier 14 Principles (Division of work, Authority and responsibility, Discipline, Unity of command, Unity of Direction, Subordination of individual interest to general interest, Remuneration of personnel, Centralization, Scalar chain, Order, Equity, Stability, Initiative, and Esprit de corps) of management by Fayol . The prevailing thinking was the separation of politics and administration. However, as Galick advocates, it is difficult to separate the two.

This component provides the background of the theoretical establishment of the study by exploring the theoretical debates around management issue in the public sector. The study used the Theory of Public Administration and the Theory of Organisation by Luther Galick. This theory indicates principles and practice that give direction to records management.

There are some weaknesses that can be pointed out about the Theory of Organisation. Agriwal and Vashistha (2013:248) argue that the POSCORB view overlooks the fact that deferent organisations are confronted with different administrative problems, which are uncharacteristic to the environment of the services they render and the function they perform. These scholars believe that the POSDCORD view takes into account only mutual systems of the administration problems, which are the study of the subject matter with which the

organisation is connected. Herbert A Simon refers to POSDCORB principles as over implication of administration. Simon's critics are enormous centred on the span of control and unity of command, declaring that sometimes it is necessary for a subdivision to receive guidance or direction from more than one person. Self argues that the functionality of the POSDCORB domain is very difficult to link to the concept of personal staff assistance favoured by Gulick. Furthermore, functions can only be made effective if they are institutional based, which diminishes the element of personal assistance.

8. The significance of study

This is significant in its attempt to help the KZN D.O.H to curb litigations against it due to problems related to records management in the health facility.

9. Justification of the study

The study was conducted with the aim recommending turn-around strategies that can be used to curb the current record management status in the health facilities to ensure efficient and effective management of records.

10. Ethical Consideration

The study ensured that protection from harm for all participants. The research participants were informed about the nature of study and given choices to participate or not participate. The study researcher made sure that participation was strictly voluntary. Privacy and confidential were maintained between the researcher and the participants. The researcher reported the findings completely in an honest manner and under no circumstances did the researcher fabricate data to support a particular conclusion. The research proposal and protocol was approved by the University of KwaZulu-Natal ethics committee (approval number HSS/1171/017M).

11. Delimitation of the study

The study was conducted only at one health facility and therefore, the findings cannot be generalised to other health facilities. The study sample of the study participant was quite small and this again impact on the ability of the study to generalise.

12. Conclusion

In conclusion, this chapter is created to introduce mechanisms and strategies that can be used to assist in managing records in the public health facilities in this province. The study makes a recommendations based on the theoretical debates from various scholars. The findings contribute positively to the problem related to record management at eDumbe CHC.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

This chapter aimed at highlighting the theoretical and empirical overview of varying literature related to the definition of terms, Planning, Organising, Coordination, Controlling and Budgeting in enhancing performance in the management of records in eDumbe Community Health Centre.

2.2 Planning

What is planning?

According to Khan and Khalique (2014:165), the term ‘planning’ in management is a method of formulating ways to use resources more parsimoniously, effectively and efficiently, so that the determination of the organisation is achieved. Sosiawani et al., (2015:202) define planning as ”the action of determining goals and defining the means for accomplishing them planning supports managers think concerning the future rather than thinking simply in terms of day to day activities”. However, it can be resolved that tactical planning is the process to regulate the long-term goals and the objectives of the organisation and defines the guidelines and procedures to accomplish them.

The perception of planning encompasses determining what the key objectives of the organisation are, the standards leading to it and the provision of resources concerning the attainment of those objectives (Ferreira & Pronca, 2015:03). According to Harris (2015:34), workforce planning is about incapacitating this experiment by recognising the right people today and tomorrow with the right skills at the right time. Following this further, tactical workforce planning is not just about Human Resource (HR) though, it is important for everyone from the Chief Executive Officer (CEO) to Chief Finance Officer (CFO) to business unit leaders because people make tactical things happen. Getting the right people is a key item any CEO agenda.

Aldehayyat and Bin Tatal (2011:255) argue that official strategic planning is an unambiguous and ongoing organisation method that encompasses of number of constituents, such as the formation of goals and the generation and assessment of strategies. The progression of

planning management embraces frequently simple and occasionally restating set of successive stages, through which the organisation generate, implement and control accomplishment of the long-term commercial objectives (Karel et al.,2013).

According to Babafemi (2015:45), earlier studies have tried to determine the consequence of the planning method on firms' financial performance. These efforts have separated firms into those with proper planning systems and those without official planning systems and related these to procedures of financial performance. Kibacha et al., (2014:52) state that tactical plans are often supplemented by equivalent execution plans, which outline responsibilities, timelines, resources necessities and organisational or working changes obligatory in order to provide on the strategic plan creativities.

According to Lafif et al., (2012), strategic planning was known as long sort planning system. This extensive range system had constricted emphasis and inward-looking, extended up to 5 to or 10 years. Planning has become the important movement for many organisations in the third world. The commercial sector has gone through numerous blustery times coordinated mainly by the vibrant external atmosphere (Bagire & Namada, 2013:480).

Strategic Planning

Kiptoo and Mwirungi (2014:188) mention that the high-ranking top management are anticipated to consider that the planning process that the board has accepted is supposed to be executed. This means that the management is likely to offer direction and leadership's on the direction the company should take while executing the process of the tactical plan. For an organisation to do well in strategy making, it is significant for the organisation to scrutinise its setting in which they function by using tools such as the strengths, weaknesses, opportunities and threats (SWOT) analysis, Pestel analysis, Porters' five forces model, rival analysis and gap analysis among others. The most operative institutions will not only have a tactical plan commendable of the name, but the tangible planning process will be fully functioning down to the details of how that institution functions (Shu-Hsiang et al.,2015).

According to Efendioglu and Karabulut (2010: 03), organisations have distinguished and cast-off the process to recognize concerns which they cannot resist but have an important influence on their existence and accomplishment, and use their inadequate resources and capabilities to develop their competitive situations. Moreover, it was assumed that by intentionally using proper planning, an establishment could apply some positive regulator

over market powers, generate reasonable advantages, develop organizational effectiveness, and increase its performance. Pursuing this further, as an outcome, new perceptions and tools were established and supplementary to corporation inventories over time, and they were used to bring smartness and standardisation to strategy improvement in organizations (Efendioglu & Karabulut 2010: 03)

Karel et al., (2013:58) and other academics in the field of strategic management acknowledge that this area is static and that organisation management only give it slight consideration. Managers often do not understand the implication and significance of strategic methodology for a corporation or they are not competent to establish it. In addition, they are repeatedly overloaded by functioning tasks that ascend from everyday occupational practices and the bird's eye opinion to see the goals and tests they face in a bigger context is withdrawn from them. Moreover, they are frequently not intelligent or proficient to perform essential inner-outer management scrutinises. Munuki and Stanley (2015:216) argue that a well thought out strategy will improve efficiency and higher incomes. On the other hand, strategy enactment has been extensively acknowledged as a significant management encounter for both the organisation and managers.

Undoubtedly, leaders and managers frequently have a good intelligence of the skills that will be essential in the execution of their duties but this material can get misplaced in the daily burdens of the recent business environment. Furthermore, planning can benefit by upholding that long-term view and bearing in mind how a developing corporate model influences strategic competences (Harris, 2015:35). In order for organizations to prosper in strategic planning, it is vital that the organisational culture plays a main role and the top management should be able to clinch culture change within the organisation. However, this can only happen if the complete management and the employees believe that culture is crucial for both successful organisational culture and exploiting the importance of human capital (Kiptoo and Mwirigi, 2014:191).

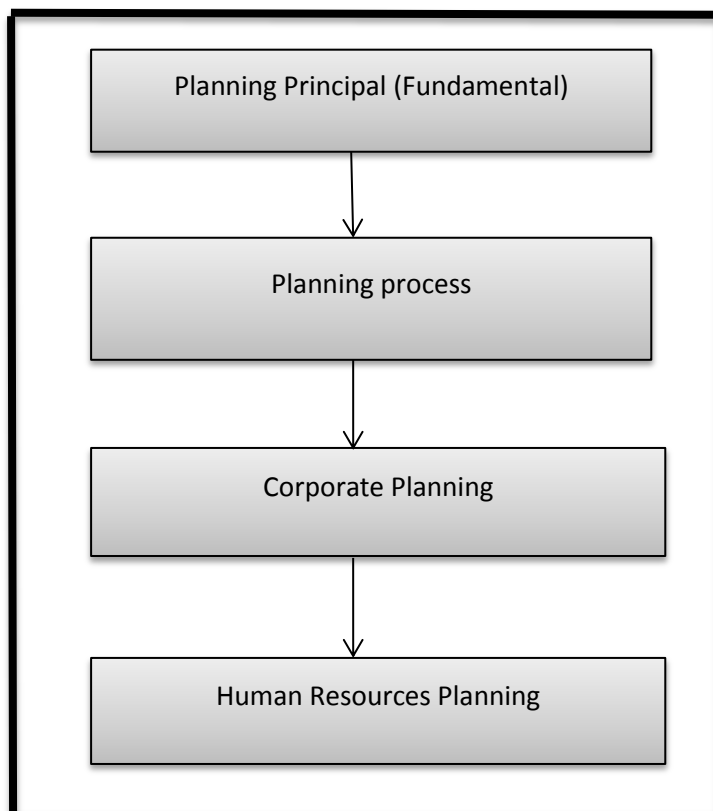
Strategic planning gives leaders vibrant logic of where they want to lead their establishment and what outcomes they anticipate to accomplish. Moreover, this is attained through visionary leadership where leaders have a clear route of how and where the organisation is going and thoughtful of the processes and actions which need to be conducted to understand the vision. Leaders use education, principles and perseverance to build their organisations (Kyalo et al., 2016). Furthermore, this can be completed by accessing his/her subordinates before confirming the goals.

A leader can be real when there is transparency in goals and roles to be executed to accomplish those goals and parts to be done to accomplish those goals. In the absence of clear goals, the leader may not be able to get the support and commitment from the subordinates in the performance on the activities (Kyalo et al., 2016:39). Public organisations are obliged to pursue social interest, in other words provide public services with an intention to see the interests and needs of citizens and corporate bodies advanced. Until lately, public organisations were poorly structured and their processes have been established in an unstructured fashion (Salkic, 2014:62).

Human Resource Planning (HRP)

According to Mostaghim et al., (2013:662), says that HRP is the method that organisation use to determine how many employees with what capability and skills, what career and what time are needed to achieve their goals.

Figure 2.1 HRP Methods (Source: Mostaghim et al., (2013))



- Figure two shows that HRP comprise the following methods:
- Planning principal (fundamental): This plan advocates that HRP is an academic work.
- Planning process: This category of plan specifies that HRP process is valuable for the organisation.
- Corporate planning: This kind of planning, resources, and organisational questions are encompassed
- HRP: there are convinced goals for the organisation, the most understandable decisions about the human resource we attempt to cradle more elastic steering through modernisation, working configurations, practices and agreements is evidently seen (Mostaghim et al., 2013:662).

Mansor and Tayib (2012) argue that public managers may are unsuccessful in associating their strategic planning determinations to other serious decision-making practices. Mintzberg (1994) is one of the most vocal critics of strategic planning indeed because organization's planning actions are too frequently totally separated from performance dimension and resource distribution.

Strategic Planning and SWOT Analysis

The principal aim of strategic planning is to convey an organisation into stability with the external atmosphere and to preserve that stability over time (Gretzky, 2010:92). The SWOT analysis is a key component of strategic planning.

According to Gretzky (2010:91), SWOT analysis is an investigation of an organisation's internal strengths and weaknesses, its occasions for development and enhancement, and the threats the external environment presents to its survival.

Table 2.1 SWOT Analysis

HELPFUL TO OBJECTIVES	HARMFUL TO OBJECTIVES
Strengths: Outstanding Medical Staff Strong Commitment to Community Mission Excellent Hospital Facilities Outstanding Healthcare Quality High Level of Organisational Efficiency	Weakness Lack of Adequate Resources Lack of Primary Care Network Shortages of Critical Staff

Opportunities: Growing Metropolitan Community Increased Managed Care Business Growing Community Healthcare Programs	Threats Reduced Government Reimbursement Competition for Specialty Physicians Increased Competition from Healthcare Provider Networks
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(Source: Greteky, 2010)

2.3 Organising

This section aims at highlighting the theoretical and empirical overview of varying literature related to the concept of organisation, elements of organisation, the division of labour, formulation of structural units, and hierarchy and coordination within the organisation.

2.3.1 The concept organisation

According to Vanagas and Stankevic (2014:114), an organization is two or more people to work collectively in the firm construction, looking for the specific determination or purposes as a whole. An organization is the progression of the division of labour, power, and resources between the organization's affiliates and their variation, which permits them to accomplish organizational goals. This is an everlasting management method, which forms and keeps the organizational structure. Furthermore, work organization is a management of work construction method in the production progression, the human collaboration between themselves and human interface with the equipment and working facilities.

