

UNIVERSITY OF KWAZULU-NATAL

**THE SIGNIFICANCE OF RECORDS MANAGEMENT TO FOSTERING
ACCOUNTABILITY IN THE PUBLIC SERVICE REFORM PROGRAMME OF
TANZANIA**

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ACCOUNTABILITY IN THE PUBLIC SERVICE REFORM PROGRAMME OF
TANZANIA**

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.....

Submitted: September 2010

DECLARATION

I, Esther Ndenje-Sichalwe declare that

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ABSTRACT

This study investigated the extent to which records management practices fostered accountability in the Public Service Reform Programme (PSRP) in some government ministries in Tanzania. The effective implementation of the PSRP depends largely on many factors, the most important of which is the proper and well organized methods of managing public records. It is essential for government ministries to ensure that records are properly managed at every stage of the records life cycle, so that the information they contain can provide evidence of transactions and the efficient and effective provision of service to the public.

The records life cycle model through its phases formed the theoretical foundation of the study. A mixed methods research approach was adopted and quantitative approach was used as a dominant paradigm. Both quantitative and qualitative data were gathered simultaneously during a single phase of data collection. Data was collected through a questionnaire administered to registry personnel from the government ministries, interviews with senior ministerial officials, National Archives personnel from the Records and Archives Management Department (RAMD) and staff from Tanzania Public Service College. The overall response rate from the questionnaire was 67%. An observation checklist was further used to verify data obtained from the questionnaire and interviews. Quantitative data was analyzed using the SPSS statistical package version 15.0 and the results of the study are presented in the form of figures, tables and text, while qualitative data from interviews was content analyzed and in some instances presented in tabular form.

The findings of the study indicated that records in some government ministries in Tanzania were not properly managed to foster accountability in the implementation of the PSRP. The study established that although the introduction of the PSRP has resulted in some efforts in reforming records management practices in the government ministries, current records management in the government ministries was still weak, thus fostering accountability in the PSRP would be difficult. The findings of the study revealed a lack of registry mission statements, records management policy and dedicated budgets for

registry sections. The majority of government registries in Tanzania lacked records retention schedules and systematic disposal of records resulting in heavy congestion of records and poor retrieval of information. Further, disaster preparedness and security control for records and archives did not form a significant part of the records management activities in the government ministries of Tanzania.

On the extent of the use of computer applications in the management of records, the findings indicated the existence of computers in some registries but few computers were used to create records. National Archives and registry personnel faced challenges in the management of electronic records. The study established that National Archives personnel had not undertaken surveys to determine the number of electronic records created in the ministries. The findings of the study showed that although registry personnel received professional records management advice from the National Archives personnel, they did not implement the advice. The findings of the study revealed that the levels of skills and training of registry personnel was relatively low. The majority of registry personnel had not attended courses to update their knowledge and skills.

To foster accountability in the public sector, the major recommendation of the study was the restructuring of records management systems. The restructuring should include enacting records management policies in order to accommodate the changes brought about by technology to enhance the proper management of records and effective implementation of the PSRP. The study recommends that government ministries should allocate dedicated budgets for registries. A budget should make provision for registry supplies and equipment and should ensure that registry personnel are provided with formal training in records management so as to develop their levels of skills and training. In order to ensure reliability, integrity, authenticity and long-term preservation of electronic records in support of the requirements of good government and fostering accountability, the study recommended for the integrated approach to records management to be considered in order to incorporate records in both paper and electronic formats. Further, the National Archives should undertake a survey at least annually, to determine the number of electronic records created in the government

ministries. It is recommended that the government should update Records and Archives Management Act No.3 of 2002 to reflect the management of electronic records. National Archives should develop records retention and disposition schedules and records should be disposed of regularly in order to create more space for the current records, thus enhancing accountability in the implementation of the PSRP.

The study recommends that professional records management advice should be provided on a regular and continuing basis. The National Archives should work closely with the President's Office-Public Service Management to organize training for senior ministerial officials in order to create awareness regarding the importance of managing records as a strategic resource and its effectiveness in fostering accountability in the implementation of the public service reform programme. The setting up of standards and guidelines on the training of registry personnel is also necessary in order to enhance their status and skills. Enhancing their status and skills would be important for the proper management of records throughout their life cycle to foster accountability in the effective implementation of the PSRP.

The study further recommended several issues which could be the subject of further investigation by other researchers in the field, including investigating the current records management practices in Judiciary, Parliament and local government authorities in Tanzania, a study to establish the levels of e-records readiness and e-government in the public sector in Tanzania, and a study to investigate the training of National Archives personnel in order to establish their levels of education and how they impact on the management of records in the government ministries. Furthermore, a study should be conducted to establish the role of records management in addressing corruption, fraud and maladministration in the public sector of Tanzania. A study to assess records management performance in the public sector using international standards such as ISO 15489 Information and Documentation-Records Management, General International Standard Archival Description (ISAD(G)), ISO/DIS 11799 Document Storage Requirements for Archive and Library Materials and ISO 11108: 1996 Information and Documentation-Paper for Archival Documents, is also important.

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DEDICATION

This work is dedicated to my husband Joseph Musonda, and my two daughters Alice Mubanga and Abigail Mwati.

TABLE OF CONTENTS

DECLARATION.....	iii
ABSTRACT.....	iv
ACKNOWLEDGEMENTS.....	vii
DEDICATION.....	ix
TABLE OF CONTENTS.....	x
LIST OF TABLES.....	xviii
LIST OF FIGURES.....	xix
LIST OF APPENDICES.....	xx
LIST OF ABBREVIATIONS AND ACRONYMS.....	xxi
CHAPTER ONE: BACKGROUND TO THE STUDY.....	1
1.0 Introduction.....	1
1.1 Background to the problem.....	3
1.2. Definitions of the key terms and concepts.....	11
1.2.1 Records.....	11
1.2.2 Archives.....	13
1.2.3 Electronic records (e-records).....	14
1.2.4 Records management.....	16
1.2.5 Recordkeeping.....	17
1.2.6 Public sector/service reform programme.....	18
1.2.7 Accountability.....	19
1.3 Statement of the problem.....	20
1.4. Purpose.....	22
1.4.1 Research questions.....	22
1.5 Significance and contribution of the study.....	23
1.6 Originality of the study.....	23
1.7 Assumptions of the study.....	24
1.8 Methodology.....	24
1.9 Scope and delimitation of the study.....	25
1.10 Ethical issues.....	26
1.10 The structure of the thesis.....	26

1.11 Summary	28
CHAPTER TWO: CONTEXT OF THE STUDY.....	29
2.0 Introduction.....	29
2.1 Brief political history of Tanzania	29
2.2 Location	30
2.3 Social economic conditions in Tanzania.....	30
2.4 The Government of Tanzania.....	31
2.4.1 The composition of the government	31
2.4.1.1 The Executive	31
2.4.1.2 The Parliament	32
2.4.1.3 The Judiciary	33
2.5 Local government authorities.....	34
2.6 Background to the public service reform programme	35
2.6.1 The post independence period: 1961 to 1979	35
2.6.2 The civil service reform era: 1980 to 1999	36
2.6.3 The public service reform era: 2000 to 2012	38
2.6.3.1 Phase One – Instituting performance management systems: 2000-2007.....	39
2.6.3.2 Phase Two - Enhancing performance results and accountability in the public service: 2008-2012	40
2.7 Records and archives management legislative environment	42
2.8 Access to information and records	46
2.9 Summary.....	47
CHAPTER THREE: THEORETICAL FRAMEWORK AND LITERATURE	
REVIEW.....	48
3.0 Introduction.....	48
3.1 Benefits and characteristics of a review of literature	48
3.2 Theoretical framework of the study	51
3.3 The use of theory in quantitative, qualitative and mixed methods research	53
3.4 Models and theoretical perspectives that guide the study.....	54
3.4.1 Records life cycle	55
3.4.2 Records continuum.....	58
3.4.3 Integrated approach.....	62
3.4.4 Records entity life history	63
3.5 Summary of the models and justification of using the records life cycle model	64
3.6 Management of public records: records creation to disposition	65
3.6.1 Records creation and use.....	66

3.6.2 Records inventory.....	68
3.6.3 Records appraisal.....	70
3.6.3.1 Traditional approaches to appraisal	71
3.6.3.2 Modern approaches to appraisal	74
3.6.3.2.1 Documentation strategy	75
3.6.3.2.2 Functional approach	77
3.6.3.2.3 Macroappraisal.....	78
3.6.4 Records retention and disposition scheduling	80
3.7 Access to information and records management	81
3.8 The impact of information technology on records management.....	87
3.9 The National Archives and the role of records and archives legislation in managing public sector records	93
3.10 Education and training of records management professionals: a review of empirical studies	96
3.11 Disaster management and security control	108
3.12 International standards in records management.....	114
3.13 The management of public sector records.....	117
3.13.1 Records management in developing countries: a review of various studies	117
3.13.2 Records management in Tanzania: a review of empirical studies	127
3.13.3 Records management and public sector reform programme in Tanzania	132
3.14 Summary	135
CHAPTER FOUR: RESEARCH METHODOLOGY	136
4.0 Introduction.....	136
4.1 Definition of research.....	136
4.2 Research design	137
4.2.1 A distinction between quantitative and qualitative research approaches.....	138
4.2.2 Mixed methods research.....	140
4.2.2.1 Justification for mixed methods research.....	142
4.3 Survey research method	144
4.4 Study population and justification	146
4.4.1 Senior ministerial officials	147
4.4.2 Registry personnel.....	147
4.4.3 National Archive personnel	148
4.4.4 Tanzania Public Service College (TPSC) staff	148
4.5 Data collection procedure and instruments	148
4.5.1 Questionnaires.....	150
4.5.1.1 Types of questions.....	152

4.5.1.1.1 Closed questions.....	152
4.5.1.1.2 Open-ended questions.....	153
4.5.2 Interviews.....	154
4.5.3 Observation.....	156
4.6 Reliability and validity of the instruments.....	158
4.6.1 Pre-testing the instruments.....	161
4.6.2 Triangulation.....	163
4.7 Ethical considerations.....	165
4.8 Processing and analysis of data.....	168
4.9 Evaluation of the research methodology.....	170
4.10 Summary.....	171
CHAPTER FIVE: DATA PRESENTATION.....	173
5.0 Introduction.....	173
5.1 Response rate.....	173
5.2 The results.....	174
5.2.1 Activities and strategies used in the management of public records.....	175
5.2.1.1 Mission statement.....	175
5.2.1.2 Registry, registry procedures manual and registry budget.....	177
5.2.1.2.1 Records control systems in the registries.....	178
5.2.1.2.2 Registry procedures manual.....	179
5.2.1.2.3 The state of registry funding.....	180
5.2.1.2.4 Records management audit exercise in registries.....	181
5.2.1.3 Records creation and use.....	183
5.2.1.4 Mail management.....	186
5.2.1.5 Forms management programme.....	192
5.2.1.6 Records storage.....	195
5.2.1.6.1 Records storage programme.....	195
5.2.1.6.2 Controlling temperature and relative humidity in a records storage area.....	199
5.2.1.6.3 Light in the records storage area.....	200
5.2.1.6.4 Pest management in the records storage area.....	201
5.2.1.7 Disaster management and security control.....	203
5.2.1.8 Records inventory.....	204
5.2.1.9 Records appraisal.....	205
5.2.1.10 Records retention and disposition schedules.....	207
5.2.2 Access to information contained in public records and performance measurement of registries services.....	209
5.2.2.1 Access to information contained in public records.....	209
5.2.2.2 Need for performance measurement of registry services.....	210
5.2.3 The extent of computer applications in the management of electronic records..	212
5.2.3.1 Data from the registry personnel.....	212