According to Abdullah and bin Haji Ishak (2012:188), once the intentions and goals of the organisation have been established, then with the restricted resources, finances, environment condition and human resources must be developed into the plan. Precisely, organising refers to defining how activities and resources are too congregated. Organising present the basic fundamentals such as job design and departmentalization.

This is the work the manager executes to assemble and transmit the work to be prepared so that it may perform most effectively (Stretton, 2015:02). Stretton went on to identify three primary activities of management organising such as developing organizational structure,

managing delegation and establishing relationship. Because of accumulative rivalry, the department of innovativeness and modernisation is advanced, and many enterprises are executing restructuring aggressively and flow construction, and trying to be learning type organisation.

The organising function of management comprised various actions directly connected to the distribution of resources in techniques that backing the accomplishment of goals and plans that were established in the planning function. Following this, incorporated within organising structure are several human resources management (RHM) associated actions such as job design and the consignment of job duties (Schraeder et al., 2015:55).

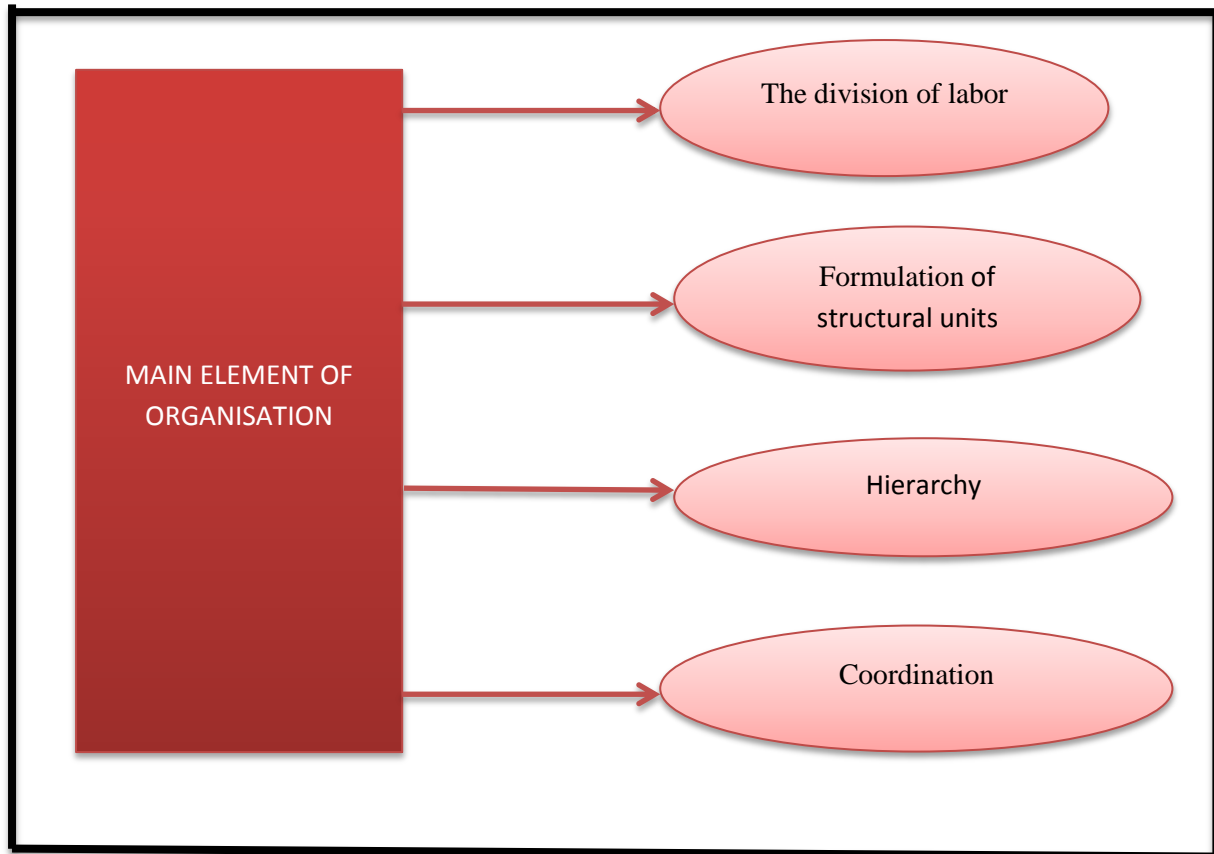
According to Osifo (2012:07), organisation can be defined as a group entity, where people are methodically organised and managed to meet a set goal on an uninterrupted basis. Organisations can keep public or private viewpoint; the organisation can be determined by turnover making or charitable interest.

An organisation is the art or science of structuring up scientifically whole by a number of but interconnected quantities. Moreover, organisation of business is an agreements amalgamation of mankind, instrument material, money administration etc. so that all these could work collectively as one component. The organisation is, thus such a methodical permutation of several associated parts for attaining a defined objective in an effective method (Arabium, 2014:33)

2.3.2 Elements of organization

According to (Vanagas and Stankevici, 2014:115), an organisation's action contains of the following main elements

Figure 2.2 Elements of organization



Source: Researcher (2017)

The organigram above illustrate how the element of organisation is separated:

2.3.3 The division of labour

Nevertheless, this is the best dissemination of the entire work into isolated parts and identification of the explicit performers. The method in which they progress this objective is principally intended to bring a theoretical and methodical intelligibility to the classification of organisation and its relation to institution and system. In this deference, the paper is classical of its kind, but it also demonstrate how easy it is for even more serious scholars to classify unconventional organisation permitting predictable outlines and so decrease their disturbing potential (Reedy, 2014:642). Therefore, in the organisation, it can be said that organisation

information is personified and incorporated in the staff, surrounded in practices /mutual tasks, encultured among the staff, and determined in manuals, guidelines and procedures (Omotoso, 2015:05).

2.3.4 Formulation of structural units

Formulation of structural units it is the combination of the comparable and reasonably related procedures and actions into the operational fundamentals. In order to understand how the work is disseminated, leaders generate the organisation patterns of the management arrangements. This is the willpower of configuration and association between employees and subdivisions (Vanagas & Stankevic, 2014:115).

Prominent organisations specific efficient managers give significance to methods and instrument for superior organisations modernisation and inventiveness. Furthermore, their acknowledgement of improvement as central to attractiveness has been mostly determined by the technological development, the rise of the knowledge economy and the balance between non-price struggle in the industrial and service companies (Razavi & Attarnezhad, 2013:226).

The connection between contrasting limits within a given strategic pressure may be hypothesised in numerous ways: as a trade-offs problems, catch and inconsistencies. Each conceptualisation offers different viewpoints on the environment of the relationship between the limits, bringing about suggestions concerning the way must manage with each tension (Karrer & Fleck, 2015:369).

2.3.5 Hierarchy

Hierarchy is a formation of a definite of a number of management levels (Vanagas & Stankevic, 2014:115). According to Hernaus et al., (2013:26), organisational arrangement and business component progressions are the foremost fundamentals of organisation design. Both measurements are significant and essential even though their concentration is somewhat differentiated. On the other hand, the vertical measurement of an organisation crumbles hierarchical levels and delivers constancy and authority.

2.4 Coordination

2.4.1 Definition of coordination

According to Roberts (2011:677), coordination is defined as the orchestrating of classification components to forge a comprehensible, combined whole. Thus, coordination is not assumed in terms of its results but by the efforts to assimilate and plan arrangement movement. Rather than deceiving us in infinite “do-loops” that confuse progression with results, coordination is seen as a means to an end, not an end itself. Definitions of coordination differ as some scholars use the term coordination to represent lenient governance and impulsive collaborations, indifference with hierarchical rules or management (Hessels, 2013:321).

Coordination is defined as the movement of data and resources in a system, the number and power of connections that an organization has with other organisations, combined actions and processes, communication and coordination meetings (Aki et al., 2015:20). Coordination starts from the concept that there is link between the organization’s use of coordination implements and the superficial excellence of coordination in the courteous service that is the outline of the coordination gears is expected to inspire the coordination excellence effect profile (Laegreid, 2013:11).

Coordination is the enlargement of ideas about joint and holistic working, joint information systems, dialogue between agencies, processes of planning and making decisions. Furthermore, this was in distinction to ‘amalgamation’, which fundamentally stated to the accomplishment or consummation of the harmonized deed, or the genuine accomplishment or execution of the products of coordination (Naidoo, et al., 2016:88). Administration coordination is in principle coordination from the bottom up, and it is concentrated on service delivery matters. This bottom-up positioning concerning constructing government more effective assumes that the significant interrogations about governing are implementation questions (Peters, 1998).

Coordination is the consequence of method within comprehensible institutionally or functionally determined components that follow a precise pre-given coherent judgement of consequentiality. Moreover, this interpretation is superficial in public administration theory, organising theory and planning theory (Pedersen et al., 2011). In order to uphold the consistency of a social group, individual group members need to harmonize their activities and coordinate their conduct, particularly when moving from one dwelling to another, e.g.

from nourishing to sleeping areas. The achievement of coordination, therefore, significantly encourages individual appropriateness and collection should support individuals who are able to move cohesively (Seltmann et al., 2013).

2.4.2 Coordination in context

According to Laegreid et al., (2013:09), the issue of coordination based on external-internal and vertical-horizontal dimension. The external-internal dimension differentiates between coordination within central government, and between government bodies and organizational outside the central government. The second dimension differentiates between vertical and horizontal coordination.

Table 2.2: Different inter-governmental coordination dimensions

	Horizontal coordination	Vertical coordination
<i>Internal coordination within central government</i>	<i>Coordination between ministries agencies sector s</i>	<i>Coordination between parent ministry and subordinate agencies and bodies</i>
<i>External coordination across level of government/public-private sector</i>	<i>Coordination with civil society organization/private-sector interest organization</i>	<i>Coordination</i> a) <i>Upwards to international or</i> b) <i>Downwards to local/regional government</i>

Source: Laegreid, et al., (2013)

Vertical inter-governmental coordination signifies harmonisation between the central administrative level and other geographic levels. In this kind, both sectoral political and particularly administrative leaders are essential performers (Laegreid et al., 2013:10). The fundamental player is sectoral political and administrative leaders and their colleagues in the private and voluntary sectors (Laegreid, et al., 2013).

It is attractive to emphasis on the coordination problem within the background of a particular round and a single production of the weak-link game. However, the business turnaround game is a frequent game with numerous sequences and fluctuating advantage rates (Brandts & Cooper, 2006:670). Coordination here denotes the thoughtful organisation of patient care accomplishments between two or more contributors involved in a patient's care to facilitate the suitable distribution of health care services (La-Rocca & Hoholm, 2017:02).

A framework of the explanations for coordination in the management of record is followed by an explanation of the features that could completely underwrite to or effect against coordination in the management of record. The literature highlights the part of a nominated body or answerable institution on the national government level, as the concentration of coordination in record management (Uys, 2006:59). The impression of coordination has been practical many times in discipline (policy) studies to pronounce and investigate a diversity of sensations, alternating from cooperation between individual researchers within a mutual research development to the common modification between national strategies for science, modernisation and training (Hessels, 2013:318).