5.2.3.1.1 Existence of computers and the management of electronic records	213
5.2.3.1.2 Appraisal and the long term preservation of electronic records	216
5.2.3.1.3 Computer assistance and challenges faced in the management of electronic records.....	217
5.2.3.2 Data from the National Archives personnel concerning the management of electronic records.....	219
5.2.4 Provision of professional records management advice by staff of the National Archives of Tanzania	221
5.2.4.1 Data from the National Archives staff.....	222
5.2.4.2 Data from registry personnel.....	227
5.2.4.3 Data from senior ministerial officials	229
5.2.5 The role of records and archives legislation in managing public sector records..	229
5.2.5.1 Responsibilities of the Director of the National Archives of Tanzania	229
5.2.5.2 Responsibilities of the records creating unit.....	230
5.2.5.3 Continuity of records care.....	231
5.2.5.4 Revision, strengths and weaknesses of the Records and Archives Management Act.....	232
5.2.5.5 Challenges faced using the Act	233
5.2.6 Factors that contribute to the current records management practices in the government ministries.....	233
5.2.6.1 Data from senior ministerial officials	234
5.2.6.2 Data from National Archives personnel	235
5.2.6.3 Data from observation checklist.....	235
5.2.7 Levels of skills and training of registry personnel in the government ministries.	236
5.2.7.1 Data from registry personnel.....	237
5.2.7.2 Data from senior ministerial officials	240
5.2.7.3 Data from Tanzania Public Service College staff	240
5.2.8 The Public Service Reform Programme and the current records management practices in government ministries.....	242
5.2.8.1 Data from the registry personnel	242
5.2.8.2 Data from senior ministerial officials	245
5.2.8.3 Data from National Archives personnel	247
5.3 Recommendations by respondents	248
5.3.1 Recommendations by registry personnel.....	249
5.3.2 Recommendations by senior ministerial officials	249
5.3.3 Recommendations by National Archives personnel	250
5.4 Summary.....	251
5.4.1 Activities and strategies used in the management of public records.....	251
5.4.2 Current means and processes employed to make information contained in records accessible.....	252
5.4.3 The extent of computer applications in the management of electronic records..	252

5.4.4 Provision of professional records management advice by staff of the National Archives of Tanzania	253
5.4.5 The role of records and archives legislation in managing public sector records..	253
5.4.6 Factors that contributed to the current records management practices in the government ministries.....	253
5.4.7 Levels of skills and training of registry personnel in the government ministries.	254
5.4.8 The public service reform programme and the current records management practices in government ministries.....	254
CHAPTER SIX: INTERPRETATION OF THE RESULTS	256
6.0 Introduction.....	256
6.1 Activities and strategies used in the management of public records	257
6.1.1 Mission statement	257
6.1.2 Registry.....	260
6.1.3 Records management policy	261
6.1.4 Registry procedures manual.....	263
6.1.5 Registry budget.....	264
6.1.6 Records management auditing exercise and performance measurement in registries	266
6.1.7 Records creation and use	267
6.1.8 Mail management	268
6.1.9 Forms management.....	270
6.1.10 Records storage	271
6.1.10.1 Records storage programme.....	271
6.1.10.2 Controlling temperature and relative humidity in a records storage area ..	273
6.1.10.3 Light in a records storage area	274
6.1.11 Disaster management and security control.....	275
6.1.12 Records inventory and appraisal	276
6.1.13 Records retention and disposition schedules	277
6.2 Access to information contained in public records	279
6.3 The extent of computer applications in the management of electronic records ...	281
6.4 Provision of professional records management advice by staff of the National Archives of Tanzania	285
6.5 The role of records and archives legislation in managing public sector records...	289
6.6 Levels of skills and training of registry staff in the government ministries	291
6.7 The Public Service Reform Programme and the current records management practices in government ministries	294

6.8 Summary.....	296
CHAPTER SEVEN: SUMMARY OF STUDY FINDINGS, CONCLUSIONS AND RECOMMENDATIONS.....	298
7.0 Introduction.....	298
7.1 Research purpose and research questions.....	298
7.2 Summary of the findings	299
7.2.1 The activities and strategies used in the management of public records	299
7.2.2 Access to information contained in public records.....	300
7.2.3 The extent of computer applications in the management of electronic records..	301
7.2.4 The provision of professional records management advice by staff of the National Archives of Tanzania.....	302
7.2.5 The role of records and archives legislation in managing public sector records..	303
7.2.6 The factors that contributed to the current records management practices in the government ministries	303
7.2.7 Levels of skills and training of registry personnel	304
7.2.8 The Public Service Reform Programme and the current records management practices in government ministries.....	304
7.3 Conclusions	305
7.3.1 Conclusions on activities and strategies used in the management of public records	305
7.3.2 Conclusions on the access to information contained in public records	306
7.3.3 Conclusions on the extent of computer applications in the management of electronic records.....	307
7.3.4 Conclusions on the provision of professional records management advice by staff of the National Archives of Tanzania.....	307
7.3.5 Conclusions on the role of records and archives legislation in managing public sector records.....	308
7.3.6 Conclusions on the factors that contributed to the current records management practices in the government ministries	309
7.3.7 Conclusions on levels of skills and training of registry personnel in the government ministries.....	310
7.3.8 Conclusions on public service reform programme and the current records management practices in government ministries.....	310
7.3.9 Overall conclusions on the research problem	311
7.4 Recommendations	312

7.4.1 Recommendations on the activities and strategies used in the management of public records	312
7.4.2 Recommendations on the access to information contained in public records.....	313
7.4.3 Recommendations on the extent of computer applications in the management of electronic records	314
7.4.4 Recommendations on the provision of professional records management advice by staff of the National Archives of Tanzania	315
7.4.5 Recommendations on the role of records and archives legislation in managing public sector records.....	316
7.4.6 Recommendations on the level of skills and training of registry personnel	316
7.5 Significance and the contribution of the study	317
7.6 Suggestions for further research	318
7.7 In conclusion	320
References.....	322

LIST OF TABLES

Table 1: The modified records life cycle processes	57
Table 2: The need for a registry procedures manual	179
Table 3: State of registry funding	180
Table 4: Problems encountered due to the current state of registry funding	181
Table 5: Purpose of the records management audit exercise	182
Table 6: Guidelines used to create records	185
Table 7: Activities which constitute a mail management programme	186
Table 8: Need for recording received mail in an incoming mail register	187
Table 9: Information recorded in an incoming mail register	188
Table 10: Reasons for circulating mail to action officers	189
Table 11: Actions taken on outgoing mail	191
Table 12: Objectives of forms management programmes	193
Table 13: Checklist for forms design	194
Table 14: Equipment used for the storage of current records	196
Table 15: Equipment used for the storage of semi-current records	197
Table 16: Equipment used for the storage of non-current records	198
Table 17: Methods used to control fungi infestation in the records storage area	203
Table 18: Purpose of the records inventory	204
Table 19: Information included in the records inventory checklist	205
Table 20: The nature of appraisal	207
Table 21: Problems faced in providing access to public records	210
Table 22: The need for conducting performance measurement of registry services	211
Table 23: Methods used for the storage of electronic records	215
Table 24: Areas covered by other agencies in developing electronic records management programmes	220
Table 25: Challenges faced by National Archives personnel in managing electronic records	221
Table 26: Activities in the National Archivists job description	222
Table 27: Reasons for non-implementation of advice provided to registry personnel	227
Table 28: Challenges faced using the Act	233
Table 29: Challenges faced in managing records in the government ministries	234
Table 30: Steps taken to address the challenges faced in managing records	235
Table 31: Areas for additional training in records management	239
Table 32: Methods to address registry personnel training needs in records management	240

LIST OF FIGURES

Figure 1: Records continuum model	60
Figure 2: Role of records management in the attainment of the ministry's mission, vision and core values	177
Figure 3 : Type of records control systems	178
Figure 4: Areas covered in internal records management checklist	183
Figure 5: Duties performed by registry personnel.....	184
Figure 6: Information included when creating files	185
Figure 7: Nature of security classification for mail in the registries	190
Figure 8: Information recorded in the outgoing mail register	192
Figure 9: Reasons for forms management programmes in the ministries	192
Figure 10: Aspects covered in the records storage programme	195
Figure 11: Problems faced in storing records	199
Figure 12: Methods used to control temperature and relative humidity	200
Figure 13: Pests found in a records storage area	201
Figure 14: Methods used to control pest infestations in the records storage area	202
Figure 15: Purpose of records appraisal	206
Figure 16: Methods used for destruction of confidential records	208
Figure 17: Aspects considered in measuring the quality of services provided by registries	212
Figure 18: Classes of electronic records	213
Figure 19: Formats used to create electronic records	214
Figure 20: Methods used to ensure the security of electronic records	215
Figure 21: Methods used for the long term preservation of electronic records	217
Figure 22: Challenges faced by registry personnel in managing electronic records.....	218
Figure 23: Areas of professional records management advice	223
Figure 24: Frequency of conducting records surveys	224
Figure 25: Criteria used when conducting appraisals	225
Figure 26: Areas of professional records management advice identified by the registry personnel	228
Figure 27: Means used to contact National Archives staff	228
Figure 28: The level of professional training in records management received by registry personnel	237
Figure 29: Types of records that support the public service reform objectives.....	243

LIST OF APPENDICES

Appendix 1: Participants in pre-testing the instruments.....	360
Appendix 2: Questionnaire for registry personnel from the government ministries.....	361
Appendix 3: Interview schedule for senior ministerial officers.....	386
Appendix 4: Interview schedule for archivists from the National Archives of Tanzania	391
Appendix 5: Interview schedule for the Tanzania Public Service College staff	401
Appendix 6: Observation checklist.....	404
Appendix 7: Covering letter for pretesting the questionnaires.....	405
Appendix 8: Research questions and possible sources of data.....	406
Appendix 9: Introductory letter from the University of KwaZulu-Natal	408
Appendix 10: Introductory letter from the office of the Vice Chancellor, University of Dar es Salaam.....	409
Appendix 11: Research permit letter	410
Appendix 12: List of postal and email addresses of surveyed ministries.....	411
Appendix 13: Map of Tanzania	415

LIST OF ABBREVIATIONS AND ACRONYMS

ACARM	-	Association of Commonwealth Archivists and Records Managers
AS	-	Australian Standard
CCM	-	Chama Cha Mapinduzi (Revolutionary Party)
CIA	-	Central Intelligence Agency
CSRPF	-	Civil Service Reform Programme
DAP	-	Director of Administration and Personnel
DFID	-	Department for International Development
DIRKS	-	Design and Implementation of Record Keeping Systems
ECA	-	Economic Commission of Africa
ESAMI	-	Eastern and Southern Africa Management Institute
ESARBICA	-	East and Southern Africa Regional Branch of the International Council on Archives
FOI	-	Freedom of Information
ICA	-	International Council on Archives
ICTs	-	Information and Communication Technologies
IMF	-	International Monetary Fund
IRMT	-	International Records Management Trust
ISO	-	International Organization for Standardization
IT	-	Information Technology
LGAs		Local Government Authorities
LHRC	-	Legal and Human Rights Centre
MDAs	-	Ministries, Departments and Agencies
NARA	-	National Archives and Records Administration
NARSA	-	National Archives and Records Service of South Africa
NDMO	-	National Disaster Management Office
NPM	-	New Public Management
NSGRP	-	National Strategy for Growth and Reduction of Poverty
PO-PSM	-	President's Office - Public Service Management
PS	-	Permanent Secretary

PSRP	-	Public Service Reform Programme
RAMD	-	Records and Archives Management Department
REPOA	-	Research on Poverty Alleviation
SLADS	-	School of Library, Archives and Documentation Studies
SPSS	-	Statistical Package for Social Sciences
TI	-	Transparency International
TPSC	-	Tanzania Public Service College
TLSB		Tanzania Library Service Board
UN	-	United Nations
UNESCO	-	United Nations Educational Scientific and Cultural Organization
UK	-	United Kingdom
UKZN	-	University of KwaZulu-Natal
URT	-	United Republic of Tanzania
USA	-	United States of America
WB	-	The World Bank

CHAPTER ONE: BACKGROUND TO THE STUDY

1.0 Introduction

Records are valuable assets that need to be managed and protected. In many nations, governments are the largest producers and users of information contained in records (Heeks 2000:197; Ngulube 2001:1). Records are the benchmark upon which present and future decisions and activities of government are predicted (Chibambo 2003:10; Lipchak 2002:3). Records fulfill important functions in society by providing evidence of and information about the transactions of individuals and organizations. Records provide one mechanism by which individuals, institutions, governments, and societies can be held accountable for their actions and ultimately serve as a foundation upon which public memory is constructed (Marshall 2006:1).

Records are fundamental tools in the business of government and their absence would lead to inefficiencies or failure in operational procedures (Kansas State Historical Society 2007). Without records, no assessment can be made as to whether individuals or private and public organizations have actually carried out the actions and transactions that they had to execute. Nor can it be ensured that these actions and transactions met the criteria of efficiency, legitimacy or the principles of good governance, or whether or not they have performed actions that should not have been performed (Thomassen 2001:375).