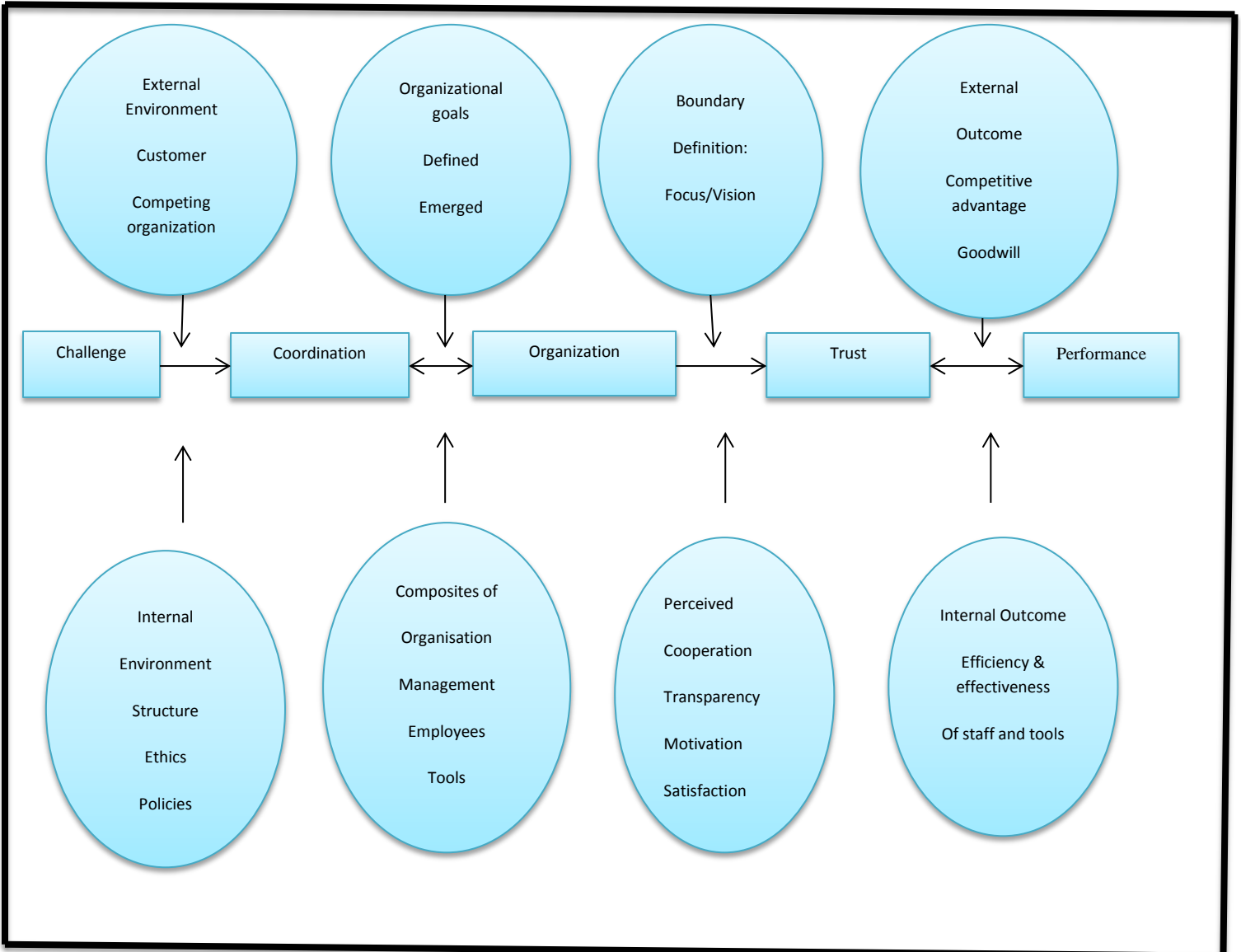
Coordination has been a continuing subject not only in the background of impressive policy problems and that there is quiet perspective for a supplementary information understanding of the fundamental procedures (Wojtarowicz & Herold, 2014:05). Care coordination is, in the context of healthcare is a patient-centred association of care that benefactors (including patient caregivers) should share to advance the excellence of a patient's administration and, ultimately, the patient's health (Sailour-Glenisson et al., 2017:02).

Coordination is a portion of the planning, because it expresses what to have in a good plan and how to implement it. Coordination is a portion of organising because it receipts the first tip. Coordination is a portion of staffing because it stipulates who will be a staff and the coherent assignment. Coordination is a portion of guiding because it provides it with a vibrant emphasis. Coordination is coordinating. Finally, coordination is a portion of budgeting it gives it a good assessment (Osifo, 2012:09). Coordination has both positive and negative implications. Positively, it means bringing about collaboration and teamwork among the persons and components of an administration. Negatively, it means eliminating conflicts, irregularities, resistance, coinciding, and working at cross determinations among persons or units of an organisation (Marume & Jaricha, 2016:16).

In order to enhance success, an enormous coordination of hard work and resources is required to bring all areas on board, such as marketing, logistics, financial, human resources, etc. Miscellaneous areas fluctuating from supply design, the connection of fixtures and shelving, training of staff, technology installation, developing distribution delivery schedules, and designing promotional announcements must all be coordinated to support the targeted. The coordination must incorporate purposeful areas and developments across the organisation (Sanberg, 2014:02)

Below is a comprehensive model of coordination and organisational performance.

Figure 2. 3: Comprehensive model of coordination and organisation performance



Source: Osifo (2012)

The connection between coordination and organisation is most expected to be communal. Subsequently, organisation does not occur in emptiness, there is the necessity for coordination to stalemate and functionalise the mechanisms of the organisation. This development starts with the management, which embraces different organizational expertise and strategies to see that employees are well placed and qualified to make use of organisational gears in the best techniques that would promise satisfactory results (Osifo, 2012:04). Suitable coordination instruments are important for a successful project management development such as a store opening process (Sandberg, 2014:03).

2.5 Controlling

2.5.1 Definition of controlling

Control structure is an arrangement which offers management of organisations evidence about eccentricity from plans as well as endorsements for remedial movements. Therefore, in each organisation, control mechanisms are frequently put in place to size cost, time and excellence of its production (Mang, 2016:411). Control systems is a structure which collects and utilise data to estimate the performance of diverse administrative resources like anthropological, physical, monetary and also the institution as a whole bearing in mind the structural strategies (Armash et al.,2010:193).

Controlling is an intricate rather miscellaneous fundamentals component including setting goals planning, reporting. Control examination, handling information movements, and working out a recommendation for making a managerial decision (Ostashkin, 2014:67). Controlling encourages all management functions in an organisation. Direct parts of its benefits are planning and control but it also incidentally encouragements to other management functions such as organising inter-alia, by accumulation regulators into old-style management arrangements, by separating obligation focuses on such organisations and inspiring by utilising the notion of compensation or incentive classifications for managerial staff (Bienkowska and Zgrzywa-Ziemak, 2014).

Controlling is about confirming whether everything transpires in traditionalisms with the plans implemented, commands distributed and philosophies recognised. Controlling confirms that there is the operational and efficient application of governmental resources so as to accomplish the planned goals (Grigorut & Grigorut, 2009:305). Uninterrupted control and improvement instrument of the learning field is based on acquisition information assessment and doing suitable engagements or enhancements as soon as possible (Vandra, 2017:19). Controlling is a practical management perception with the role of coordinating the planning, the control and the material concerning the anticipated end-result.

The regulator can be considered as the “economic conscience” of the object (Roman et al., 2014:47). Management control is the procedure of manipulating others in an establishment in demand for effective and efficient for accomplish the objectives. Furthermore, it is the determination of commercial objectives and strategies to attain them in a method called strategic planning. Since strategic planning cannot be disconnected from the workplace

strategic planning can also be considered as a feedback to the situation establishments. Management control is an instrument to display or detect the application of the management enterprise that strained to direct the accomplishment of organizational goals (Nurwati, 2013:40). Management control structures benefit organisations to escalate the prospect that employees make decisions and take movements which are in the organisations best interest (Bredmar, 2011).

2.5.2 Controlling in context

According to Mang (2016:411), in planning control system for a monetary provision sector, certain features ‘(such as principal spending, accounts, movement of resources as well as liquescency) are indispensable . Following this further, these issues can be wider in terms of fiscal statements which process runniness, general monetary circumstances as well as productivity, balance sheet which pronounces the set in terms of its assets, liabilities as well as net value. Mang (2016:412) further argues that control systems are in four classifications, namely: diagnostic control systems, boundary control systems, interactive systems and belief systems. Outstanding performance, obligation, and non-existence of struggle are the backbones of any establishment that assures organisational effectiveness

The culture of your association classifies individual standards, beliefs, concentration or sensitivity of employees, through values, beliefs and common opportunities, thereby making it relaxed for the manager to encourage and control employees to work more effectively and efficiently (Owoyeni & Ekwoba, 2014:173). Numerous expectations inspire concentration in control. The uniformity and expectedness of an organisation’s operation are grounded on the guideline of individual performance in conformity with organisational purposes. Furthermore, control also has a number of emotional bases and consequence (Tanneribaun, 1946).

The purpose of control (controlling) is to distinguish possible softness that happens as a reaction to the management of and movement, preparatory from the planning phase to the application period. Substances protected by the controlling purpose comprises the formation of values or standards, associating consequences with customary checking, the operation of a development completed with nonconformity or irregularity, amendment and modification of the control technique, and control goggles upshot of altering circumstances, as well as collaborating the amendments and improvements to the procedure of management in the expectation of abnormalities or failings that ever transpired or does not materialise (Nurwati,

2013:40). The control structure can also be observed as a knowledge procedure where ancient involvement supports individuals and groups to generate models used to understand and action in a fresh location in a significant method. The important impression is that the administration of a corporation is a collection of individuals who want to act in a significant way (Bredmar, 2011:109).

Furthermore, the division could be modified subsequent to a healthier method of sympathetic with how the complications could be cracked Bredmar, 2011). Controlling clarifications are flattering more and more repeatedly pragmatic to specific useful capacities. While bearing in mind the straight up purposes of innovativeness as a standard for classification, we may list transfer control, as well as investigation and improvement control. However, when parallel purposes are used as the measure for classification, we may focus on funding control, superiority control, project control as well as employees and logistic control (Bienkowska and Zgrzywa-Ziemak,2014).

Consequently, it can be assumed that financial controlling is dedicated to financial planning (in line with the strategy), functioning governance and the allocation and application of financial plans, and the assessment of the financial presentation of the administration. Furthermore, it places importance on the money condition and cash attention of procedure in other words the creation of cash flow plans, and on solidity management) (Pavlik, 2017:55). In norm, we must differentiate firmly between controlling, as function, and controller, as the person or the unit within an organisation that is responsible controlling. Essentially, controlling, in terms of management, is a dominant assignment of management. The controlling assignment within the establishment encompasses sorting the naturally existing individual components, checking their utility, implementation and organising them as a diverse organization (Grigorut & Grigorut, 2009:306)

2.5.3 Controller role within the organisation

Fundamentally, the controller has two dissimilar responsibilities of the organisation in relation to the planning system and to the information system. Therefore, utilizing the controlling, the administration of an inventiveness can successfully accomplish its part, which can be perceived as completing the most important commands such as handing over the task of defining the perfect goals from the top to the lowest and vice versa (Grigorut and Grigorut, 2009). The above is illustrated in the following Table 2.3.

Table 2. 3: Controller process

Controlling System	Building a Controlling System
<p>The resolution:</p> <p>The Controller practises a little examination centred on benchmarks to answer questions to find information and be able to make recommendations.</p> <p>The approach for the controlling audit:</p> <ul style="list-style-type: none"> • Emerging an objective position for your controlling. • Scrutinising the current state. • Reproducing the results of the current-state analysis using benchmarks (positioning): • Developing the need for action (gap analysis) using best practices • Drawing up the implementation plan (realisation) 	<p>Overall controlling:</p> <p>Corporation - monetary controlling; tactic planning and organisation.</p> <p>Development controlling:</p> <p>The increasing significance of this purpose, which established in terms of costs and strategically.</p> <p>Controlling development:</p> <p>Equally to the arena of improvements, accomplishing ventures is more and more obtainable as an accomplishment factor,</p> <p>Staff controlling:</p> <p>Stretchy planning of staff participation and efficiency dimension based on scanner information.</p> <p>Logistics controlling:</p> <p>Demanding to duplicate all the purposes of Porter's significance chain by highlighting the issues connected to obtaining and dissemination.</p>

Source: Grigorut & Grigorut, (2009)

According to Bienkowska and Zgrzywa-Ziemak, (2014) controlling as it appears, should co-occur with other approaches to management. This is, first of all, because contemporary controlling is measured as a widespread method which – in a complete technique – chains the

management classification of an organisation. Cugin et al., (2016:02) argue that normally a control method is practical to careers with little level of skill selection, only affords the uncomplicated level of self-sufficiency, and reduces spending on people management. Therefore, as the outcome, academics agree that it cockeyed with ongoing healthcare transformations and limitations and discouraging staff.

According to Penninckx et al., (2017), even if there is sufficient literature on the possessions of consistent classifications, it remains tough to recognize vibrant strategies for the intention of an operative monitoring structure. This is essentially because of two complications: (1) the point that an excessive agreement of the literature is involved on the possessions of high-stakes departure assessments prepared from an answerability-adapted to control perception, while there is a fewer indication about the usefulness of other kinds of observed structures. According to Emil (2007:123), coordination must be assumed as a feedback to the inside and outside evidence which execute everlastingly, the significance judgement between the operational and assessment.

The administration has a direct impression on human products and it significantly decreases non-attendance, slight fortunes, complaints and abandons. It is established that employee takings can be decreased with better controlling health and safety and supervision classification (Manimaran et al., 2014).

The main inspiration for developing control is that it emboldens providers to distribute satisfactory possessions and determinations to market and sell their associates products, and it permits constructions to allocation their proficiency and knowledge vending merchandise to suppliers, which may reduce providers education curve and increase their functioning competence (Ju & Gao, 2017). An individual's sense of control is normally operationalised in two dimensions: personal mastery (in other words the magnitude to which people distinguish themselves as having the capability to encourage or regulate the situation) and superficial limitations (in other words the degree to which people believe there are difficulties or influences outside their control that hamper their goals (Su et al., 2017:100).