Records, and the evidence they contain are the instruments by which governments can promote a climate of trust and demonstrate an overall commitment to good government (The World Bank and International Records Management Trust 2000:4). Records, as important resources for organizations should be harnessed through proper records management practices. Proper records management is the basis for accountability, transparency, democratic governance, poverty eradication, elimination of corruption and efficient use of public resources (Mutula and Wamukoya 2009:335). Chinyemba and Ngulube (2005) pointed out that the proper management of records involves establishing systematic controls at every stage of the record's life cycle, in accordance with established principles and accepted models of records management.

Further, proper records management in an organization, would ensure that records with their collective knowledge, are captured in a recordkeeping system so that the information they contain can be accessible when needed and can be shared in the organization (Nengomasha and Mchombu 2008:133). Proper maintenance of records and the proper provision of information empower citizens to exercise their civil rights, providing them with information and data which they can use to question or criticize government actions, and hold government officials accountable. Provision of accurate, reliable and verifiable information also helps them to detect and prevent corruption or other fraudulent dealings which undermine the efficient and effective provision of services by public servants (Wamukoya 2000:26).

Governments can no longer justify taking action with little or no reference to past performance or future goals. Nor can they justify parallel or duplicate services when they can combine services and reduce costs. Customer services, quality performance of tasks, and measurable outcomes are increasingly important responsibilities, and these aspirations all depend on accessible and usable records (The World Bank and International Records Management Trust 2000:2). Thus, government records must be carefully managed to provide the legally verifiable evidence needed to support good government, fulfill public policy objectives and protect fundamental values on which the society is built (Lipchak 2002:3).

Transparency and accountability in organizations are ultimately achieved by giving the public the right of access to information and this can be achieved through sound records management and the appropriate legal framework (International Council on Archives 2005; Kansas State Historical Society 2007; Lipchak 2002; Isa 2009:2; Meijer 2000:2; Mlyansi 2000:19; Ngoepe 2004:1; Ngulube 2004a:38; Palmer 2000; Sebina 2005:57; Shepherd and Yeo 2003:160; The World Bank and International Records Management Trust 2000:3). Initiatives aimed at enhancing economic performance, increasing government accountability, and strengthening civil society such as anti corruption efforts, administrative and civil service reform, decentralization, electronic government, legal and judicial reform, public expenditure management and tax policy and

administration all rely on access to accurate evidence contained in records (The World Bank and International Records Management Trust 2005).

However, public sector records, which are the most fundamental source of government information, are only just beginning to be managed as a strategic resource, there are still widespread problems in retrieving and storing them (Katundu 2002:78; Mnjama 2004:44; The World Bank and International Records Management Trust 2000:2). In most public enterprises including government, records management has neither been integrated nor considered as a strategic management function with other information management functions of the enterprise (Katundu 2002:78; Mnjama 2004:44). This situation impedes the capacity of government to carry out economic and administrative reform programmes aimed at achieving efficiency, accountability, and enhanced services to citizens (The World Bank and International Records Management Trust 2000:2).

The purpose of this study is to investigate the current records management practices in government ministries of Tanzania in order to establish the extent to which they foster accountability in public service reform programmes. This investigation was carried out in the government ministries of Tanzania. The study examined how public records are managed from the point of creation to their final disposition and how they fostered accountability in the implementation of public sector reforms.

1.1 Background to the problem

Public records have a direct impact on the lives of individuals. They are the cornerstone of a government's ability to provide basic services to citizens (Ngulube and Tafor 2006:58). The effectiveness and efficiency of the public service across a range of government functions depends upon the availability of, and access to, information held in records (The World Bank and International Records Management Trust 2000:3). Nandain (2006:5) noted that information derived from records can be used to assist the course of business rather than hiding the truth from the public. As the public becomes increasingly aware of their right to know, there is a new requirement on the part of the archivists and records' managers (or custodians of government information holdings) to

try to find solutions which will enable them to maintain a balance between the public right to know and the public's right to privacy (Mnjama 2000:44).

Thus, effective creation and management of records to ensure their integrity and validity is a precondition of an information rich society and underpins public accountability on the part of government and non-government organizations, freedom of information and privacy legislation, protection of people's rights and entitlements, and the quality of the archival heritage (McKemmish 2005:2). The objective of efficient records management can be achieved only if attention is paid to the handling of records from the time they are created until the time when they are released to an archival institution or disposed of (Tafor 2001:5). In organizations where records are not properly managed, records will often be inadequate for the purposes for which they are needed, records will frequently be lost, some records will be destroyed prematurely and others retained unnecessarily (Shepherd 2006a:7).

Excessive retention of records will cause difficulties in retrieving records, but a failure to create adequate records or maintain them may have more serious consequences. The organization may be unable to prove that it did what it was supposed to do, or that policies and procedures were correctly followed; it may be unable to defend itself if liability claims are made against its services or the actions of its employees; it may be unable to prove its rights or protect its assets; business operations may be compromised if critical information is unavailable when required and the rights of citizens and the wider community may be impaired (Shepherd 2006a:7).

The proliferation of records in electronic format also poses a unique challenge for organizations to develop and adopt institution-wide integrated records/information management programmes. Information management is increasingly being perceived as a critical factor to the effective operations of modern organizations (Mnjama 2004:44). It is essential for government departments to integrate records management more effectively with other information management functions so that records management

becomes a strategic management function towards reaching effective service delivery (De Wet and Du Toit 2000:74).

Open government is an essential requirement for good governance. In turn, good governance requires the participation of citizens. For this to happen there must be a free flow of information (Barata, Cain and Thurston 2000:13). A free flow of information about what the government is doing on behalf of the citizens is essential for accountable government (Cox and Wallace 2002:11). Without such an information flow, and without the information system to carry that flow, there can be no accountability because there can be no knowledge of the decision. The information will only be readily found if there are well managed records. In a nutshell, the daily operations of the organization depends on the availability of accurate, authentic and reliable information presented in a timely manner, hence the need to maintain effective and efficient recordkeeping systems for the organizations (Motsaathebe and Mnjama 2009:174). The availability of documentary evidence strengthens civil society by helping to protect legal rights and prevent human rights violations. Legal redress, voting rights, land registration and pension claims all depend upon the availability of records (Barata, Cain and Thurston 2000:9). Governments, especially in developed countries where freedom of information (FOI) legislation has been enacted, are now facing increasing public pressure to demonstrate accountability, transparency and good governance in the management of public resources (Mnjama 2000; Mutula 2006:440; Nengomasha 2003:1).

Access to information legislation is designed to promote accountability and transparency in government by providing citizens with legally enforceable rights to obtain full and accurate information about the activities and decisions of their governments (Millar 2003:1). The right of access to government information is of no value if the public cannot secure access to the records (Lipchak 2002; Mnjama 2000). The success of access legislation therefore, rests firmly on the ability of governments to create and maintain records, and citizens to seek out and obtain reliable, trustworthy and accurate government records (Millar 2003:1).

Despite the crucial role played by records and records management, there is a consensus amongst researchers that many organizations including government departments pay little attention to the management of records (Barata, Cain and Thurston 2000:10; International Records Management Trust (IRMT) 1999a:40; Mnjama 2004:4; Ngoepe and Van der Walt 2009:116; The World Bank and International Records Management Trust 2000:3). In many countries, the records routinely created by government are poorly managed and are difficult to access even by civil servants themselves (Cain, Doig, Flanary and Barata 2001:410; IRMT 1999a:39).

There is generally inadequate recognition of the importance of records as evidence and senior officials often tend not to recognize the need for, or value of, effective records programmes (Millar 2004:9; Ngoepe and Van der Walt 2009:142). The quality of recordkeeping systems continues to be a major weakness of many African governments in spite of the relationship that exists between records management and public sector management (Mnjama and Wamukoya 2007:281; Thurston and Cain 1998). The chaotic state of public records and the near collapse of recordkeeping systems in some of the countries make it virtually impossible to determine responsibility for official actions and to hold individuals accountable for their actions (Ngulube and Tafor 2006:58; Wamukoya 2000:26). In the government ministries of many countries, records management is widely seen as a lower grade service area, and virtually no attention is given to the way information is created, structured and managed (IRMT 1999a:40; Thurston 1996:2). Millar (2004:12) noted that the lack of adequate training is closely related to the lack of appreciation for and awareness of the importance of records management.

According to Mnjama and Wamukoya (2004:28) countries in east and southern African (in relation to managing public records) are faced with a number of challenges including: an absence of organizational plans for managing records; low awareness of the role of records management in support of organizational efficiency and accountability; lack of stewardship and coordination in handling records; absence of legislation, policies and procedures to guide the management of records; absence of core competencies in records

and archives management; absence of budgets dedicated to records management; poor security and confidentiality controls; lack of records retention and disposal policies; and absence of migration strategies for records.

Further, a survey conducted by Mnjama (2004:47) in Kenya and Botswana, as well as visits to Tanzania, Ghana, The Gambia, and Sierra Leone revealed many problems in the management of records, including:

- poor layout of the records office especially where records are managed centrally;
- untidiness in the records area, with records scattered all over the place, on the floor, on top of filing cabinets, along corridors and basements and carports;
- regular loss of files and information. In many organizations it was common practice for senior and middle executives to spend considerable amounts of time searching for information which ought to be readily available. In some cases senior executives were unable to make informed decisions due to a lack of information;
- lack of file indexes or registers indicating the existence of the record in the organization. The absence of registers or inventories indicating the types of information resources held in organizations often led to a waste of time in the gathering of information which already existed in the institution;
- lack of retention and disposition schedules. As a result, many organizations either failed to destroy records which were no longer needed to support day to day business operations or they were forced to take disposal decisions on an *ad hoc* basis without observing any aspect of disposal criteria;
- poor storage for semi-current records;
- poor supervision of records staff; and
- ignorance of the value of information, for instance, lack of security procedures in handling sensitive or classified information.

These growing challenges in managing public records, if not addressed, will deepen and undermine the ability of these countries to function effectively in an information driven

world. Ultimately, any attempt to gain control of programme planning or accountability, to safeguard citizens' rights within the state system will be doomed to failure.

The management of public sector records is therefore a critical aspect of the Public Service Reform Programme (PSRP), because they enhance the efficiency and effectiveness of the public service (International Records Management Trust and The World Bank 2003:2; IRMT 1999a:84; Millar 2004:9; Thurston 1996:3). For instance, in Africa and other developing countries, the PSRP emerged from the macroeconomic and fiscal reforms that were embedded in structural adjustment programs (SAPs) sponsored by the World Bank and International Monetary Fund (Economic Commission for Africa 2004; Lienert and Modi 1997; Mhone 2003:12; Mutahaba and Kiragu 2002:52; Nunberg 1999; Rugumyambeto 2004; 2005). Public/Civil Service Reform Programme in Africa sought to make Government lean and affordable through cost reduction and containment measures, rationalizing the state machinery, divesting non-core government operations, retrenching redundant staff, removing ghost workers from the payroll, freezing employment and adopting measures to control the wage bill and other personnel-based expenditure (Mhone 2003:10; Mutahaba and Kiragu 2002:52).

The key areas of reform are the following: the quest for fiscal stability which has an impact on public sector expenditures and employment, state capacity social development and economic development; the quest for managerial efficiency within government and statutory bodies; capacity building to develop a new cadre of public servants suited to the new ethos of procedural and instrumental rationality; the promotion of public accountability and improved service delivery (Mhone 2003:13). The accomplishment of the areas stated above depends on proper records. Records management is a very important aspect of good governance, particularly in terms of combating corruption, providing evidence for purposes of audit, and providing information which is available, clear, and transparent for everyone to follow (International Records Management Trust and The World Bank 2003). The reforms cannot succeed without proper, reliable and readily available records, a fact which has not been recognized by most developing countries (International Records Management Trust and The World Bank 2003; Millar

2004). Records management has not been generally well understood in terms of its contribution to supporting decision making, delivering services, ensuring accountability and transparency, and safeguarding the evidence of government activities (IRMT 2007:3).

In the implementation of PSRP in Tanzania, it became clear that the success of its objectives depended on availability of information (Manyambula 2009:21; Mlyansi 2000). As part of the nation's Development Vision 2025¹, there was a requirement to build the capacity of the public sector to enhance its accountability to the public and to ensure that all service delivery institutions provided correct information analyses to fulfil their responsibility to society (IRMT 2007). The first phase of the Civil Service Reform Programme (CSRP) was launched in 1991. It focussed on re-defining the role of the state and the right sizing of government in order to control public expenditure, especially the wage bill (Rugumyamheto 2004; 2005). Despite the achievements in terms of structural and institutional reforms, little was done to translate these results into improved services for the people of Tanzania (Cain *et al*/2001:418).