2.6 Budgeting

2.6.1 Definition of budgeting

Modern budget classifications were initiated from the growth of the contemporary state in Western Europe in the 16th and 17th centuries when the intensifying expenditures of warfare

were primary to an escalation in taxation. Great Britain firstly implemented the exercise of an annual national budget in the 1780s. According to Reeve and Warren (2008), budget has been defined as an accounting scheme used to strategies and control resources of functioning subdivisions of administrations and divisions. Robinson (2009) argues that in emerging countries, the association of budgetary system is subordinated to the difficulties of eradicating the leftovers of feudalism and colonialism.

Budgets management gears comprehensively predictable for their capability to the sustenance of economic bodies in accomplishing their movement in terms of productivity, effectiveness and economy (Tinase, 2013:01). According to Olaoye and Ogunmakin (2014), budget making and budget application encompass the procedure of empathy of public needs and the formation of the distinction of goods and services to gratified these need through the administrative development, by economic examination with the complete progressive plan. Furthermore, government formulates budget in form of public policy to assist as a motivating strength through which assignment could be accomplished (Oladipupo and Adesola, 2014:59).

Budget has also as a bookkeeping expedient used to organize and regulate resources of Operational Departments of Governments and Divisions. Moreover, these definitions of budget are comparable, but this paper implemented the concept of budget demarcated as a financial and/or quantitative statement, equipped and approved earlier for a distinct period of time (Malgwi and Unegbu, 2012:02). Budget is calculation amount of reserved assets and indemnification tasks to accomplish the intentions of the organization in terms of efficiency and effectiveness.

This characterisation indicates that a budget is a main constituent of development. Unquestionably, budgets are fiscal plans for the prospect through which intentions, as well as the wealth by which to accomplish them, are acknowledged (Raghunandan, et al., 2012:110) argue that the procedure of budgeting comprises setting tactical goals and objectives and emerging predictions for incomes, budgets, production, money flows and other significant influences Setting together a funding and savings strategy in place will permit those accountable for financing of the corporation to regulate what savings can be prepared and how these savings will be financed. Egbiide and Agbiide (2012:50) argue that budget is so important that it is defined as the most significant manuscript of the government in any monetary year. This is because, budget administration imposes financial restraint, promotes macro-economic constancy, increases the collection of packages by satisfying effective and

efficient platforms as well as shapes a culture of presentation and answerability within the government establishment. Lastly, budgeting is a process that transmutes data into decision (Schink, 2007:110).

2.6.2 Budget process

According to Ugoh and Ukpere (2009:840), budgeting is a series of processes before it turns out to be both a law and an economic instrument. Budgetary procedure encompasses all focuses, sequencers and administrative components of an object in the improvement of the intermittent budget. It refers to the entirety of the processes a budget goes through before it finally becomes a document. Moreover, budgeting is not a standalone process, removed from the other channels of government action.

According to OECD (2014:01), good budgeting is reinforced by, and in opportunity provisions, the numerous supports of contemporary public governance including truthfulness, openness, participation, accountability and an intentional methodology to planning and achieving national objectives. Furthermore, budgeting is essential supporting in the construction of faith between states and their citizens. Moreover, budgeting is not basically the reservation of central governments; it is a process that is inclusive of all levels of government (national and provincial and local) where diverse commands and levels of independence are spread over in diverse countries.

Budget systems and procedures should be coordinated, coherent and consistent across levels of government. These budget philosophies are therefore applicable and should be functional and suitable to all levels of government (OECD, 2014). Budgeting period refers to the stage which continues the cycle of distributing resources for each platform for the financial year and should answer questions about the quantity of funds and the period in which the money should be distributed to implement its tasks (Radiski, 2010:30).

From the above, good budgeting necessitates comprehensive organisations overriding the provision of funds, budget implementation arrangement that function within the rule of law, accounting systems that have reliability and examination systems that arrange for a declaration on the excellence of financial material and classifications. The foregoing entails that for a budget to be pronounced as ‘good’, the method must be efficient, effective and transparent (Egbide and Agbide, 2012:53).

The budget is utilised as a mechanism to band the movement of assets. The regulatory feature of budget enables to monitor and ensure that every necessary step to accomplish the budget is accounted for. Other meanings of the budget as backed by issues regulated to commercial capacities of predictable incomes and genuine expenditures, making available incomes for implementation of developments, actions as a means of payments and balances in financial management, and contributing places for appropriate examination and accounting of public revenue (Malgwi and Unegbu, 2012:02).

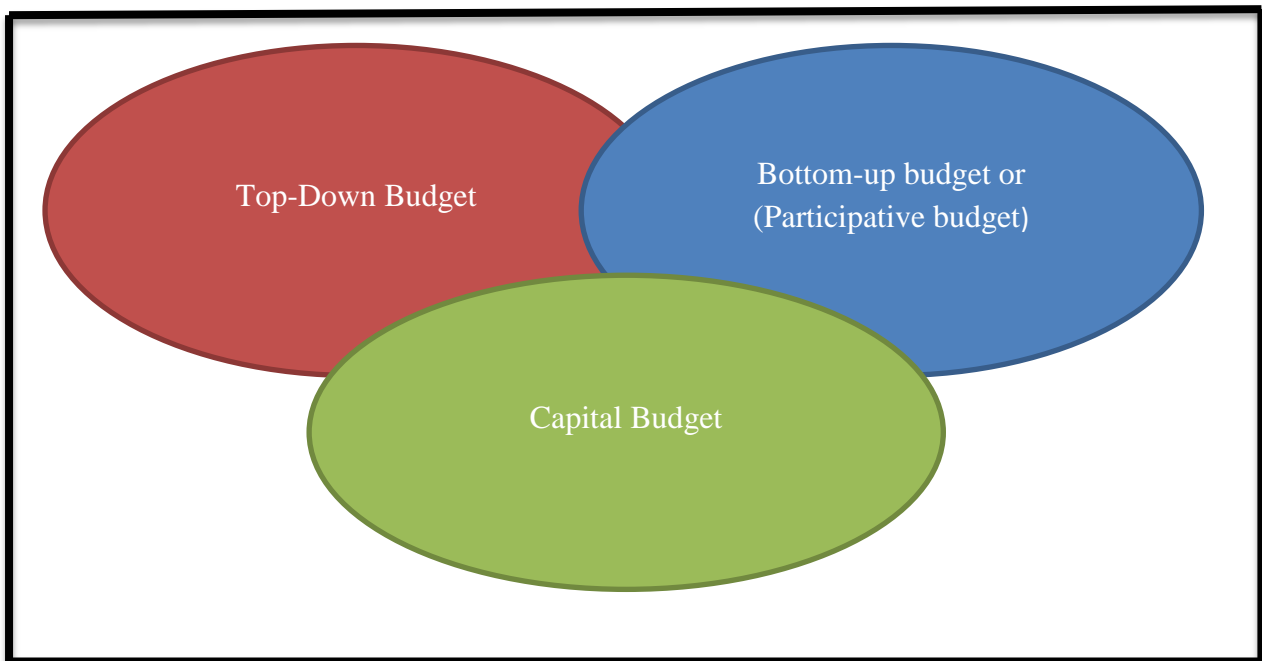
Even though budget planning is not the individual things that need deliberation in budgeting, the foundations of it are still desirable in order to have it at slightest close approximation. It means how the actual budgeting would be in regulating the accomplishments of any association rest fundamentally on the ecological unpredictability under which such budget is a function (Oladipupo and Adesola, 2014:60).

Budget cooperation and worker contribution in its improvement are an essential step. So, their distribution should be done efficiently. Employees know better than their managers the accomplishments that they complete, their consequences and what possessions they need in order to attain the stated objectives (Tinase, 2013:03).

The accounting subdivision of each department or additional governmental subdivision is commended with the comprehensive record keeping involved in the financial operation of the ministry. It is usually the duty of ministry of finance through the office of the accountant (Ioryer et al., 2017).

According to Joseph (2014:14), the budget creation process usually is determined by each institutional context. Some institutions follow a top-down or instructed approach while others follow a bottom-up or participative approach.

Figure 2. 4: Top-Down, Bottom Budget and Capital Budgets



Source: Researcher (2017)

2.6.3 Top-Down Budget

Top-down budgeting is a technique for assigning funds to activities in which agency expenses restrictions are established together with the objectives by the chief executive officer of the administration, while organization heads are allowable to reach their objectives in the method that they believe to be the most effective (MPMF 2013:86). This methodology commences with upper-level management creating limitations under which the budget is to be organised. Lower-level employees have slight input in setting the complete budget intentions of an establishment. The method has a main weakness as lower-level managers may interpret the practice as authoritarian because they may find themselves in a situation of ever-reaching to accomplish objectives for their components and as a consequence may generate goal deviation (Joseph, 2014:14). On the positive side, the top-down approach affords operational communication manoeuvre within an administration. Moreover, top-down methodology promotions managers to sustain financial mechanism over the budget which is problematic when the bottom-up approach is used.

2.6.4 Bottom-up budget

The participatory budgeting procedure has increased great implication over the years, as the importance given to its use became progressively higher. Budgetary participation indicates the participation of dependents in budgets setting. Following this further, Involvement in the budgeting development encompasses inspiration of employees over the final budgets Participatory budgeting, by transparency and communication, guarantees a reasonable distribution of resources. Encompassing workers in the budgeting practice and empowering them to impact the final budgets, creates subordinates to mature a positive approach concerning superior and budgets (Tinase, 2013:03).

According to Joseph (2014:15), the bottom-up to budgeting is valuable when lower-level managers enthusiastically are involved or engaged in the budgeting procedure. Participation enhances dependability to the budgeting development and generates better obligation and responsibility concerning the budget because budgets are established by management but the people to comprehend the budget principles are the staff. Moreover, participation must be highlighted; it has a massive prospective for reassuring communication of organisational objectives, enlightening assertiveness towards budgeting classification and accumulative performance success.

2.6.5 Capital Budget

According to Hasan (2013:38), capital budget can be defined as the whole method of producing, assessing, choosing and following up on capital expenditure. Capital budgeting is the technique of creating planning judgments and examination of prospects for long-term savings to produce profits more than one year (Lunkes et al., 2015) Subsequently, capital budget speculation pronouncement compacts with a huge sum of fund, honourable consideration have been given in creating a decision.

The capital budgeting comprises practices, approaches and systems used to recognise savings prospects, to improve preliminary philosophies into explicit speculation proposal, to estimate and select a venture and to regulate the savings development to measure projection correctness (Kengatharan, 2016). Commercial capital budget and price of capital approximations are among the most significant judgments made by the monetary manager. In this method, it is critical that organisation use correct approaches that will lead to the enlargement of investor wealth.

Over time, a manager has to castoff numerous commonly taught capital budgeting representations and cost of capital approximations technique. However, the use of representations has not always been associated with collegiate finance training (Ryan & Ryan, 2001). In addition to the accurate practice of the monetary performance, literature offers many endorsements for its administration and other provisions for resolutions on capital budgeting (Lunkes et al., 2015:41).

2.7 Summary

This chapter has providing insights regarding the topic under study through a comprehensive review of the literature. The chapter demonstrated that most of the literature was of the view that planning, organising, coordination, control and budgeting is the cornerstone through which most organisations ensure efficiency and effective in management. Furthermore,the chapter shows that management principle assists public sector managers to ensure a high standard of service delivery at all times as outlined within the context of POSDCORB. It is these elements that will be used as a framework to explore the objectives of this study.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

This chapter presents the research method used in this study. The notes that the qualitative technique was preferred for research. The chapter also presents the study design, sample and sampling as well as the data collection strategies deployed in the course of implementing the research. Finally, the chapter discuss the data analysis technique that was employed in the study.

3.2 RESEARCH DESIGN AND APPROACH

3.2.1 Research designs

The designs obtainable to the investigator have developed over the years as computer technology has progressed our information examination and capability to scrutinise intricate models and as persons have expressed new techniques for guiding social science research (Creswell, 2014:12)

Yin (2014:28) defines research design as a rational plan for getting from here to there, where there may be defined as the preliminary set of questions to be responded, and there is approximately set of assumptions about these questions. Among here and there may establish an amount of main steps, comprising the gathering and investigation of applicable information. Therefore, each category of experimental research study has implicit, if not explicit, research design. In the component of logic, the design is the consistent structure that associates the experimental data to a study's original research questions and, eventually, to its conclusion.

This study used the qualitative research design as the strategy of enquiry, as the researcher conducted an in-depth search of the literature, interviewed experts in the field, and conducted focus group discussions. Furthermore, out of these diverse sources of information, the researcher pieced together indepth analysis related to an examination of the record management and archives process at the eDumbe Community Health Centre.

3.2.2 Research Approaches

These are plan and procedures for research that span the decision from broad assumptions to detailed methods of data collection and analysis. It involves the intersection of philosophical assumptions, designs, and specific methods (Creswell, 2014:247). The qualitative investigation explores attitude, conduct, and knowledge using such approaches as interviews, focus group. Following this further, this procedure involved using numerous stages of data collection and the modification and interrelationship of categories of information. The study interviewed senior officials of D.O.H who have experience in records management. The study explored the situation where documents are lumped together with no sequence or mechanism due to space challenges.

3.2.3 Study Site

The study was conducted in Kwa-Zulu Natal Department of Health utilising one of the Zululand Health District Facility called eDumbe Community Health Centre where the population exist. This took place from 18 September to 25 October 2017. The reason for selecting eDumbe Community Health Centre was that it was one of the sub-districts under Zululand Health District facing the problem related to record management.

3.2.4 Population

A population is the complete fixed of fundamentals or cases from which cases are taken. The investigator created the dissimilarity among a population, the world of individuals to which the study could be isolated, and sample, the separation of people from the inhabitants who will participate in the existing study (Vanderstoep & Johnston, 2009:26). The study targeted senior officials of eDumbe Community Health Centre and District Director of the of the D.O.H. Issues regarding management of records in their components were directed to them in terms of auditing and inspection.

3.2.5 Sampling strategies

Sampling is significant because in most instances, it is neither nor practical to study the entire population (Vanderstoep & Johnston, 2009:26). Participants in this study were selected by means of a purposive (non-probability) sampling. In purposive sampling, the researcher uses his/her judgement in selecting the sample that are positioned to answer the research questions.

3.2.5.1 Sample size

The study comprised 8 participants from the D.O.H most of whom are based at the eDumbe Community Health Centre. The choice of research methods for data collection was one on one face interviews with the participants. The location of the participants within the D.O.H and the eDumbe Community Health Centre are shown in Table 3.1.

Table 3.2 Participants

Respondent Reference	Designation	Organisation	Role
R/1	Deputy Director Records Management	KZN- Health Head Office	<ul style="list-style-type: none"> Responsible for Management of record for the entire KZN-Health which consist of 72 hospitals and 11 CHCs. Responsible for the creation of record management policy in D.O.H, record inspection and record management training facilitation. Vast experience managing records and very clear about the status of record in D.O.H
R/2	Chief Executive Office/Medical Manager	eDumbe Community Health Centre	<ul style="list-style-type: none"> Accounting Officer for the eDumbe CHC Sub-District. Responsible for ensuring efficient and effecting management of eDumbe CHC. Interviewed to get the status-quo of record management within the eDumbe CHC and to advise how the problem can be addressed.
R/3	Deputy Director Nursing	eDumbe Community Health Centre	<ul style="list-style-type: none"> Responsible for entire Nursing Components at the eDumbe CHC. Member of Executive Committee for the eDumbe CHC. Accounting for all the record

			<p>generated by the Nursing Component at the eDumbe Sub-District.</p> <ul style="list-style-type: none"> • Manage Maternity section which generates record carrying high value within the facility.
R/4	Finance Manager	eDumbe Community Health Centre	<ul style="list-style-type: none"> • Member of Executive Committee for the eDumbe CHC. • Managing record for Finance and Supply Chain Management (SCM) within eDumbe CHC. • Interviewed to get his view on the status quo of record in both the Finance and the SCM. • To advise on the availability of budget to support Management of record within the eDumbe CHC.
R/5	Human Resources Manager	eDumbe Community Health Centre	<ul style="list-style-type: none"> • Member of Executive Committee for eDumbe CHC. • Interviewed to advice on the status quo of record within HRM at the eDumbe CHC. • To advise on the availability of training due to record management staff in the facility.
R/6	Systems Manager	eDumbe Community Health Centre	<ul style="list-style-type: none"> • Member of Executive Committee of eDumbe CHC. • Member of the Zululand Health District Record Management Committee. • Custodian of Record Management within the eDumbe Sub-District • Interviewed to advice on the challenges they face in the management of record within the facility. • To advise on the current status as well as what can be done moving forward.
R/2	2X Record Management Staff	eDumbe Community Health	<ul style="list-style-type: none"> • They advised on their daily experiences

Source: Field Data, 2017

3.2.6 Ethical consideration

According to Vanderstoep and Johnton (2009: 12), research ethics compacts with how we give those who contribute to our study and how we handle the information after we assemble it. Ethical connection and practices are also important features of the quality of research. Guiding research in an ethically comprehensive method improves the quality and honesty of research (Rule & John, 2011:111). The study ensured that the protection from harm of all participants to harm. The participants were told about the nature of the study directed and given choices to participate or not participate. The study ensured that participation was strictly voluntary. Privacy and confidentiality was maintained between the researcher and the participants. The researcher reported their findings completely in a truthful method under no situations the researcher fabricated information to keep specific assumption. The researcher submitted a proposal to Internal Review Board for approval before any data was collected. Codes of ethical standards were respected by the researcher when during the process (See Appendix 5).

3.2.7 Data Collection Methods

Table 3.2 indicates how data were collected

Table 3.2: Data Collection Methods

Data Collection type	Description
Qualitative Observation	Researcher took field notes based on the semi-structured and unstructured method. Observations were conduct from 08 August 2017 to 10 October 2017.
Qualitative Interviews	Face to face interviews were conducted with various managers and staff. These interviews were conducted between 11-25 October 2017.
Documents Review	Record management policies, procedure manuals, and journals related to record management in the D.O.H and the public sector in South Africa were scrutinized and were obtained from the D.O.H intranet and the website of the Department of Art and

	Culture as custodian of record management in the public sector in South Africa.
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3.2.8 Primary data

Primary data refers to the kind of data which the investigator assembles straight from the field. Furthermore, it is stated to as first-hand data attained from the field. It normally collected through numerous approaches such as observation and interviews (Joseph, 2014:35). The following include primary and secondary methods were utilised.

3.2.9 Interviews Schedule

Interviews frequently involve one on one conversation between the researcher and research participants; a kind of directed conversation. The interview is supplementary than just a methodical talent. It necessitates planning, interpersonal skills and communicative (Rule & John, 2011:64). Face-to-face consultation allows a broader network of communication. Furthermore, this procedure may enable the researcher to ask to follow up questions centred on participant's reaction to prior questions thus allowing deeper examination of matters (Vanderstoep & Johnston, 2009:88). Furthermore see (Appendix Two)

The interviews were conducted using face to face technique as opposed to telephonic mail interview. (See Appendix One copy of email). This was the chance to determine whether the participant understood the interview and further to accept voluntary to participate in the research (See Appendix Two copy of consent letter). The study did not subcontract the data collection process, bearing in mind that he wanted to capture verbal and non –verbal appearance of the participants.

The interviews were done on the site where the participants are located with the objective of ensuring that the interviewees were comfortable. Furthermore, participants are more happy to relax in their location rather than utilising different site for the interview. Most of the senior officials of D.O.H were more likely to travel in and out of the office due to the nature of the business in the D.O.H. Moreover, as the participation was voluntary, some officials would find it difficult to travel out of their work area due to the transport cost unless the study was funded. The interview process was allocated between 30 to 45 minutes with each participant.

3.2.10 Secondary data

According to Joseph (2014:36,) these embrace information that have been previously composed and readily accessible from other sources. It includes all published or second-hand data such as books, journals and statistics. This kind of information is more accessible compared to the primary data.

The researcher collected information from journals and books related management principles and record management. Department of Health Record Management Section presentations, reports, policies and Circulars were also utilized by the study. Newspapers were also part of the secondary data collected in this paper.

3.2.11 Data Quality Control

The study was very consistent. Reliability and validity were explained by the study. Furthermore, trustworthy, credibility, dependability and transferability for qualitative method were explained. The study employed and used qualitative interview etiquette for probing questions recording responses throughout a qualitative consultation.

3.2.12 Data analysis Interpretation

The following steps were followed by the study when analysing the research data:

Step 1: Organising and prepared data (such as recording interview, optically scanning material, and typing field notes)

Step 2: Reading or looking at data to understand what the participants is saying

Step 3: Coding all of data

Step 4: Using the coding process to generate data description.

Step 5: Advancing how the description will be presented in qualitative narrative

Step 6: Lastly, interpretation of the data

3.3 Conclusion

This chapter has presented the research methodology, approach, design and strategies that were used in collecting data. The significance of this chapter is that it delivers the basis for the reliability of the recorded data. The technique of collecting data is important in creating this reliability. As indicated earlier in the chapter, the researcher used the qualitative method as the strategy in which (8) officials from the D.O.H were interviewed. The eight compromising officials of the eDumbe CHC and one official from the Head Office. The next chapter presents the analysis.

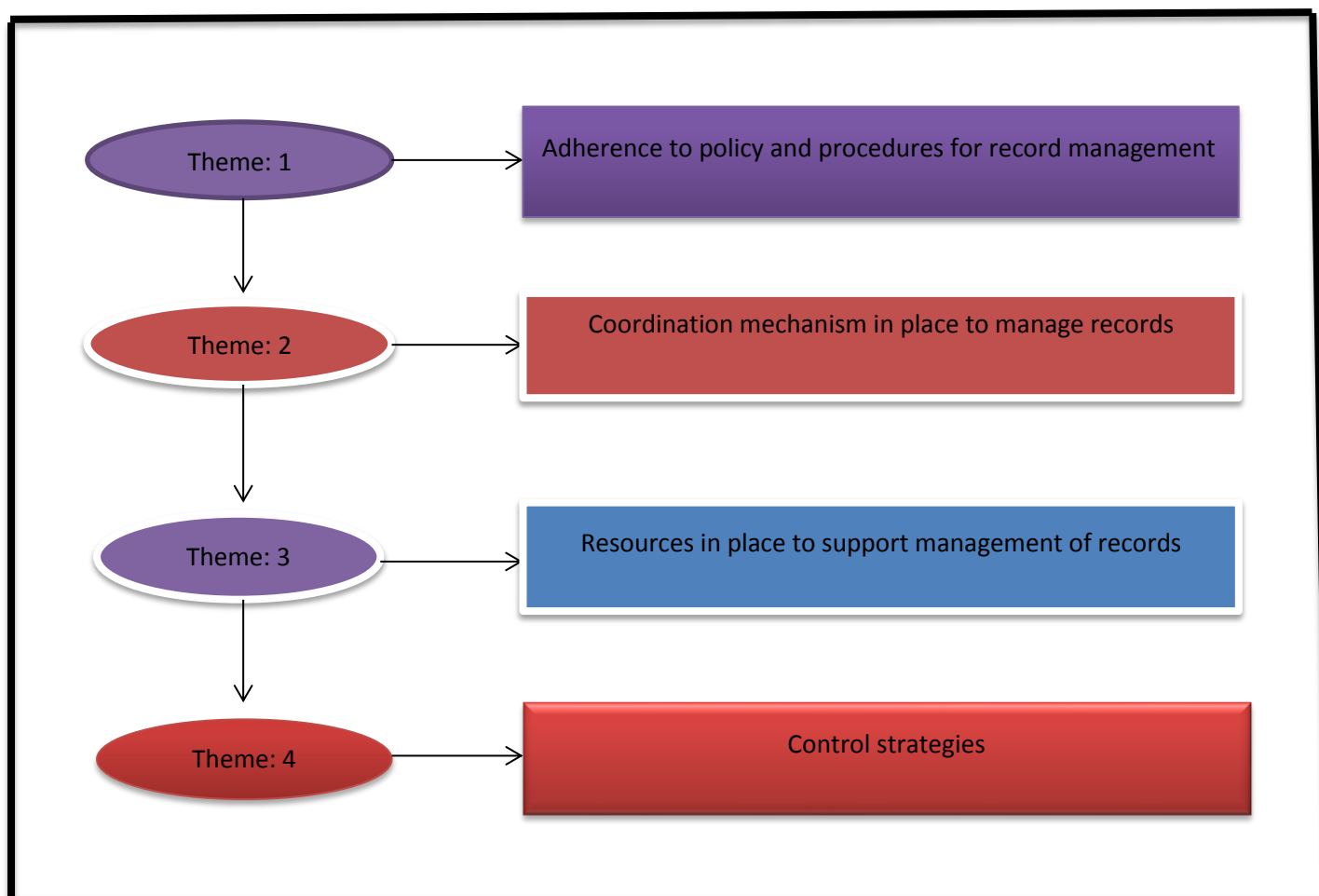
CHAPTER FOUR

PRESENTATION AND ANALYSIS OF THE FINDINGS

4.1 INTRODUCTION

This chapter presents the research findings of this study. This is done in keeping with the thesis' overall purpose in its attempt to an examination of the record management and archives process within the eDumbe Community Health Centre. The discussion of findings will be done in light of the reviewed literature in chapter two and in line with the research objectives highlighted in Chapter One.