The government realized that the process of reform was not locally owned; that the problem was being exacerbated by insufficient information on the reforms. Moreover, expenditure on public service activities was still unaffordable and not matched to revenues, and public service capacity to deliver services was still weak (Rugumyamheto 2004; 2005). As a result the government opted for a more comprehensive programme with a long-term perspective, the Public Service Reform Programmes (PSRP). In Tanzania, the overall purpose of the PSRP is to support the attainment of a high rate of economic growth and ensure that delivery of quality services within the priority sectors conforms to public expectations for value, satisfaction and relevance (URT 2003a). The PSRP has the following features:

- a strong focus on service delivery improvements;

¹ National Development 2025 is a long-term development philosophy that is the articulation of a desirable future condition, which the nation envisages it will attain, and of the plausible course of action to be taken for its achievement (Tandari 2004).

- shifting responsibility for the primary implementation of the reforms to ministries, departments and agencies;
- emphasis on institutional pluralism² in the delivery of public services; and
- improving staff incentive frameworks under severe budgetary constraints (Rugumyamheto 2004).

Through the management information system component of the PSRP, it was recognized that public service managers needed information that was accurate, reliable and timely in order to be effective decision makers (Manyambula 2009:27; Mazikana 2009:38). However, it was also realized that information available to address the new demands to provide better services to the public was not accurate, readily accessible and usable.

Thus, the Government of Tanzania has taken some measures to provide administration and management of public records and archives throughout their life cycle through the National Archives of Tanzania under the Records and Archives Management Department (RAMD) (The World Bank and International Records Management Trust 2002a). As a means of strengthening the Department and giving it greater visibility and wider inter-ministerial powers to oversee records management activities throughout the civil service, the National Archives was transferred from the Ministry of Education and Culture to the President's Office - Public Service Management (Katundu 2002:80; Manyambula 2009:29; Mnjama 2005:460). This change effectively brought the management of all registries under the umbrella of the National Archives (Manyambula 2009:29; Mnjama 2005:460).

However, many National Archives in Africa, including Tanzania have experienced a considerable number of problems which have resulted in their failing to fulfill their central role of effectively managing government information (Mnjama 2006:48).

² Institutional pluralism in the delivery of service means the government must devolve service delivery to Executive Agencies (EA), Local Government Authorities (LGAs) and outsourced to the Private Sector through the Private Sector Participation (PSP) programme (Yambesi 2008:10).

Records stores are generally full to capacity and records are dumped in any order without rudimentary tools for retrieving them so that they would be easily accessible to users (Khamis 1999; Ngulube 2004a:38). As a result access to information contained in records and archives is limited (Ngulube 2003a:133). Weak institutional capacity and the absence of comprehensive records management policies, guidelines and practical standards have been cited as the main causes of archival underdevelopment in Africa (Ngulube and Tafor 2006:58).

1.2. Definitions of the key terms and concepts

Defining terms and concepts is crucial to better understanding, both for those who are new to the subject and for those who are already familiar with the field (Yusof and Chell 1998a:96). Firestone (1987:17) argued that defining terms also adds precision to a scientific study. Without reference to some larger field of meaning, scientific propositions make no sense. Firestone (1987:17) stated further that the words of everyday language are rich in multiple meanings. Like other symbols, their power comes from the combination of meaning in a specific setting. The key terms and concepts defined in this section provide the context in which they are used for the design and actual collection of data for the study. The terms and concepts used in the study include records, records management, electronic records, accountability and public service reform.

1.2.1 Records

According to Yusof and Chell (1998a:97) there is no universally accepted definition of the term record and the varied definitions of the term have led to confusion which affects the formulation of theory to underpin the discipline. The authors noted that the definition of the term record evolved from an archives perspective through management perspective to an information technology perspective and these paradigm shifts led to changes in the status of records. Some definitions are based specifically on the function of the records, whilst others treat records as physical objects for posterity. Thus, any new definition of the term record needs to take into account the component parts of a record: the information, the medium and the function.

ICA (1997a) defined a record as recorded information produced or received in the initiation, conduct or completion of an institutional or individual activity and that comprises content, context and structure sufficient to provide evidence of the activity. On the other hand, ISO 15489-1 (2001) defined records as information created, received and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in transaction of business. According to Shepherd (2006a:6) a record is recorded evidence of an activity, that is of an action undertaken by an individual or a work group in the course of their business, which results in a definable outcome. Records can exist in any medium and in many forms. Most organizations have hybrid record systems, with some records in paper and some in digital form (Shepherd and Yeo 2003:20-22).

According to Cox (2001:2) records are extensions of human memory, purposefully created to record information, document transactions, communicate thoughts, substantiate claims, advance explanations, offer justifications and provide lasting evidence of events. Their creation results from a fundamental human need to create and store information, to retrieve and transmit it, and to establish tangible connections with the past. Thus organizations use records to conduct current business, to enable decisions to be made and actions taken. Records provide access to precedents and policies, and evidence of what was done or decided in the past. They enable organizations to guard against fraud and to protect their rights and assets.

Organizations use records to support accountability, when they need to prove that they have met their obligations or complied with best practice or established policies (Shepherd and Yeo 2003:xi-xiii). Records serve as an instrument of accountability by providing the essential evidence governments and citizens require to account for their decisions and activities and to respond to the requirements of laws and policies (McDonald 2002:13). Thirdly, records may also be used for cultural purposes for research, to promote awareness and understanding of corporate history. The wider community also has expectations of transparency in public service, the protection of

rights and the maintenance of sources for collective memory (Shepherd and Yeo 2003:xi-xiii).

Records are more than just information (Öberg and Borglund 2006:55), and what really distinguishes a record from any other kind of information is that it is produced as a result of a unique activity or transaction and can therefore provide evidence of that activity or transaction (McKemmish 2005; National Archives of Australia 2001; Thomassen 2001:375; Williams 2006:8). That evidence can only be preserved if content, structure, and context are maintained (Cox 1998; McDonald 2002:13; Williams 2006:8). Content refers to the subject matter contained in the record. Context relates to the process of which the record is a part and structure refers to the format and medium of the records (Williams 2006:8).

1.2.2 Archives

The term archives was popularly used to refer to older papers or computer files that had been consigned to secondary storage (Shepherd and Yeo 2003:5). In records management terms, archives may be defined as any records that are recognized as having long-term value. They are those records, which have been selected for permanent preservation due to their continuing administrative, informational, legal and historical value as evidence of the work of the creating organizations (Crockett 2006; Ellis 1993:1). Archives may also include records that are no longer expected to be required for the operational use or to support accountability, but are kept indefinitely as part of the corporate memory of the organization or for research or other cultural purposes (Shepherd and Yeo 2003:5).

Archives form a basic and irreplaceable part of the cultural heritage (Ellis 1993:7). They preserve the memory of nations and the survival of human memory in large part depends on them (Council of Europe Committee of Ministries 2000). Archives, like records:

- permit continuity and consistency in administration;

- document, in a democracy, governmental responsibility and accountability to the people;
- provide us with a sense of national, regional or civic identity; and
- educate, entertain and enrich our lives by providing appealing and tangible manifestations of our history, as well as useful information (Williams 2006:18).

Archives constitute the memory of nations and societies, they shape their identity and are the cornerstone of the information society (ICA 2007; Rhoads 1989). By providing evidence of human actions and transactions, archives support administration and underline the rights of individuals, organizations and states (ICA 2007). By guaranteeing citizens' rights of access to official information and to knowledge of their history, archives are fundamental to democracy, accountability and good governance (ICA 2007).

1.2.3 Electronic records (e-records)

Electronic records are informational or data files that are created and stored in digitized form through the use of computers and applications software (State of California 2002:3). They are stored on various magnetic and optical storage devices and are products of computer hardware and software. Unlike paper records, however, electronic records may be stored in various formats and on various media. For example, an electronic record may be saved as both a Word document and as a 'portable document format' or PDF, a format that allows documents to be saved and exchanged over the Internet without alteration (IRMT 2009a:1).

Electronic records can be further described as recorded information, documents or data that provide evidence of policies, transactions and activities carried out in e-government and e-commerce environments (IRMT 2004). According to IRMT (2009a:15) there are four common ways of creating, using and storing documents in an electronic environment: in personal computers, where individuals control the creation and use of the records; in shared computer servers, where individuals control the creation of records but share those records with others in the organization; in shared servers with

centralized control, where all individuals adhere to established procedures for creating and managing records; and in shared servers using electronic document or records management software, where control over the creation and use of records is strongly regulated. IRMT (2009a:15) noted further that each of these approaches to creating and using electronic records can result in different methods for managing those documents, particularly for naming, filing and accessing records.

Electronic records need to provide the same degree of evidence of business activity and the same level of accountability, and be able to function as social resources in the same way, as paper records, for the immediate and future needs of organizations, individuals and society (Australian Council of Archives 1996). Electronic records are preserved if, and only if, they continue to exist in a form that allows them to be retrieved, providing reliable and authentic evidence of the activity that produced the records (Lin, Ramaiah and Wal 2003:118). According to IRMT (2009b:7) there are many benefits associated with the use of new technologies in managing electronic records, including: widespread access, flexibility, efficiency and effectiveness, economic benefits, general business opportunities and auditing capabilities for regulatory compliance. However, e-records are susceptible to undetectable changes in content and format unless they are held securely and under defined and auditable procedures. These procedures must ensure that electronic records are an authentic and accurate representation of the transaction and have been safe from alteration (Lin, Ramaiah and Wal 2003:120).

According to IRMT (2009b:9) while information technologies have brought many benefits to organizations, they have also introduced a number of challenges and difficulties, including; technological obsolescence, technological dependence, increased risk of lost data and records, risks to reliability and authenticity, loss of security and privacy, increased costs, decentralization of information and the increased need for information technology specialists.

1.2.4 Records management

According to International Organization for Standardization (ISO) 15489-1 (2001) records management is defined as a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records. The definition suggested the management of records as valuable sources of evidence and to their role as the cornerstone of accountability and transparent governance (Mutula and Wamukoya 2009:334). Penn, Pennix and Coulson (1994:5), on the other hand defined records management as the management of any information captured in reproducible form that is required for conducting business. This definition stressed the management aspect. Therefore, an understanding of management principles helps to provide a better understanding of the records management function (Yusof and Chell 1999:10).

Records management is therefore, a management activity that ensures that complete, accurate and reliable records of organizational activities and processes are created, maintained in such a way that allows for their eventual retrieval for internal and external use and to prove that what an organization is doing, is in accordance with the will of the people (Sebina 2003:4). Practising good and effective records management is particularly critical to organizations. Good quality records are needed to ensure that the right decisions and actions are taken on the mission of the organizations. Trustworthy and accessible records are authoritative sources of evidence and information that support and sustain the credibility and accountability of any organization, be it government or private sector (Ismail and Jamaludin 2009:135).

According to Agere, Lemieux and Mazikana (1999:15) the major objectives of records management are:

- to provide improved filing procedures so that related information can be filed together and thus retrieved with ease when required;
- to control the manner in which information is created and the way in which incoming and outgoing mail is received, processed, distributed, used and stored;

- to provide economical storage of information by identifying, scheduling and disposing of outdated information, thereby reducing capital and recurrent investment and expenditure in filing equipment and floor space;
- to identify and make appropriate arrangements for the custody and preservation of records that are vital to the organization or have historical, research and other long term value; and
- to effect cost savings to the organization through the control of the creation, distribution and retention of copies of reports, forms and other multiple documents.

1.2.5 Recordkeeping

Recordkeeping has been defined as the process of creating, capturing, organizing and maintaining the records of an individual or agency (Millar 2003:2). Recordkeeping includes the following:

- the creation of records in the course of business activity and the means to ensure the creation of adequate records;
- the design, establishment and operation of recordkeeping systems; and
- the management of records used in business (traditionally regarded as the domain of records management) and as archives (traditionally regarded as the domain of archives administration) (State Records of New South Wales 2003).

According to National Archives of Australia (2001) good recordkeeping supports efficiency and accountability through the creation, management and retention of meaningful, accurate, reliable, accessible and lasting evidence of government activities and decisions. Wamukoya (2000:25) pointed out that the need for records and the role of recordkeeping operates in three distinct domains; that is the business domain, the accountability domain and cultural domain. The business domain requires that records must be produced and maintained to support the essential activities of the business process.

The accountability domain determines whether organizations or individuals have met defined organizational, business, legal, social or moral obligations. Records are an indispensable ingredient in organizational accountability. Proper maintenance of records and the proper provision of information empower citizens to exercise their civil rights, providing them with information and data which they can use to question or criticize government actions, and hold government officials accountable. The cultural domain demands that records are preserved and made available to society for posterity and for historical research. Since records document organizational history over time, these provide the basis for writing a country's cultural and national history (Wamukoya 2000:25).

1.2.6 Public sector/service reform programme

Reforms in organizations are aspects of organizational development, stability and change. In order to survive, organizations need to be flexible, and responsive, and must learn to be adaptive over time to changing contexts and demands (Bana and Ngware 2006:204). Public sector reform is about strengthening the way that the public sector is managed (Schacter 2000:1). PSRP is part of the agenda for improving governance, which includes three broad areas: rule based operation of the government itself to improve the supply of public goods³, voice and accountability for citizens to demand better public services, and more efficient and effective regulation of the private sector to improve its competitiveness (The World Bank 2008:4).

It is imperative to note that the reasons, motives and expectations for public service reform vary from country to country (Bana and Ngware 2006:204). In the developed countries, reforms are responses to citizens' demands for improved public services, a reduced tax burden, a smaller role of government and private sector participation and, for transitional economies, the goal is to break down authoritarian institutional structures. However, in developing countries, especially in Africa and South America, public service reforms are a direct consequence of the early experience of structural

³ Public goods are goods or services that can be consumed by several individuals simultaneously without diminishing the value of consumption to any one of the individuals.

adjustment programs, including aid conditionality, economic reforms, globalization, good governance and democratization (Bana and Ngware 2006:204).

1.2.7 Accountability

According to Marshall (2006:3) the notion of accountability can be challenging to define. This is in large part because different academic disciplines and professions have appropriated the term and assigned to it meanings particular to their own specific contexts. Thus, a central part of any productive discussion of accountability is carefully designating the context in which that conversation takes place. Meijer (2000:3) asserted that although there is no generally accepted definition of accountability, six elements can be distinguished, that is: there is an event that triggers the accountability process, a person or organization that is accountable, an action or situation for which the person or organization is accountable and a forum to which the person or organization is accountable. Further, there are also criteria to judge the action or situation, and if necessary, there are sanctions which can be imposed on the person or organization (Meijer 2000:3). Palmer (2000:63) insisted that accountability is a very crucial element of good governance and refers to holding government officials responsible for their actions in public management.

The ISO 15489-1 (2001) defined accountability as the principle whereby individuals, organizations, and the community are responsible for their actions and may be required to explain them to others. Records and archives are a powerful form of “social glue” for facilitating or not facilitating accountability (Wallace 2004:23). Accountability therefore, can be effectively served or deeply undermined by recordkeeping practices. The management of records and archives can compel, shape, distort and recover social interactions and memory (Wallace 2004:25). Organizations keep records so that they may produce informed accounts of their business processes. In the event that an account is queried, records can be accessed to clarify whatever is being questioned (Sebina 2006:3).

Thus, the interest in accountability within public sector reform was a desire to make public sector staff more accountable for their decisions and actions (Heeks 1998:6). McDonald (1998) insisted that without records, there can be no demonstration of accountability. Without evidence of accountability, society cannot trust its public institutions. Records will be especially relevant in documenting the event that triggers an accountability process in the public sector. In any situation, who is accountable, what they are accountable for, who they are accountable to, and the criteria by which performance is to be judged must be clearly documented in advance (Hurley 2005:224). Accountability depends on there being information and evidence relating to the account that is being made (Sebina 2006:3). Since records document what organizations do, they are an essential part of the entire accountability process.

1.3 Statement of the problem

Records are indispensable for the efficient management of organizations but are often undervalued, ignored or misunderstood (Williams 2006:1). The Public Service Reform Programme (PSRP) introduced in many African countries including Tanzania has consistently emphasized the importance of improving the quality of records management as a basis for decision making, more timely service delivery and financial savings (International Records Management Trust (IRMT) 2007:5; International Records Management Trust and The World Bank 2003; Manyambula 2009:27). However, the management of public records in many African countries has been characterized as an area of crisis (International Records Management Trust and The World Bank 2003; The World Bank and International Records Management Trust 2005).

Various studies from other African countries show that most governments pay little attention to the management of records in both paper and electronic formats, thus hindering the effectiveness of the public sector in enhancing service delivery, promoting efficiency, accountability and good governance (Kargbo 2009:255; Kemoni 2007:69; Mnjama 2004:6; Moloi and Mutula 2007:302; Mutula and Wamukoya 2009:337; Nengomasha 2009:122; Ngulube 2003a:18; Ngoepe and Van der Walt 2009:116).

In Tanzania, as it is in many other African countries the management of public records have been and still is in a very weak state (Katundu 2002:75; Kitalu 2001:8). The system of managing public records prior to 1997 had almost broken down (URT 2005). The situation in Tanzania is compounded by the fact that records, both in paper and electronic formats are inadequately and inefficiently managed (Kalumuna 2000; Kitalu 2001; Lyaruu 2005; Ndibalema 2001). Barata, Bennett, Cain and Routledge (2001) stated that managing records within individual ministries was fragmented and *ad hoc*. No one person was responsible for ensuring that public records were kept in good order and were destroyed on time, causing excessive volumes of records to build up and clog the system.

The World Bank and International Records Management Trust (2002a) indicated that the lack of proper records management in the ministries of Finance, Work, Health and Education in Tanzania were aggravated by the following factors:

- poor layout of and untidiness in the records storage area;
- regular loss of files and information;
- lack of file indexes and registers;
- lack of control of file movements;
- lack of retention and disposal schedules;
- poor supervision of records staff; and
- lack of knowledge of the importance of records (The World Bank and International Records Management Trust 2002a).

The lack of proper records management undermines accountability of the government, provision of access to information and reforming of the public service. Without proper systems for managing records, the public would not have the evidence needed to hold officials accountable for their actions. Certainly, it is evident that there are a number of studies to better understand the management of public sector records. However, there is little empirical research on the significance of records management to fostering accountability in the implementation of public service reform programme. In this regard, it is essential to conduct a study on these issues in order to provide empirical evidence on

the current records management practices in the government ministries of Tanzania and how the records management practices fostered accountability in the implementation of public service reform programme.

1.4. Purpose

The study seeks to examine current records management practices in government ministries of Tanzania in order to establish the extent to which they foster accountability in public service reform programme.

1.4.1 Research questions

The research questions for the current study were as follows:

1. What are the activities and strategies used in the management of public records in the government ministries in Tanzania?
2. What current means and processes are employed to make public records accessible?
3. What is the extent of computer applications in the management of electronic records in Tanzania?
4. What roles do the National Archives of Tanzania play in fostering the management of public records in the ministries of Tanzania?
5. What is the role of records and archives legislation in the management of public records in the ministries in Tanzania?
6. What are the factors that contributed to the current records management practices in the ministries in Tanzania?
7. What are the levels of skills and training of records managers in the ministries of Tanzania?
8. How did the introduction of the Public Service Reform Programme influence the current records management practices in government ministries of Tanzania?
9. What recommendations on records management issues, as they relate to fostering accountability in the PSRP, can be made?

1.5 Significance and contribution of the study

The significance of the study is concerned with three major questions identified by Creswell (1994:111): how is the study going to add scholarly research and literature in the field? how will the study improve practice? and why will the study improve policy?

The present study contributes to the existing body of knowledge with regard to the topic in question by integrating the records management practices and the implementation of the public service reform programme. A further discussion about the significance and contribution of the study is presented in Section 7.5 of Chapter Seven.

1.6 Originality of the study

Originality is a key benchmark to higher level research (Pearce 2005:13). Originality of the study is mainly concerned with the extent to which the study makes a significant and original contribution to knowledge of facts and/or other theories in the field of study (Phillips and Pugh 2005:62). Different characteristics in research have been identified as constituting originality some of these include: carrying out empirical work that has not been done before; continuing a previously original piece of work; being cross-disciplinary and using different methodologies; trying out something in a particular country that has been previously done in other countries; taking a particular technique and applying it in a new area (Phillips and Pugh 2005:62).

While the current study draws from extensive amounts of information on previous studies which have been done in the field of records management (Lyaruu 2005; Kemoni 2007; Kitalu 2001; Mnjama 2004; Nengomasha 2006; 2009; Ngoepe and Van der Walt 2009; Ngulube and Tafor 2006), it also brings a new ground by focusing on the significance of records management practices and how these practices fostered accountability in the public service reform programme in Tanzania. The use of mixed methods for data collection such as a questionnaire, interviews and observation helped the researcher to fit together the insights provided by quantitative and qualitative research in answering the research questions. The findings of the study focused on the government ministries of Tanzania, hence they are original in the use of this perspective. The study adopted a multidisciplinary approach by including records management issues

to the concept of the public service reform programme whose theoretical foundation is in the discipline of public administration.

1.7 Assumptions of the study

The study was based on the following assumptions:

- Records are the basis for accountability and effective delivery of services.
- Access to information legislation without the support of effective records management is a recipe for failure.
- Effective implementation of recordkeeping practices is a key to accountability in public service reform programme.
- Trained and skilled staff is a key to the effective records management and for making records accessible to users.

1.8 Methodology

The purpose of the study was to examine current records management practices in some government ministries of Tanzania in order to establish the extent to which they foster accountability in the public service reform programme. The study used primary and secondary sources of data. Primary data was collected using a questionnaire, three different interview schedules and an observation checklist. Secondary data was gathered by the review of literature related to this study. The review involved books, journal articles and conference proceedings, policy documents and legislation and reports from various national, regional and international organizations dealing with records management in developing countries.

The study used mixed methods investigation with quantitative and qualitative methods. The reasons for collecting both quantitative and qualitative data are to bring together the strengths of both forms of research to corroborate and validate results. The most prevalent approach in the study was quantitative using survey research method. The survey research method is the most widely used data gathering technique in sociology and the social sciences (Babbie and Mouton 2001:230). The purpose of survey research is to gather and analyze information by questioning individuals who are either

representative of the research population or the entire research population (Pickard 2007:95). Questionnaires were administered to registry personnel in the government registries, while structured interviews were administered to senior ministerial officials, National Archives personnel and Tanzania Public Service College staff (see Appendix 8). Neuman (2006:44) pointed out that researchers utilize questionnaires or interviews to learn people's beliefs and opinions in many research situations. Further, critical observation of the issues that were relevant to the study was made at the government registries.

The survey method was considered appropriate for this study because many researchers who investigated existing records management practices and archive administration used the survey methods for data collection (Chachage 2005; Chinyemba 2002; Garaba 2005; Kemoni 2007; Makhura 2001; 2005; Ndibalema 2001; Ngulube 2003a; Tafor 2001). Their data collection techniques included questionnaires, interviews and observations.

A discussion of the research methodology employed in the study is presented in Chapter Four.

1.9 Scope and delimitation of the study

According to Perry (2002:19) scope and delimitation of the study "builds a fence" around the research findings that are additional to the limitations and key assumptions established in the definition of terms. This study examined the significance of records management to fostering accountability in the public service reform programme of Tanzania. The scope of the study was restricted to the 20 government ministries of Tanzania (URT 2006a). All the government ministries have decentralized their services to the regions and districts, however the current study was only based in Dar es Salaam, the capital city of Tanzania and headquarters of the ministries. Government ministries are just a part of the Executive which is one of the three organs that make up the government of the United Republic of Tanzania. It did not cover the Judiciary and Parliamentary organs, and regional and districts offices scattered throughout the country

(URT 1997). It is expected that the results of the study will positively influence records management practices in the Judiciary, Parliament and the regions and districts of Tanzania.

1.10 Ethical issues

Ethics has been defined as the branch of philosophy which deals with one's conduct and serves as a guide to one's behaviour (Mugenda and Mugenda 2003:190). It defines what is or is not legitimate to do, or what moral research procedure involves (Neuman 2006:129). One reason for being completely ethical is that there are laws which prohibit unethical behaviour and researchers could be faced with extremely humiliating situations if such laws are ignored (Mugenda and Mugenda 2003:190; Neuman 2006:130). Before, during and after conducting a study, a researcher has opportunities to and should, reflect on research actions and consult his or her conscience (Neuman 2006:130). Ethical research depends on the integrity of the individual researcher and his or her values. Some of the ethical issues related to both researcher and the research subjects included scientific misconduct which includes plagiarism and research fraud, misusing privileges, for example using collected data to stigmatize somebody, maintaining confidentiality and privacy and ensuring anonymity of respondents. Other included confirming voluntary and informed consent of the participants (Babbie and Mouton 2001:520-523; Mugenda and Mugenda 2003:190-191).