4.2 SUMMARY OF THEMES



Researcher, 2017

4.21 Themes: Adherence to policies and procedures for record management

This theme was associated with the main research question of trying to determine whether the eDumbe Community Health Centre adheres to policy, rules, and procedures for record management. The researcher wanted to find out respondents' on the extent to which the eDumbe Community Health Centre adheres to policy, rules, and procedures for record management, what they think, and what might be the issues leading to status quo.

4.2.2 Theme 2: Coordination mechanism for manage record

Managing records of any institution inevitably draws on a multiplicity of unity that needs to coordinate activities to ensure efficiency. This theme was associated with one of the research objective to determine from all respondents the coordination mechanisms in place to manage records within the eDumbe Community Health Centre. Furthermore, this theme assisted the researcher to have an idea whether the participants understand the holistic approach required to manage records. This themes also aimed at finding out from the participants whether they understand that all the records received and generated on daily basis belong to the state, and that the state has to determine what should happened with those records.

4.2.3 Theme 3: resource in place to support management of records

This theme is related to another research objective which was trying to determine what resources are in place to support management of records within the eDumbe Community Health. The study aimed to find out from all the participants their thinking regarding the control mechanism that can be implemented as the standard method to ensure good management of record in the health facility. All the respondents repeatedly mentioned the challenge of the lack of manpower, as well as infrastructure and budget constraints. The responses to this are clarified under presentation of the findings.

4.2.4 Theme 4: Control strategies to support record management

Lastly, this theme related to the final research objective which was trying to determine the control strategies in place to manage record within the eDumbe Community Health Centre. The research aimed to find out from the respondents if the eDumbe Community Health has enough resources to ensure effective and efficient management of records. Furthermore, the research sought to establish the kind of resources the study participants think is more critical

at this stage. The majority of the participants agreed on one specific method to be utilised by all the health facilities as control strategy to manage the movement of patient records.

The above themes represented the objectives of the study and are analysed more deeply below.

4.3 PRESENTATION OF THE FINDINGS

4.3.1 Adherence to policy rules and procedures for record management

a) Introduction

This research objective was formulated in relation to record management policies available in the D.O.H. The study participants were also asked about their general understanding of record management, their thoughts about whether record management is significant within the eDumbe CHC and what they think is the status quo of record management in the health centre. These three questions assisted the respondents to develop a clear idea as to whether the eDumbe CHC adhere to policy rules and procedures for record management. This section will present the findings on the adherence to policy and procedures record management.

b) Understanding of record management

The researcher created this question to find out from the participants the level of knowledge related to record management as some of them work in patient's record management and others in managing records in their respective departments or units within the eDumbe Community Health Centre and the D.O.H.

The information gathered did not indicate that the heads of departments/units have a clear and formal understanding of record management for their respective departments. Furthermore, the only time when they turn to understand record management is during the assessment and inspection of sections by the Head Office Record Management Team, otherwise they do not understand record management and they don't care.

c) Definition of record management

Respondents 1, 5 and 8 define record management in similar fashion as the method of having a specific system so that we can monitor our record for proper disposal and for proper archiving of records. Respondent 3, 4 and 7 define record management as documents that are

generated on a daily basis in the form of hard copies, electronic, CD Romps, Circulars, policies and USB's.

As far as the D.O.H is concerned, there are regulations and procedures involved in the process of record management. Respondent 2 defined record management as critical for the use of referencing for the future research. Respondent 8 who hold the highest position in record management within the Department of Health define record management in relation to the Kwa-Zulu Natal Archives and Record Management Services Policy Act (Act 08 of 2011) as follows:

‘‘It is the process where-by you ensure proper creation, maintenance, use and disposal. It is very important to maintain those records you create, maintain and dispose because if you don't do that you are in trouble. Furthermore when talking about disposal it mean to destroy the record or transfer to archives’’ (Respondent 8. 24/10/2017).

c) The importance of record management

According to all participants, record management is very important even though they vary in their view when explaining the significance of record management within the eDumbe CHC and the D.O.H. Most participants believe that record management is important in terms of keeping information for the patient, for future research, and for legal use when required by the Court of Law. Others believe that information should be accessible when required at any time.

Respondent 4 has a different view although he still collaborated and agreed with other participants about the importance of record management. The respondent claims that, if you just check the allegation against the D.O.H that speaks volumes of the importance of the records management. For example, according to the latest information, the D.O.H has been paying millions of rand to the lawyer for medical claims. Often, lawyers suing the department on behalf of their clients are in the possession of the claimant file, which raise questions how they got hold of the patient record in the first place. A respondent noted this as another loophole for the department that need to address immediately. The respondent recommended investing in safe keeping of patients' record rather than investing in litigations.

Respondent 8 said that the significance of records management lies in the fact that it is the cornerstone for good governance for the Department of Health. The respondent noted that

“One cannot do anything without the record management as everything is based on documentation at this stage in the D.O.H. Furthermore, according to Max Weber documentation it is the elements of bureaucracy”. (Respondent 8. 24/10/2017)

Respondent 6 mentioned that firstly, there was an electronic system which was implemented in particular hospital like Inkosi Albert Luthuli Hospital and North-dale Hospital if not mistaken. Secondly, they were not too satisfied with the system. Finally, we do not have the system although we bought up the issue several occasions it has been not materials. Furthermore, this situation makes him feel that hospitals in urban areas are treated better than those in rural areas.

The observation indicates that, some departmental managers like SCM have previously destroyed their tender documents without consultation or asked the permission from the Record Manager at the H/O. Furthermore, without consulting the Record Control Schedule of D.O.H which stipulates how long you should be keeping certain records in your department/units as well as how those records can be disposed.

d) Status quo of record management with the eDumbe CHC and Department of Health

The status quo of record management at the eDumbe Community Health Centre and the Department of Health were explained in various terminologies by the participants. Some of the participants said that the status of records management at the eDumbe Community Health Centre was citing the existence of appropriate system more especially in the respective sections. Some respondents stated that records management at the health facility was at the teething stages noting that that there are still gaps and lot of things still needed to be done when it comes to record management in the Department of Health.

One of the participants mentioned that she has been with the Department of Health for than 10 years and that it was the first time hearing changes in terms of record management. Another participant mentioned that the status quo at the moment is poor and terrible but that the D.O.H was in the correct direction since it has started sorting out its record management.

Respondent 7 mentioned that ‘ *the status quo is very poor, as files are kept in boxes with no particular order and files are not referenced in line with the approved file plan of the D.O.H although there was a process to address the shortcomings.*

Respondent 6 mentioned that the status quo of record management within the eDumbe CHC is poor. *‘‘The problem is that everyone want to be the custodian of the records as they have faith of handling out those record rather than given to the second person. In terms of confidentiality of the documents they believe it will be compromised if it is handed over to certain person. Policies are also creating a stumbling block by not having been change to inter act with record management policies. (Respondent 6. 18/10/2017)*

e) Adherence to policies rules procedures

Overall, 7 out of the 8 participants agreed that the eDumbe Community Health Centre adheres to policies, rule, and procedures of record management. Respondent 2 said *‘‘The eDumbe CHC is adhering to policies rules and procedure of record management but to the certain expense for example the institution is trying to work and keep our record in line with relevant policies’’. The respondent further noted that ‘‘People have been allocated responsibilities of managing record in the Department of Health and eDumbe Community Health Centre so they need to take accountability of what is happening at the moment. Furthermore, as the head of institution will also take full responsibility of record management as part of my duties as well. Another example some of us think that our duties is patient care but we forgot the critical parts which is record management’’. Respondent 3 made a similar point stating that ‘‘although the health facility have challenges but policies need to be enforced. For example if want to discard the record you need to provide proof that is due for disposal. It was also mentioned that, Finance components have started sorting, batching and listing their record for archives purposes. Maternity sections have started but they are struggling as they haven’t sorted their record for the past 12 years. One of the participants mentioned that if the institution have started with the with archive process many years ago it wouldn’t have in this situation it is facing at the moment’’* Another respondent emphasised to be mindful of the appropriate orientation of staff in record management.

The process is still with the Systems Manager that the training hasn’t been cascaded down to other areas. For example section like Human Resources (HR) and Supply Chain Management still believe that still need to be governed by their own policies or their scope of work not in terms of record management policies. Another example SCM will say they got contracted documents which need to keep in our lockable offices. Another point is the manner which Admissions Components works, they will have the file given straight to the nurses. The nurses will keep the file in agreement will the patient as the results the Admission section will lost the track of the file. Therefore, the above examples were the method to show that the

eDumbe Community Health Centre are not adhering to the policies rules and procedure of record management concluding respondent 6.

During the observation process some of the staff members were asked whether they know where to find record management policies in the D.O.H intranet they said no. They further mentioned that, why they should be worried with something that is not part of their job description. The facial expression indicates that what you asked them irritate them especially section like Human Resources and Nursing units.

4.3.2 Coordination mechanism in place to manage records

According to respondent 1, collaboration mechanisms are in place to manage records within the eDumbe Community Centre. The respondent noted that *“are coordination mechanisms in place such our numbering filing system which makes it easier for us to retrieve our files. Furthermore, facilities also have electronic systems which also work as indexing which makes it easier for us identifies patients’ records”*. According to respondent 2, coordination strategies are possible to achieve in the facility as they can sensitise the staff about the importance of record management. The respondent noted that it is important to teach staff how to manage record properly to make sure that the health centre can have positive outcome. The respondent agreed that there are weaknesses in record management at the health centre as evidenced in the location critical record in the wrong places which compromises the department. According to the respondent, *“the health facility is in the teething stages we will continue educating staff and monitor them on a daily basis”*. Another respondent mentioned that there are coordination strategies in place to manage records stating that,

“Out Patients Section (OPD) do have strategies of managing records however, that need to be strengthens some-where somehow through making sure that the files issued to the patients have been returned back to OPD at end of business day. Furthermore reposition strategies need to be strengthened. Coordination mechanism won’t work out if the management of eDumbe Community Health is not in full support of record management. Following this further, if the Executive Committee (Eco) of CHC doesn’t agree in appointment of Registry Clerks and Record Clerks it seems means our coordination mechanism will simply collapse mind you will all the hard work have been put forward by various in support of records management” (Respondent 4. 17/10/2017)

According to respondent 5, the health centre is not doing well in terms of coordination strategies more especially on the Nursing Components. For the respondent attributed this shortcoming to the fact that the Nursing Components is always coming out with new policies related to them in which they enforce in the existing system at the health centre thus changing the ways records are managed. The participant further noted that *“those policies changes should be coming from or Head Office level advising us on changes as well telling how is the institution is going to incorporated the old system to new system”*. The participant also cited another example of *“nurses always taking patients files in the Admission area while doing their programs without following the procedures in place when requesting a file. In the Admission are they have the borrowing book which tell us how many file are out, when those files will return and which are those files but these are not followed”*.

The above reality creates a situation where staff do not know what the nurses are doing with the patient file, how long it is going to take and when they return it. According to participant 5, the issue of not following procedure by the Nursing Components contributes to duplication and loss of files within the health facility.

Respondent 6 mentioned that, *‘there are procedures within the sections that guide how they manage their files in their respective working places. The participant noted that Human Resources also have their own procedure for record management. The participant however noted that overall, record management at the health facility are uncoordinated for example Transport Section that is no particular way that needs them to reference their records, but they are able to form their methods to manage their records. According to the participant, the different units acts in differently even through there are mechanisms in place for coordination. To solve this problem, the participant is of the view that it will take the Head Office Record Management Section to contact Head of Human Resources and Head of SCM to look at their method of record management and come out with solutions to incorporate them into correct record management procedures’*

According to Respondent 7, in terms of coordination mechanism workshop and training should be conducted with the entire staff at facility so that people will understand record management. The participant noted that collaboration between the nurses; doctor and admin staff to ensure that all files return to Admission Section every day should form a core component of such training.

Another respondent mentioned that in terms of coordination strategies:

“The Department of Health has a General File Plan and Human Resources File Plan approved by Provincial Archives. Furthermore, those file plan cater for correspondence where you write letters and other response. D.O.H also have the Record Control Schedule where it list its own registers and reports that cannot filed on the file. Moreover D.O.H also have Circulars that is issued in terms of record management that are also used as coordination mechanism to ensured that record are properly managed ”(Respondent 8, 24/10/2017).

All 8 respondents agreed that collaboration strategies could be created to standardize the whole process of record management in the D.O.H. The respondents noted that having one common system should be ideal for the D.O.H. Although they noted that the common system could be manual, they suggested that an electronic record management system will go a long way in standardising record management particularly in light of advancement in information technology in contemporary society.