Ethical issues were addressed in conducting this study. The study adhered to the University of KwaZulu-Natal research ethics' policy (UKZN 2007). The researcher received ethical clearance for the project and complied with the University's code of conduct for research throughout the study. A further discussion of ethical issues is presented in Section 4.7 of Chapter Four.

1.10 The structure of the thesis

The structure of the thesis is based on the guidelines and suggestions from the literature (Babbie and Mouton 2001; Leedy and Ormrod 2005; Neuman 2006; Phillips and Pugh 2005; Sekaran 2003). The thesis is divided into seven chapters.

Chapter One

This chapter provides introductory information and background to the study. It includes introduction, background information to the study, statement of the problem, purpose of the study and research questions, assumptions of the study and a brief outline of the methodology.

Chapter Two

This chapter describes the study area where the research was conducted. It also provides an overview of the public service reform programme and records management practices in Tanzania.

Chapter Three

This chapter deals with a theoretical foundation of the study and the literature related to the study. Building on the experiences of others, this chapter reveals what has previously been done on the topic and what is proposed in this study.

Chapter Four

The chapter looks at the entire research design and methodology employed in the study. The chapter explains data collection methods and statistical procedures used in analyzing the data. The chapter discusses issues of reliability, validity and ethical issues in the context of the study. The chapter evaluates methodology used in the study.

Chapter Five

This chapter presents the empirical results of the study. Empirical results were presented in the form of figures, tables and narrations.

Chapter Six

This chapter presents the interpretation of results and gives the evidence relevant to the research questions. The chapter conveys the meaning of findings and provides linkages to other sections including the research questions, theoretical framework and existing literature.

Chapter Seven

This chapter provides a summary, conclusions and recommendations of the study findings. The recommendations were made based on the research questions of the study. The chapter suggested areas for further research.

1.11 Summary

Chapter One has provided the background to the study and introduced the core research problem being investigated. The chapter provided an introduction and definition of key terms and concepts, background to the problem, and the research problem. Other issues were purpose, research questions, and assumptions of the study, methodology, scope and delimitations of the study, ethical issues and an outline of the thesis.

The main concern of Chapter One was to demonstrate that despite the fact that public records play an important role in government operations, in most countries records and information management systems are weak. In order to support accountability, records must be well managed, and must also be accessible. Further, records are fundamental in the achievement of public service reform programme objectives. However, in most countries, the link has also not been made between records management and the successful implementation of the public service reform programme. Chapter One narrowed down the research problem and laid the foundations for the following chapters. Thus, the following chapters searched for answers to the research questions raised in this chapter in order to expand the knowledge base on the significance of records management to fostering accountability in general and Tanzania in particular.

CHAPTER TWO: CONTEXT OF THE STUDY

2.0 Introduction

This chapter discusses the literature on records management and the public service reform programme in the Tanzanian context. First, the chapter presents a brief political history and the location of Tanzania. It provides an overview of Tanzania's social-economic conditions, as well as the composition and the functions of the government of Tanzania. Further, it discusses the background to reforms since independence and the different phases of the reforms. It also gives an overview of the records and archives management legislative environment in Tanzania and its effect on records management and access to information and records.

2.1 Brief political history of Tanzania

The United Republic of Tanzania was established on 26th April 1964, when Tanganyika and Zanzibar merged. A new constitution was introduced in July 1965, which provided for a one party state. Tanganyika National Union Party (TANU) and the Afro Shiraz Party (ASP) remained the respective official parties of the mainland Tanzania and Zanzibar, and co-operated in affairs of the state until 1977 (URT 2006b).

In 1967, TANU and ASP accepted a programme of socialism and self-reliance, known as the Arusha Declaration. Under this declaration, party and government officials were required to divest themselves of private sources of income. Socialist "Ujamaa" villages were introduced to speed rural development, the education system was re-organized in order to serve the mass of the population, and commercial banks and the few industries that had emerged were nationalized. In February 1977, TANU and ASP were merged to form "Chama Cha Mapinduzi" meaning Revolutionary Party (URT 2006b).

Tanzania remained a one party state until February 1992, when the government decided to adopt multiparty democracy which led to the registration of 11 political parties. "Chama Cha Mapinduzi" (CCM) has been the ruling party both before and after the introduction of the multiparty system. Elections are always held every five years (URT 2006b).

2.2 Location

The United Republic of Tanzania is located in Eastern Africa between longitude 29° and 41° East, and latitude 1° and 12° South (URT 2006c). The country covers an area of approximately 945,087 square kilometers, of which the land area is 886,037 square kilometers and water area (includes the islands of Mafia, Pemba and Zanzibar) is 59,050 square kilometers. The country has a coastline of 1,424 kilometers (CIA 2009). The country borders Kenya and Uganda to the North, Rwanda, Burundi and Democratic Republic of Congo to the West, Zambia, Malawi and Mozambique to the South and Indian Ocean to the East (URT 2006c).

2.3 Social economic conditions in Tanzania

Tanzania's economy depends largely on agriculture accounting for about 40% the country's GDP, provides 85% of exports, and employs 80% of the work force (Central Intelligence Agency (CIA) 2009; Kweka, Kabelwa and Musa 2006:3). The major cash crops are coffee, tea, cotton, cashews, sisal, cloves and pyrethrum. These crops account for the vast majority of export earnings (U.S. Department of State 2009). Accounting for about 22.7% of GDP, Tanzania's industrial sector is one of the smallest in Africa. The main industrial activities include producing raw materials, import substitutes, and processed agricultural products (U.S Department of State 2009).

Tanzania, like other African countries has been faced with the daunting tasks of nation-building and promoting social-economic development. In the first place Tanzania introduced economic reforms in the mid-1980s, and 1990s partly in response to the economic crisis of the early 1980s. Later on a shift was made from a public sector-led economy associated with central planning and administrative control of the economy towards a market-oriented economy associated with private sector-led development (Yambesi 2008:2).

In recognizing that the country is still far from becoming a developing state, the government has adopted Vision 2025, in which it articulates the objective of Tanzania as becoming a middle income economy and charts out a strategy for attaining that

objective. (Rugumyamheto 2005:5). Vision 2025 lays out the long-term developmental goals and perspectives, against which the strategy for poverty alleviation was formulated (URT 2000a; 2001). The implementation of Vision 2025 through the National Strategy for Growth and Reduction of Poverty (NSGRP) demands the involvement of both public and private sectors in implementing the three clusters, namely, economic growth and reduction of income poverty; improved quality of life and social well-being, and good governance and accountability (URT 2007a).

2.4 The Government of Tanzania

The United Republic of Tanzania (the then Tanganyika) became a sovereign state on 9th December 1961 and became a Republic in 1962. Whereas, Zanzibar became independent on 10th December 1963 and the People's Republic of Zanzibar was established after the revolution of 12th January 1964. The two sovereign republics formed the United Republic of Tanzania on 26th April, 1964 (URT 2007b). All state authority in the United Republic is exercised and controlled by the Government of the United Republic of Tanzania and the Revolutionary Government of Zanzibar (URT 2004a).

2.4.1 The composition of the government

For the purpose of the exercise of state authority of the United Republic of Tanzania; Article 4 of the Constitution of the United Republic of Tanzania 1977, provides for three organs of the Government; the Executive, the Parliament and the Judiciary (URT 2007b).

2.4.1.1 The Executive

The Executive of the United Republic comprises the President, the Vice-President, the President of Zanzibar, the Prime Minister and the Cabinet Ministers. The President of the United Republic is the Head of State, the Head of Government and the Commander-in-Chief of the Armed Forces (URT 1997; 2007a). Article 35 (i) of the constitution states "all executive functions of the government of the United Republic of Tanzania shall be discharged by officers of the government on behalf of the president" (URT 1997; 2004a; 2007a).

The President is the Leader of the Executive of the United Republic of Tanzania. Article 47(1) of the constitution states that the Vice President is the principal assistant to the President in respect of all matters in the United Republic generally and in particular is responsible for assisting the President in:

- following up on the day to day implementation of union matters;
- performing all duties assigned to him by the President; and
- performing all duties and functions of the office of the President when the President is out of the office or out of the country (URT 1997; URT 2004a; URT 2007b).

The Prime Minister of the United Republic is the Leader of Government business in the National Assembly as stated in Article 52(2) of the constitution. The Prime Minister also has authority over the control, supervision and execution of the day-to-day functions and affairs of the Government of the United Republic of Tanzania (URT 1997; 2004a; 2007a). The President of Zanzibar is the Head of the Executive for Zanzibar; Head of the Revolutionary Government of Zanzibar and the Chairman of the Zanzibar Revolutionary Council. The Cabinet, including the Prime Minister is appointed by the President from among members of the National Assembly (URT 1997; 2004a; 2007a).

The government of Tanzania is made up of 21 ministries (URT 2006d). The President appoints the Chief Executive for each ministry who is designated the title of Permanent Secretary. The Permanent Secretary is assisted by the Directors who head various divisions and departments in the ministries. The Directors are responsible for the day to day functioning of the ministries. The Chief Executives (Permanent Secretaries) of the ministries with their Directors are assisted by a team of technocrats (ministry senior staff of various professions) in the functioning of the ministries. The Permanent Secretary, Directors and the Chief Accountant in each ministry form the top management level of the ministries.

2.4.1.2 The Parliament

The Parliament (Legislature) is the third organ of the government. The Parliament of the United Republic of Tanzania consists of two parts, the President and the National

Assembly (URT 1997). The Parliament is responsible for making laws. It has the authority on behalf of the people to oversee and advise the government of the United Republic of Tanzania and all its organs in the discharge of their respective responsibilities (URT 1997; 2007a). It is in this capacity that the National Assembly debates the performance of each ministry during the annual budget session, debates and authorizes any long or short term plans which are intended to be implemented in the United Republic and enacts laws to regulate the implementation of the various plans (Mukangara 2000:31). The National Assembly is comprised of members elected directly to represent constituencies. Other members of the National Assembly include the Attorney General, members nominated by the President; and women members being not less than fifteen percent of the members of all other categories on the basis of proportional representation among those parties in the Parliament (URT 2007b).

The Parliament is headed by the Speaker who is assisted by the Deputy Speaker and the Clerk to the National Assembly as Head of the Secretariat of the National Assembly. For better discharge of its functions the National Assembly has various standing committees, each being responsible for specific functions. The standing committees are the Steering Committee, the Political Affairs Committee, the Public Accounts Committee, the Parastatal Accounts Committee, the Standing Orders Committees, the Foreign Affairs Committee, the Social Services Committee and the General Purposes Committee (URT 2004a; URT 2007b).

2.4.1.3 The Judiciary

The Judiciary consists of three organs: the Court of Appeal of the United Republic of Tanzania, the High Courts for Mainland Tanzania and Tanzania Zanzibar, the Judicial Service Commission for Tanzania Mainland (URT 2007b). The Judicial Service Commission for Tanzania Mainland consists of the Chief Justice of the Court of Appeal of Tanzania (Chairman); the Justice of the Court of Appeal of Tanzania; the Principal Judge of the High Court; and two members appointed by the President.

The Judiciary is headed by the Chief Justice, with the Registrar of the Court of Appeal as the Chief Executive Officer. The Principal Judge assisted by the Registrar of the High Court, is in charge of the Administration of the High court and the Courts subordinate thereto. The high court is divided into zones, which are administered by Judges in Charge with the assistance of district registrars. At Regional and District levels, the administration is under resident and District Magistrate in Charge. District Magistrates in Charge also supervises Primary Courts in their respective districts (URT 2007b). The Tanzania legal system is based on common law. The Tanzania Law Reform Commission is responsible for the review of the country's laws (URT 2004b; 2007a).

2.5 Local government authorities

Local Government Authorities exist for the purpose of consolidating and giving more power to the people to competently participate in the planning and implementation of development programmes within their respective areas and generally throughout the country (URT 2004a). Local government authorities are classified into two categories: urban authorities are responsible for the administration and development of urban areas ranging from townships to municipalities and cities. Rural authorities, commonly known as district councils, form the second category. All local government authorities are mandated to play two main functions of administration, law and order, and economic and development planning in their respective areas of jurisdiction (URT 2004a).

Further, for administrative purposes, Tanzania is divided into 26 regions: twenty one on the mainland, three on Zanzibar, and two on Pemba. Ninety nine district councils have been created to further increase local authority. These districts are also now referred to as local government authorities, created under the 1982 Local Government Act No. 8. Currently there are 114 councils operating in 99 districts; 22 of these councils are urban and 92 are rural. The twenty two urban units are classified further as city (Dar es Salaam and Mwanza), municipal (Arusha, Dodoma, Iringa, Kilimanjaro, Mbeya, Morogoro, Shinyanga, Tabora, and Tanga) with the remaining 11 communities being town councils (U. S. Department of State 2009).

2.6 Background to the public service reform programme

Tanzania attained independence in 1961. The political leadership identified poverty, disease and ignorance as the most critical enemies of the country's development. Efforts were made in order to wage and win the war against poverty, disease and ignorance in order to bring about prosperity to all Tanzanians (Bana and Ngware 2006; Bana 2009; Yambesi 2008).

The public service, being the strong arm of the government as well as the engine for growth and development, was expected to ensure that the war against the three developmental enemies was executed successfully (Bana 2009:3). However, by the late 1990s it was realized that it would take time for the government to combat and eradicate the three problems unless deliberate measures and mechanisms were put in place to strengthen and transform the public service into an institution of excellence, capable enough of playing a pivotal role in achieving sustained national economic growth and prosperity, and eradication of poverty in the 21st century (Bana 2009:3).

A number of reform initiatives in the public service were undertaken with the purpose of accomplishing the government's goals and objectives. Bana and Ngware (2006:200) pointed out that there are a number of internal and external forces which triggered reforms in Tanzania. These include the colonial heritage, the post-independence policies and structures, economic crises, the New Public Management (NPM) paradigm and the advent of globalization. The authors further stated that these factors, singly or in combination, contributed significantly to influencing reform in the public sector in general and the public service in particular.

2.6.1 The post independence period: 1961 to 1979

The first post independence government inherited and retained the colonial administrative and management systems, including institutions and structures. These institutions and structures were used effectively and efficiently to execute the government functions (Bana and Ngware 2006:200). Between early 1960s and late 1970s, the country adopted reform measures that were intended to respond to three

situations (Rugumyamheto 2005:5). First, there was a need to create a machinery to build the capacity of government to enable it to handle new responsibilities occasioned by the country's independent statehood. Building the capacity of the government involved setting up ministries and departments such as the Ministry of Foreign Affairs with the responsibility for ensuring territorial integrity and the Ministry or Department of Defence, and structuring and staffing them effectively and creating administrative infrastructures to spearhead development in the economic and social spheres (Rugumyamheto 2004:438; 2005:6).

Second, an independent government had to spearhead development in the economic and social spheres to respond to the expectations of the country's population. Thus, the early reforms involved setting up structures at provincial, that is the renamed region, district, division and ward levels and numerous service delivery points. Third, the efforts involved building from scratch a cadre of public service personnel to take charge of the new and expanded functions (Rugumyamheto 2004:438; 2005:6).

2.6.2 The civil service reform era: 1980 to 1999

The current Public Service Reform Programme (PSRP) has its roots in the earlier Civil Service Reform Programme (CSRP) that was officially launched in July 1991 (Bana 2009:3; Bana and Ngware 2006:205; Rugumyamheto 2005:5). Civil service reform in Tanzania was the result of serious problems of overstaffing, low pay and under resourcing of basic services and crowding out of operational spending which resulted in the decline of real wage levels and the quality of government, collapse in services and a growth in maladministration and corruption (Clarke and Wood 2001:71). The vision of the Tanzania's Civil Service Reform Programme (CSRP) process was to achieve a smaller, affordable, well compensated, efficient and effectively performing civil service. The operational steps for attaining this goal was through downsizing, capacity enhancement, motivation and decentralization, all being activated simultaneously (Halfani 1998; Rugumyamheto 2004; Teskey and Hooper 1999).

The programme had a number of specific objectives (Halfani 1998; Rugumyamheto 2004; Teskey and Hooper 1999). According to Halfani (1998) the CSRП had the following objectives:

- to redefine the roles and functions of the Government with a view to hiving-off functions not considered a necessary part of government, reducing the scope of Government operations to an affordable scale, and restructuring its organization and operations to achieve efficiency and effectiveness in the delivery of public services;
- to control the size and growth of government employment so that over staffing was eliminated and the government could ultimately afford to competitively compensate its employees;
- to improve the quality, capacity, productivity and performance of civil servants through strengthening the systems and procedures for personnel recruitment, deployment, grading and promotions, training and discipline; and
- to rationalize and enhance civil service pay by eliminating the distortions and anomalies that have crept into the system. The last objective was to support the decentralization of government functions by rationalizing central and local government linkages, and facilitating the further transfer of authority, responsibilities and resources to the districts (Halfani 1998).

The CSRП helped the government to redefine its roles and functions matching them to its capacity, withdrawing from direct production of goods and services, and enhancing the participation of the private sector and non-governmental organizations in the delivery of services (Rugumyamheto 2004:439; URT 2002). Employment levels were rationalized, controls over public expenditure and employment restored, regional administration has been restructured and decentralization and local government reform programmes defined and launched (URT 2000b).

In spite of the achievements of the CSRП, by the late 1990s, it became apparent that the CSRП had limitations in terms of scope and design and the impact it would have on improving the public service (Cain *et al* 2001:418; Rugumyamheto 2004:439; URT

2007c). First, following significant downsizing and the achievement of macroeconomic stability, the need to impose further cost containment lessened. Second, the country has moved towards political pluralism which amplified citizens' demands for improved service delivery. Such improvements were unlikely to arise through the programme's earlier narrow focus on cost cutting. Third, the CSRP imposed significant hardships on the general population, for example through the imposition of cost sharing and retrenchment (URT 2007c).

As a result the government opted for a more comprehensive programme with a long-term perspective, the Public Service Reform Programme (PSRP), which makes service delivery improvement a core objective.

2.6.3 The public service reform era: 2000 to 2012

The PSRP which was launched in 2000 has in the medium term (2000 – 2007) a strong focus on improving public service delivery (URT 2003a). The overall purpose of the PSRP was to support the attainment of a high rate of economic growth and ensure that delivery of quality services within the priority sectors conforms to public expectations for value, satisfaction and relevance by the end of 2012. Thus, the PSRP aimed at the total transformation of the public service into an efficient, effective and outcome-based institution. The reform had the following features (Rugumyambeto 2004:439; URT 2004b):

- a strong focus on service delivery improvements;
- shifting primary implementation responsibility of the reforms to ministries, departments and agencies;
- emphasis on institutional pluralism in the delivery of public services;
- ensuring it is linked with other public sector reform; and
- improving staff incentives framework under severe budgetary constraints.

The PSRP takes a long-term perspective in recognition that the transformation of the public service would require a decade of sustained reform to fully realize the programme's development objectives. The vision statement "the Public Service as a

national institution of excellence playing a pivotal role in achieving sustained national economic growth and prosperity, and eradication of poverty in the 21st century" is considered to be a long-term process (URT 2000b; 2004b). It entails progress beyond structural and process changes in the operations of public service organizations, to a cultural re-orientation of public servants, as well as the public of Tanzania (URT 2004b). Public servants need to adopt a mindset to serve Tanzanians with efficiency, effectiveness and with the highest standard of courtesy and integrity. The public need to demand due rights and services from public servants (URT 2004b). The PSRP is being implemented in two phases, each having a different theme (URT 2007c).

2.6.3.1 Phase One – Instituting performance management systems: 2000-2007

During this phase, reform activities became fully integrated into the machinery of government. The central thrust of this phase of the reform programme was the installation of performance management systems in public institutions (URT 2007c). The goal was to achieve significant medium term improvements in the quality of public services even under the severe budgetary constraints which were likely to prevail throughout this period (URT 2007c).

In relation to service delivery objectives, this phase focused on the administrative and technical support requirements necessary to institutionalize service improvement processes in ministries, departments and agencies (MDAs), including the provision of client and business surveys, the decentralization of service delivery responsibilities to local governments, the privatization and contracting out of key functions, the transfer of functions to executive agencies, the reform of sector training institutions, re-tooling, systems development and regulatory reforms in the ministries concerned (URT 2000b; 2002).

In terms of implementation, PSRP I installed a number of key management systems and processes which will be institutionalized during phase two. Some of these include:

- a performance management system was introduced in 34 ministries and departments, 21 regional secretariats, and 2 independent departments. The

- process included the creation of strategic plans, action plans, and client service charters, establishment of a monitoring and evaluation systems;
- a performance improvement fund was established to allow ministries, departments and agencies to access additional financial resources in support of strategic initiatives emerging from performance management systems;
 - the Government harmonized national planning and budgeting processes;
 - the average pay of public servants continued to rise steadily. For example, from September 2000 to July 2006, gross wages increased by an average annual rate of 19.6% in Tanzanian Shillings and 10.2% in US Dollars;
 - processes for human resource management like appointments, transfers, promotions, and appraisals were re-engineered to promote more decentralized decision-making, to move towards a system of position management, and to reduce delays in payroll processing. Initial steps to computerize human resource processes were undertaken in 10 ministries and independent departments; and
 - subject file management systems were rolled out to 34 ministries, independent departments and agencies (MDAs) and 39 local government authorities (LGAs). The process of undertaking a similar reform of personnel records management began and was completed in 7 MDAs (URT 2007c; 2007d).

2.6.3.2 Phase Two - Enhancing performance results and accountability in the public service: 2008-2012

PSRP phase two focuses on changing the mindset of the public service towards greater orientation for performance results and accountability to the public. It was noted that weak accountability emerged as a cross cutting issue throughout phase one of the PSRP (URT 2007c). Thus, the strategic emphasis of PSRP is to transform the culture of public service delivery to that of demanding improved performance, with an emphasis on results and greater accountability (URT 2007d). Phase two focuses on the following areas:

- improvement in the policy-making, processes and regulatory capacity of MDAs and LGAs that will contribute to a more predictable and well regulated environment for service delivery institutions and for private sector development;

- improvement in the use of performance management systems by ministries, departments and executive agencies and their linkages to service delivery, as measured by client service charters, and self-assessment tools;
- improvement in the management of public servants, measured by the percentage of staff targets realized in MDAs; and
- greater access to information and responsiveness to the demands of stakeholders as measured by feedback on client service charters that contribute to greater transparency and accountability of government and improved governance (URT 2007d).

The overall goal of PSRP II was to put in place systems, processes and structures that enable each MDA to develop the capacity and perform efficiently and effectively in service delivery. To achieve this goal, the following outcomes were planned: reduced bureaucracy and red tape in the delivery of services; systems and structures to enhance access and efficiency of service delivery; efficient delivery of internal operational and administrative services in MDAs; and improved management of information that supports service delivery (URT 2007c).

PSRP phase two was designed to achieve its strategic objectives through seven key result areas (KRA's), namely: systems to support service delivery; policy development; pay incentives and rewards; accountability and responsiveness to the public; systems for managing public servants; leadership development and change management and reform coordination (URT 2007c). Thus, this phase is recognized as a key element in achieving the National Strategy for Growth and Reduction of Poverty (NSGRP) goals, which means growth and reduction of income poverty and improvement in the quality of life and social well being.

IRMT (2007) pointed out further that a key component of phase two of the PSRP was to promote e-government and knowledge management as a means of improving governance and service delivery. Tanzania was moving forward to enhance its ICT infrastructure and to develop its capability to deliver services using new technologies.

The government recognized the need to incorporate records management in the design of ICT systems so that they were capable of managing, protecting and providing reliable information over time. However, the objective has yet to be achieved (IRMT 2007).

2.7 Records and archives management legislative environment

The need to preserve records in Tanzania can be traced back to 1920, when a British officer discovered hidden among a mass of German documents, mostly rat and ant eaten, secret instructions issued in 1916 by the last German Governor, that all the most valuable government files should be buried in Tabora and in different places, so as to prevent them falling into enemy hands, namely those of the British (URT 2002; 2003b). The discovery led to negotiations between the British administration in Tanganyika and German Government, to dig up most of the buried records wherever they were hidden. These now form the nucleus of the records of German activities in Tanzania and are kept permanently at the National Archives of Tanzania (Manyambula 2009:23). The British administration in Tanzania used a different system to manage its records from current to non-current stage. In 1931, a Records Disposal Ordinance governing court records was introduced (Manyambula 2009:24).