4.3.3 Resource in place to support management of records

All 8 respondents agreed that the D.O.H does not have enough resources to management records. They reported that a similar problem is evident at the eDumbe Community Health. The participants also mentioned that it is very difficult at the moment to address the issue of resource constraints because the KZN D.O.H is faced with serious financial crises. Findings of the research in relation to each item are further presented below.

a) Budget allocation

Although most respondents identified budget constraint as a challenge to effective record management, respondent 1, held a different view. According to the participant, the budget is available and enough to address the challenges of record management. Unlike respondent 1, respondent 3 has a different. Respondent noted that *“unfortunately the eDumbe CHC don’t have budget allocated strictly for record management”* (Respondent 3, 16/10/2017). The above statement was supported by another respondent who mentioned that *“as far as budget D.O.H has not allocated budget in this financial year to say it is for maintenance of records”*. According to them, this is evident in the fact that the department is showing lot interest in management of record lately.

According to the respondent 6, the D.O.H only accommodates infrastructure such as office, still cabinet, mobile file, computer, desk, HR resources and stationery. Besides these, no

other that no resource allocated to a staff. The respondent noted that *“injecting more money into record management will be a better idea rather than spending on litigation because that will reduce litigations”*.

Respondent 8 mentioned that *“D.O.H have limited resources because it does not have enough money and they still based on paper. At the same way, they are moving slowly towards the electronic management of records”*. Record Management section in the Head Office does not have budget allocated to them they only rely on budget allocated for Corporate Governance to sort both for electronic and paper based records for them” concluding respondent 8. Furthermore, when we look at Budget vs Expenditure at the D.O.H the admin (post) budget objective covers items such as franking machine, fax/telegram, printing cartridge, printing papers, stationery and office equipment. This gives us an indication that there is no budget clear allocated for maintenance and monitoring of record management within the D.O.H.

b) Staffing

Most of the participants believe that the issue of manpower has been a stumbling block in the past 3 years in the D.O.H. They linked this shortage to the introduction of a moratorium of hiring administration staff. The participants are convinced that moratorium was only directed at the D.O.H. Commenting on the shortage of manpower, one noted that *“it is true that “doctor and nurses are co-function of the Health Department but unfortunately they won’t function alone without support function such as Human Resources, Finance, Supply Chain Management and Systems”*.

Another participant mentioned that they are in dire need of Admission staff. However, hiring more staff was impossible in the current climate of financial constraints.

There was a concern from one of the participants regarding overworking the Admissions staff as they have to issue files to the long queues of patients. The participant noted that the same are also expecting to maintain and archive record which is impossible. To address this challenge, the respondent noted that the D.O.H should focus on employing more nonclinical staff because

‘Most of the hospitals don’t have enough staff they are also complaining that they have a problem of lots of files. Furthermore, other health facilities do not have Admission Supervisor to manage the entire patient record section, they rely on Admission Clerk who do

as they please. Having Admission Supervisor will eliminate a lot of problems. Isolezwe on 24/10/2017 page 08, reported about missing of patient file public in hospitals urging the people to stop stealing files rather follow the protocol as they have right to access of information'' (Respondent 8, 24/10/2017).

c) Infrastructure

The participants alluded to the fact that most of the health facilities were built a long time ago without any thinking about spaces for record management. The eDumbe Community Health Centre falls into this categories of health facilities. Participants one mentioned that the infrastructure at eDumbe Community Health Centre is not suitable because is it extremely small compared to the population it services. Participant 2 raised a similar issue stating that the current infrastructure not sufficient for maintaining their records. Because of the limited space available for records management, no space that was allocated for archives of records at the facility. The state's vehicle garage has been converted into archives as a temporary measure.

Unlike the participants who reported critical shortages of space for record management, one participant maintained that the eDumbe CHC enough space for record management. The participant attributes the current shortage to inefficiency in records management arguing that

"The critical part is this, if the eDumbe CHC can speed the process of archiving and disposal that can assist this health facility to have more space. Basically the transaction can assist a lot'' (Respondent 5, 17/10/2017).

To address the problem of infrastructure constrain in records management, one participant noted that *"it is time for the Department of Health to move away from paper based record management because of the following reasons: the hospital created a long time ago failed to create repository when they can keep the files. Furthermore, they can't start building again. The only option they have is to build the central repository for the Department of Health. The second option is to create electronic based system where the documents created can be scanned and stored"* (Respondent 8. 24/10/2018).

Due to the unavailable of space at the admission area, the files are over- crowded which make it difficult for the Administration Clerks to find the file on time. Furthermore, this course patients to wait little bit longer than what is expected. The observation indicates that Administration Clerks are creating duplicate files each every ten minutes as they running

away from spending more time looking the file as some of the files kept on the floor and on top of falling wooden shelves with no particular order.

d) Training and Development

It was alluded that training and development staff in terms of record management is also moving in the slow pace in the Department of Health. The research also finds that some record management staff has been with the eDumbe Community Centre for over 10 without undergoing a single training on record management. When training does take place, they are focused on the clinical side of the department as they are the core function of the department.

Another participant mentioned that the failure to train Admission and record management staff on record management does have a negative influence in terms of ensuring efficiency and effectiveness in record management. The participant noted that although information is the power base of the department, it is not doing enough justice to it as it is not making sure that employees working with records are trained properly. According to this participant, this matter still needs to be taken to the management level of this institution. Maybe the HRD can to identify this problem and take necessary steps to address it. Another participant argues that the *"Zululand Health District requires somebody to spearhead record management in this district"* (Respondent 7, 18/10/2017).

Training on record management should not only be for record management staff or particularly record management staff only. Training should be for staff across the Department of Health.

‘Provincial Archives Repository used to give the Department of Health Head Office training schedule for registry and record management of the whole financial year. The schedule is normal forwarded to the Systems Managers of all the hospital and CHC's to alert them. Hence Record Management H/O always provides hands on trainings it is available on request. To be honest Deputy Director Record Management is the only person that deals with 72 hospitals and 11 Districts Office and 22 Community Health Centres' (Respondent 8, 24/10/2017)

4.3.4 Control strategies to support records management

Most participants agreed that when it control and monitoring strategies are required with immediate effect to manage record within eDumbe Community Health Centre. They further noted that such strategies should be a standardised across the entire Department in Kwa-Zulu

Natal. It was also suggested that the monitoring and evaluation duties of managers should be reviewed to accommodate record management.

a) Control mechanisms

Respondent 8 claimed that *“one of the challenges related to control in record management is that Provincial and National Archives talk too much about record management as they supposed to do. They need to tell Heads of various department and senior managers about the significance of record management. Furthermore, they need to visit them, tell them and have enforcement strategies. One of the important things is that all the records created in this Province solely belong to the Provincial Archives”*.

Respondent 8 mentioned that, the most interesting issue is that the National and Provincial Archives are quiet about the issue of electronic records. They tend to refer them to vendors, whereas, they are the one responsible for the records created by the government entities. Unfortunately for the National and Provincial Archives they do not understand electronic system.

Few participants suggested that registers should be created as one control strategy to locate the movement of patients outgoing and incoming files. For example, in instance where patients are very sick and unable to return the files, the availability of that control register can assist the Admission section to locate the where-about of the file. Furthermore, the register will assist with the reconciling process at the end of the business day. Another participant mentioned that nurses should assist in the process of ensuring that all the patients' records are returned to the reception on daily basis.

Another participant claimed that in terms of the National Core Standards and Ideal Clinic, the focus should be based on how records should be managed in the health facility. Furthermore, the security standard they put in place in the Admission area such as access procedures and retractable gate should be part of control measures which is currently not utilized at eDumbe CHC.

One of the participants mentioned a very thorny issue regarding how to eliminate duplication of patient records at Admission area. According to the participant, the issue of duplicates can be reduced by ensuring that files that were removed from the admission are recorded to control duplication.

Another participant noted that number of hospitals including eDumbe Community Health Centre relied on the Security Officers to search patients exiting the facility to ensure that they are not leaving with their file. This study found that Security Officers at the health facility were not searching each and every person exiting the facility. In addition, they were not searching each and every vehicle exiting the facility. Rather, the checks are performed at random. One participant attributed to this the fact that the Security Officers did not want to delay the patients in the afternoon as patients are always rushing for buses because the hospital is located long distance from the homes of the patients.

A respondent recommended the creation of a central point where the files will be placed once the medications have been obtained to avoid missing of files and duplications. However, another participant mentioned that there are control strategies in place but there are gaps since patients are still taking their files from admissions and also expected to return the files to admissions themselves. In other words, the admission and record management staff are relying on patients to return the files. According to the participant, control mechanisms for efficient record management has to involve everyone by arguing that

”The record management is not the duty of the nurses and management but involves everyone including the Security Guard at the gate because those people are also critical. The Security Officers have to make sure files are not taken out from the institution. Furthermore, you have to limit the access to the Admission Area as people did not understand how critical that area is” (Respondent 2, 16/10/2017).

One of the participants claimed that eDumbe Community Health Centre is just getting there as some of the components are trying. However, some components are still struggling to ensure a good control of record management. The matter should be taken to the executive for further discussion on record management.

4.4 CONCLUSION

This chapter presented and analysed the primary data. A total number of four themes have been analysed in this regard. The themes were associated with the research objectives. The first theme looked at the adherence to policy, rules, and procedures of record management. This theme was analysed by looking at the understanding and importance of record management and the status quo of record management before getting the participants’ views on adherence to policy rule and procedures of record management.

Secondly, the chapter considered the coordination mechanism in place to support the management of record. In this theme, participants looked at the collaboration strategies, holistic approach and team work available to manage record at eDumbe Community Health Centre. Thirdly, the chapter looked at the type of resource in place to support the management of record at the eDumbe CHC. In this theme, participants commented on budget allocation, infrastructure, staffing and training and development in place to manage record at the eDumbe Community Health Centre and D.O.H. The final theme tackled control strategies in place to manage record at eDumbe Community Health Centre.

The next chapter will present the final conclusion and recommendations of the study as well areas of future research.

CHAPTER FIVE

CONCLUSIONS AND RECOMMENDATION

5.1 INTRODUCTION

This chapter will present the recommendations as well the final conclusion of the study. The recommendations are expected to provide legislatures/policy makers with information regarding the development of record management in the D.O.H. Furthermore, the recommendations will assist the executive and senior managers of D.O.H with an idea of the current situation in the health facilities.

5.2 CORE FINDINGS

This section presents the summary of the core findings and suggestions of the study. The findings show that there are challenges connected to all themes in the study. The challenges identified in the study have implications for record management. This is consistent with what was found in the literature.

5.2.1 Adherence to policy rules and procedure of record management

The component covers the following as part of the first theme: understanding of record management, the importance of record management and the status of record management in the health facility under scrutiny.

Understanding and importance of record management

The study revealed that problems related to record management at eDumbe Community is also associated with lack of information from the management on what record management is about. The study show that lack of interest regarding issue of understanding record management is what is contributing to the collapse of record management at the eDumbe Community Health Centre. The study revealed that a number of participants asked for clarity about record management ahead of the interview as they were not clear what record management is all about.

The research revealed that another challenge related to record management within the eDumbe Community Health Centre is the lack of understanding and the significance of record management in government institutions. What the study found is that this not a

problem associated the eDumbe CHC alone but the entire D.O.H. For the employee to able to take care of records they generate and received on daily basis, a good background of what they are doing is required.

The status of record management at eDumbe CHC

The research found that the status of record management at the health centre is current poor although a number of components are being addressed following an assessment that was conducted by Head Office in September 2016. The process of doing something by the various components even though it is not something taken as the matter of urgent it is described by other research participant as being in early stages.

Adherence to policy rules and procedures

The finding shows that a number of participants believed that the eDumbe Community Health Centre adheres to policy, rules, and procedures of record management. However, the researcher observed that the body language of the participants did not agree with this. This is further confirmed by the fact that the majority of the participants were unable to list the policies of record management that are available in the Department of Health. Furthermore, the participants were not even interested to ask the researcher where to find this policies in the D.O.H intranet.

5.2.2 Coordination mechanism

The study reveals that there are coordination mechanisms in place to manage record within the Department Health. These coordination mechanisms are available in the intranet of the department which accessible to all employees. For the eDumbe Community Health Centre, the challenge is the implementation and enforcement of these procedures by the relevant managers.

On the other hand this problem is caused by insufficient knowledge of record management from the various managers. Lack of coordination mechanisms is also caused by clinical section of eDumbe CHC believing that records management belongs to the systems section not to them.

The study also found that it will take some time before the employees of the eDumbe Community Health work together to achieve the positive status in terms of records management as signs of resistance are still high from the employees of this health facility.

5.2.3 Type of resources

The study found that there are challenges related to the resource in place to support management of record within the eDumbe Community Health Centre. The research can reveal that there is no budget allocated strictly to manage record in the Department of Health and the eDumbe Community Health Centre.

The eDumbe Community Health does not have personnel responsible for record management except the Admission Clerk who are responsible for issuing, retrieving and collection of files from the patients. The study also found that even the admissions staff is not sufficient particularly in instances when a staff is on sick or annual leave. Furthermore, when this Admissions Clerk are absent from work they use in-service trainees to fill the gap.

The study also reveal that the current infrastructure at the eDumbe CHC is not sufficient to manage the high volume of files as the number of community members coming to this health facility is increasing on daily basis. Moreover, this health facility was created without considering the issue of record management as the centre was also built without Registry Area (Record Central Point).

The unavailability of a Registry resulted in the health facility unable to utilize the approved File Plan of the Department of Health as Registry is the area where incoming correspondence is referenced using the file plan. The study further found that some the employees at admission section have been with the eDumbe Community Health Centre for the past 10 years, but they never undertake any training and development related to record management.

5.2.4 Control strategies in support of management of records

The study reveal that despite the policies, rules, and procedures of record management, there are still gaps in terms of controls to ensure the smooth creation, maintenance and disposal of records within the eDumbe Community Centre. The study also found that the health facility rely on the patients to return their medical record after obtaining their medication from the pharmacy.

The study further found that access to the admission area is not controlled at the moment in the eDumbe CHC as the sign in the entrance door is not respected by the employees within this health facility. The health facility is still relying on the Security Officer by the gate to search outgoing patients to ensure they are not leaving with their medical records. Furthermore, the study reveals that the Security Officers are not searching everybody exiting the health facility; rather, the search is performed at random.

5.2.5 Conclusion

According to Abdulrahman (2015:48), records are significant chronological and legal riggings and are indispensable for the smooth and successful operation of an organization. Furthermore, records create an essential mechanism of administration without which working practices and purpose cannot be implemented.

Notwithstanding, there are many challenges and constraints in the record management particularly in the public sector in South Africa. This study was an attempted to an examination of the record management and archives process within the eDumbe Community Health Centre.

Chapter one offered the back ground by highlighting the problem statement, inspiration of the study, research objectives and questions as well as the short description of the study. In chapter two, the study reviewed the literature on definition of terms, planning, and coordination, controlling and budgeting.

In chapter three, the methodology that underpinned the study was provided. The chapter four presented the main findings while recommendations and conclusion are presented in chapter Five.

The thesis found that record management at the eDumbe Community Health is still experiencing significant problems. Among other things, the lack information related to records management, the lack of enforcement of policy, rules, and procedure of record management, poor coordination mechanisms, unavailability of space, staff and budget constraints, and the lack of control strategies are factors undermining the efficiency and effectiveness of records management at the health facility.

5.2.6 RECOMMENDATIONS

Recommendations were derived from the findings of the study an examination of the record management and archives process within the eDumbe Community Health Centre, D.O.H: KZN.

5.2.6.1 In general, all the policies, rules, and procedures of record management should be made available and explained to employees of the eDumbe CHC. The research recommends that training should be given to employees of the eDumbe Community Health Centre strictly addressing the question of what is records management. This training will assist the employees of the health centre to establish the reasoning behind the importance of information management.

5.2.6.2 The study recommends that in order to ensure effectiveness efficiency, good governance, successful collaboration and holistic approach, the issue of record management should be implemented utilising the top down management approach.

5.2.6.3 The only method that can work or get the attention of health employees is when something is enforced by the Head of Department to the District Directors and the Chief Executive Officer of the Health institutions. Furthermore, the record management should be added as the main function to the job description of the C.E.Os in all the health institutions. The Chief Executive Officer is the accounting officer of the institutions. Moreover, s/he is the only person who can make the executive committee account and take responsibility for records management.

5.2.6.4 The study recommends that the budget should be allocated strictly to deal with record management in the Department of Health. The D.O.H should refrain from budgeting medical litigation and should rather focus on budgeting for good management of records that will decrease the number of duplication and loss of medical records. It is a fact that for someone to launch the claim against the department required the medical record to proof the legitimacy of the claim.

5.2.6.5 The study further recommends that the eDumbe Community Health Centre should increase the number of admission Clerk to at least 2 per shift to deal the influx of records in the admission area. Furthermore, the Registry Clerk should be employed to deal with incoming correspondence and eliminate risk within the health facility. Permanent employees should also be employed to deal with archives in terms of receiving and disposal records.

5.2.6.6 The study also recommends that due to the insufficient space within the health facility, a central archives area should be created for the Department of Health.

5.2.6.7 Another recommendation is the implementation of electronic record management system. In terms of training and development, all the managers and supervisors within the eDumbe Community Health Centre should be trained in record management. Further, the Provincial Archives should give the schedule of their trainings during the beginning of the financial year to all the health facilities in the province of Kwa-Zulu Natal. The Human Resource Development should ensure that this initiative is implemented successfully.

5.2.6.8 The study recommends that all patients should leave their medical record at the pharmacy once they receive their medication and this should be used as the standard operation procedure for the eDumbe Community Health Centre. The file borrowing book or the file movement form should be created and be utilized when requesting a medical record at Admissions. Furthermore, all requests for records should be approved by the Chief Executive Officer.

5.2.6.9 Access at the admission area should be allowed only to those personnel stationed to work there. The admissions area should be kept under lock and key at all times. All the medical records in any litigation should be removed immediately from the admissions area and be kept at C.E.O's office. The Security Officer should be used as the second option to detect the files from the patients not as primary options. Patients Management Officer should be hired to manage the admission area and ensure that the area is running smoothly and eliminate risks before they occur in that area.

5.2.6 Areas of future research

The study was limited to eDumbe Community Health (D.O.H), which proposed that future research should be conducted to the entire Department of Health in Kwa-Zulu Natal including district offices. Moreover, future research is also envisaged on the similar topic because review of literature indicated a gap in regarding lack of knowledge and management principles to ensure effective and efficient management of document within the D.O.H.

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APPENDIX ONE: INFORMED CONSENT

Informed Consent Letter 3C

**UNIVERSITY OF KWAZULU-NATAL
SCHOOL OF MANAGEMENT, IT AND GOVERNANCE
LEADERSHIP**

Dear Respondent,

MBA Research Project

Researcher: Eric Buhle Nyele (034 995 8508)

Supervisor: Professor Betty Mubangizi (082437 4082)

Research Office: Ms P Ximba (031-2603587)

I, **Eric Buhle Nyele**, I am a MPA student, at the School of Management, IT, Governance and Leadership, of the University of Kwa-Zulu Natal. You are invited to participate in a research project entitled **“To explore, to understand and explain the record management and archives process within the eDumbe Community Health Centre, Department of Health: KwaZulu-Natal.”** The aim of this study is to: **is to determine what extent does eDumbe CHC adhere to policy, rules and procedure for record management.**

Your participation in this project is voluntary. You may refuse to participate or withdraw from the project at any time with no negative consequence. There will be no monetary gain from participating in this survey/focus group. Confidentiality and anonymity of records identifying you as a participant will be maintained by the School of Management, IT and Governance, UKZN.

If you have any questions or concerns about completing the questionnaire or about participating in this study, you may contact me or my supervisor at the numbers listed above.

I here-by request for you to complete consent form and email to researcher (Buhle.Nyele@kznhealth.gov.za/ buhlenyele@gmail.com)

Sincerely

Investigator's signature _____ Date _____

This page is to be retained by participant

**UNIVERSITY OF KWAZULU-NATAL
SCHOOL OF MANAGEMENT, IT AND GOVERNANCE
LEADERSHIP**

MPA Research Project

Researcher: Eric Buhle Nyele (034 995 8508)

Supervisor: Professor Betty Mubangizi (082 437 4082)

Research Office: Ms P Ximba 031-2603587

CONSENT

I..... (Full names of participant) hereby confirm that I understand the contents of this document and the nature of the research project, and I consent to participating in the research project.

I understand that I am at liberty to withdraw from the project at any time, should I so desire.

SIGNATURE OF PARTICIPANT DATE.....

.....

This page is to be retained by researcher

APPENDIX TWO: INTERVIEW QUESTIONS

The semi-structured interview

Name of the interviewee

Place of interview.....

Date of interview.....

Interview Questions

1. What is your position in the D.O.H, eDumbe Community Health Centre?
2. How long you have been working for eDumbe CHC in the current position?
3. What is your understanding of record management?
4. Why do think record management is important in the eDumbe CHC?
5. Based on your observation what do you think is the status quo of record management in eDumbe CHC?
6. Does eDumbe CHC adheres to policy rules and procedures of record management?
7. What coordination mechanisms are in place to manage to manage records in eDumbe CHC?
8. What type of resources in place to support management of records in the eDumbe CHC?
9. What control strategies are in place to manage records at eDumbe CHC?

APPENDIX THREE : E-MAIL REQUESTING TO PARTICIPANTS

From: Nyele Eric Buhle
Sent: 21 September 2017 07:45 AM
To: Mtshali Simon
Cc: 'buhlenyele@gmail.com'
Subject: Participation in study

Dear Participant

My name is Buhle Nyele currently studying towards the Master's Degree in UKZN.

As the Head of Record Management in Health Department Kwa-Zulu Natal please advise if whether you will be interested to participate on the study about "An examination of the record management and archives process within the eDumbe Community Health Centre. Department of Health: Kwa-Zulu Natal".

Thank you

Regards



APPENDIX FOUR: ETHICAL CLEARANCE



10 August 2017

Mr Eric Buhle Nyele (216074813)
School of Management, IT & Governance
Westville Campus

Dear Mr Nyele,

Protocol reference number: HSS/1171/017M

Project title: To explore, to understand and to explain the record management and archives process within the eDumbe Community Health Centre, Department of Health KwaZulu-Natal

Approval Notification – Expedited Application

With regards to your response received on 03 August 2017 to our letter of 27 July 2017, the Humanities & Social Sciences Research Ethics Committee has considered the above-mentioned application and the protocol has been granted FULL APPROVAL

Any alteration/s to the approved research protocol i.e. Questionnaire/Interview Schedule, Informed Consent Form, Title of the Project, Location of the Study, Research Approach and Methods must be reviewed and approved through the amendment/modification prior to its implementation. In case you have further queries, please quote the above reference number.

PLEASE NOTE: Research data should be securely stored in the discipline/department for a period of 5 years.

The ethical clearance certificate is only valid for a period of 3 years from the date of issue. Thereafter Recertification must be applied for on an annual basis.

I take this opportunity of wishing you everything of the best with your study.

Yours faithfully

Dr Shenika Singh (Chair)

/ms

cc Supervisor: Professor Betty Mubangazi
cc Academic Leader Research: Professor Brian McArthur
cc School Administrator: Ms Angela Pearce

Humanities & Social Sciences Research Ethics Committee

Dr Shenika Singh (Chair)

Westville Campus, Govan Mbeki Building

Postal Address: Private Bag X51091 Durban 4001

Telephone: +27 (0) 31 261 3227/83534507 Facsimile: +27 (0) 31 261 4608 Email: shenika.singh@ukzn.ac.za / shenika@ukzn.ac.za

Website: www.ukzn.ac.za

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APPENDIX FIVE: APPROVAL



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Department:
Health
PROVINCE OF KWAZULU-NATAL

Physical Address: 339 Langavale Drive, Pietermaritzburg
Postal Address: Private Bag X9051
Tel: 033 395 2805/318/3173 Fax: 033 394 3782
E-mail:
www.kznhealth.gov.za

DIRECTORATE:

Health Research & Knowledge
Management

HRKM Ref: 353/17
NHRD Ref: KZ_201709_003

Date: 18 September 2017
Dear Mr Eric B. Nyala
UKZN

Approval of research

1. The research proposal titled **'To explore, to understand and explain the record management and archives process within the eDumbe Community Health Centre, Department of Health, KwaZulu Natal'** was reviewed by the KwaZulu-Natal Department of Health.

The proposal is hereby **approved** for research to be undertaken at eDumbe Community Health Centre.

2. You are requested to take note of the following:
 - a. Make the necessary arrangement with the identified facility before commencing with your research project.
 - b. Provide an interim progress report and final report (electronic and hard copies) when your research is complete.
3. Your final report must be posted to **HEALTH RESEARCH AND KNOWLEDGE MANAGEMENT, 10-102, PRIVATE BAG X9051, PIETERMARITZBURG, 3200** and e-mail an electronic copy to hrkm@kznhealth.gov.za

For any additional information please contact Mr X. Xaba on 033-395 2805.

Yours Sincerely


Dr E Lutge

Chairperson, Health Research Committee

Date: 2017/09/18

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APPENDIX SIX: TURN-IN REPORT

To explore, to understand and explain the record management and archives process within the eDumbe Community Health Centre, Department of Health: Kwa-Zulu Natal

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