In 1962, Marcia Wright investigated the condition of public records in Tanzania and her report revealed that secretariat archives were in immediate danger of destruction and were stored in a virtually roofless warehouse. The Government acknowledged the valuable contribution of Marcia Wright, and decided to workout modalities of establishing archival institution. In 1963, the United Nations Educational Scientific and Cultural Organization (UNESCO) expert, J. E. Ede, on the recommendation of Marcia Wright, took over the responsibility for the public records. Ede initiated the move to establish the National Archive as a government office (Nyirenda 1993; URT 2002). By means of the Presidential Circular No.7 of December 1963, the National Archives became a division under the Ministry of National Culture and Youth. The circular emphasized the proper care and disposal of public records (Manyambula 2009:24). The aspects emphasized included orderly arrangement and storage of records, and that the care of records must begin where and when they were created by the agency until they

found their final destination. The circular also posed limitations to access public records (Manyambula 2009:25).

Records management in Tanzania was officially launched in 1965 when the National Archives Act No. 33 was passed by parliament. Most of the contents of the Presidential circular letter No. 7 were included in the National Archives Act. The major aim of the Act was to establish the National Archives of Tanzania, in order to give it wider powers to oversee records management activities from the time of records creation to their preservation stage (Mlyansi 2000). The Act was amended in 1979 to National Archives Amendment Act No. 6 of 1979 and 1991 (Nyirenda 1993). A new Records and Archives Management Act was passed in January 2002. The passing of the Records and Archives Management Act of 2002 was necessitated by several factors, including: the fact that the Records Disposal Ordinance Cap. 9 of 1931 and the National Archives Act of 1965 had failed to provide the kind of records management environment in which records could be accessed timeously to satisfy the ever changing political, social and economic contexts (Katundu 2002:77). Several amendments made subsequent to the 1965 National Act implied that it had severe inadequacies as regards to records management in the public sector.

The Records and Archives Management Act of 2002 established the Records and Archives Management Department (RAMD) to provide for the proper administration and better management of public records and archives throughout their life cycle. It also repealed the Records Disposal Ordinance, 1931 and the National Archives Act, 1965. The Act provided RAMD with a clear mandate to oversee records management across the public service (The World Bank and International Records Management Trust 2002a). Manyambula (2009:25) pointed out that although there were early efforts to control and manage records in the government registries from their creation to their final disposition, the situation deteriorated year after year. In the government ministries, files continue to increase, clogging the most valuable office space. The incidence of lost files,

poor services to the public, and “ghost workers”⁴ continued to increase. Closed files were not separated from the current ones. Hundreds of thousands of files which had for a long time ceased to have an administrative, financial, legal or historical significance continued to be held in registries and offices.

According to Manyambula (2009:25) the poor state of recordkeeping is influenced by a number of reasons. First, the records at different stages of the life-cycle were managed by different agencies. The Civil Service Department was responsible for managing current records, whereas the National Archives was responsible for managing non-current records with permanent value. Managing semi-current records was the responsibility of the National Archives in collaboration with the creating departments. This situation caused the registries in government ministries to be congested with semi-current records. There were inadequate mechanisms for the transfer of semi-current records from ministries to the National Archives. As a result there was a huge backlog of semi-current and non-current records in ministries.

Secondly, the National Archives Act, 1965 covered only the non-current records, whereas current and semi-current records were left without legal backing. Therefore there was no control of records during the creation stage. In that regard, heads of public offices assumed no responsibility to manage effectively their records.

Thirdly, registries in ministries, independent departments and regions generally had and still have inadequate storage facilities, accommodation and supplies. Due to space problems most of the public offices accommodate both closed and current records in the same storage area.

Lastly, most of the registries were staffed by officers who had received little or no records management training. In-service registry training and staff development ceased for some time. Registries were a dumping place for non-performance employees. Sometimes

⁴ Ghost workers refer to the presence of employees' names in the government payroll which either do not exist or already have been removed from the payroll.

office attendants, messengers and gardeners were promoted and worked as registry personnel (Manyambula 2009:26).

Between 1997 and 2001, with support provided by the United Kingdom (UK) Department for International Development (DFID), the International Records Management Trust (IRMT) worked in partnership with the Tanzania National Archives on a records management improvement programme. The key objectives of the programme were to:

- identify and remove from current records systems, records which were no longer in active use and establish efficient registry systems in selected ministries;
- train staff in selected ministries in the appraisal, decongestion and restructuring of records and records systems, develop records retention and disposal schedules;
- prepare a scheme of service for a records management cadre;
- strengthen the capacity of records management staff; and
- establish a viable legal and organizational framework for records management (IRMT and Techtop Consult (Tanzania) Ltd. 2006; URT 2003b; The WB and IRMT 2002a).

Further, the government under public service management introduced the information technology and systems component with the purpose of ensuring that effective computerized and manual information and records systems were put in place to plan, manage, control and support the operations of the public service (URT 2006e). The component brought together two interrelated sub-components; the management information and technology sub-component; and records and archives management sub-component (URT 2006e).

The records management sub-component focuses on improving the quality and availability of information within the Tanzania public service by assisting the government ministries to develop efficient, effective and sustainable records management systems and promote effective archives management by ensuring the

increase in usage of archival materials preserved for heritage and easily accessed by the public and government agencies (URT 2006e).

2.8 Access to information and records

Access to information is essential to democracy and development. Freedom of Information (FOI) laws are intended to promote accountability and transparency in government by making the process of government decision-making more open (Transparency International (TI) Source Book 2000). Freedom of expression, including the right to access, receive and impart information, is enshrined in international law (HakiElimu, LHRC and REPOA 2005). In Tanzania, the right to be informed, and to access and disseminate information, is recognized in Articles 18(1) and 18(2) of the Constitution of the United Republic of Tanzania of 1977 which states that (URT 1997):

Without prejudice to expression the laws of the land, every person has the right to freedom of opinion and expression, and to seek, receive and impart or disseminate information and ideas through any media regardless of national frontiers, and also has the right of freedom from interference with his communications.

Every citizen has the right to be informed at all times of various events in the country and in the world at large which are of importance to the lives and activities of the people and also of issues of importance to society (URT 1997).

The rights and freedoms enumerated in Part III of the Constitution are considered basic rights and are arguable before the courts. In practice, however, the extent to which these constitutional mandates are enjoyed by most citizens is far from certain (HakiElimu, LHRC and REPOA 2005). The general public lacks awareness of its rights. In addition, many lack the resources to litigate for the protection of these rights (Cox and Wallace 2002; TI Source Book 2000). Mechanisms have not been enacted to provide guidance to citizens on exactly how to access government information.

As is the case in many countries, the Tanzanian government ministries, departments, organs, institutions, do not feel legally obliged to give citizens access to the vital information they hold (Mwakyembe 2000). The majority of government records held in registries are classified confidential with no standard procedure in place to declassify them. A high proportion of classified information runs counter to the citizen's right to be informed (Cain *et al.* 2001:417). The Tanzanian government has the right to withhold information for reasons of national security and legislative provision. Further, the effects of closing archives for longer periods (a thirty year rule) as per the Records and Archives Management Act No. 3 of 2002 defeats the essence of accountability of government and the people's right to information in Tanzania.

2.9 Summary

Chapter Two provided a brief political history of Tanzania, socio-economic conditions of Tanzania and the composition of the government of Tanzania. The chapter discussed the background to public service reform and different phases of reforms. The chapter also provided an overview of records and archives management legislative environment in Tanzania and its effect on records management. The chapter also briefly discussed the right of access to information as stipulated in the Constitution of the United Republic of Tanzania and issues of access to information and public records in the government ministries of Tanzania.

Key themes that emerged from this chapter were that Tanzania faced various social-economic challenges such as reforming the public service in order to make the government more accountable in provision of service to the public. The chapter established a link between proper records management, access to information and the implementation of public service reform programme. The chapter therefore provided an overview of the context of the current study, setting the way for the next chapter, theoretical framework and the literature review.

CHAPTER THREE: THEORETICAL FRAMEWORK AND LITERATURE REVIEW

3.0 Introduction

This chapter provides the theoretical foundation of the study as well as literature on records management, accountability and the public service reform programme. Building upon previous studies, this chapter begins by addressing the purposes for which the literature was used in the current study and shows how the literature review for this study is organized. The chapter also presents the theoretical foundation of the study. The records life cycle model, continuum model, integrated approach and records entity life history are discussed.

The literature review is structured around the following themes, as they relate to the research questions of the study: activities and strategies used in the management of public sector records, access to information and records management, the extent of computer applications in the management of public records, the National Archives and the role of archives and records management legislation in managing public records, and education and training of records management professionals. Lastly, the chapter presents a review of the management of public sector records in developing countries including Tanzania.

3.1 Benefits and characteristics of a review of literature

Researchers almost never conduct a study in an intellectual vacuum, no matter how innovative the topic or the procedure is, their studies are usually undertaken within the context of an existing knowledge base (Neuman 2006:111; Polit and Beck 2004:88). Therefore, a literature review is necessary to set the stage for a clear formulation of the research problem (Frankfort-Nachmias and Nachmias 1996; Welman, Kruger and Mitchell 2005:39). A literature review is based on the assumption that knowledge accumulates and that people learn from and build on what others have done (Neuman 2006:111).

A literature review has been defined as a systematic, explicit, and reproducible method for identifying, evaluating, and interpreting an existing body of completed and recorded work produced by researchers, scholars, and practitioners (Fink 2010:3). A literature review is central to the research process and can help refine a research question through determining inconsistencies in a body of knowledge (Cronin, Ryan and Coughlan 2008:43). A literature review is a process of identifying potentially relevant sources, an initial assessment of these sources, thorough analysis of selected sources and the construction of an account that integrates and explains relevant sources (Kaniki 2006:19; Mugenda and Mugenda 2003:20).

Various scholars have highlighted the importance of conducting a literature review (Blaxter, Hughes and Tight 2006:122; Creswell 1994:22; 2003:29; Polit and Beck 2004:88; Marczyk, DeMatteo and Festinger 2005:33; Mugenda and Mugenda 2003:21; Ridley 2008:1; Trochim 2001:27). A review of literature is important because it enables the researcher to acquire an understanding of the topic, identify related research and place the work in the context of what has already been done (Blaxter, Hughes and Tight 2006:122; Creswell 2003:29; Marczyk, DeMatteo and Festinger 2005:33; Mugenda and Mugenda 2003:21; Ridley 2008:1; Trochim 2001:27). A review of literature also provides a useful backdrop for the problem – who has written about it, who has studied it, who has indicated the importance of studying the issue and the methodological approaches used in those studies (Creswell 1994:22).

Further, a review of literature describes theoretical perspectives and previous research findings regarding the problem at hand (Leedy and Ormrod 2005:64; Neuman 2006:111; Polit and Beck 2004:89). A literature review outlines the direction of research on a question and shows the development of knowledge (Neuman 2006:111). Knowing the current status of the body of knowledge in the given research field is an essential first step for any research project (Iivari, Hirschheim and Klein 2004:315). A detailed knowledge of what has been done helps the researcher to avoid unnecessary and unintentional duplication, forms the framework within which the research findings are to be interpreted and demonstrates his or her familiarity with the existing body of

knowledge (Hesse-Biber 2010:37; Mugenda and Mugenda 2003:29). Familiarization with previous studies can also be useful in suggesting research topics or in identifying aspects of a problem about which more research is needed (Polit and Beck 2004:48). Such a review enables researchers to indicate exactly where the proposed research fits in (Welman, Kruger and Mitchell 2005:38).

A literature review provides the framework for establishing the importance of the study as well as a benchmark for comparing the results of a study with other findings (Creswell 2003:30; Neuman 2006:111; Welman, Kruger and Mitchell 2005:38). The findings will be significant only to the extent that they are the same as, or different from, other people's work and findings (Neuman 2006:111). A literature review reveals what strategies, procedures and measuring instruments have been found useful in investigating the problem in question. This information helps one to avoid mistakes that have been made by other researchers and also helps one to benefit from other researchers' experiences (Mugenda and Mugenda 2003:30).

Various scholars have provided various types of literature reviews. For instance, Neuman (2006:112) presented the six types of literature reviews:

- Context review, in which the author links a specific study to a larger body of knowledge;
- Historical review, in which an author traces an issue over time;
- Integrative review, in which an author presents and summarizes the current state of knowledge on a topic, highlighting agreements and disagreements within it;
- Methodological review, in which an author compares and evaluates the relative methodological strength of various studies and shows how different methodologies, for example research design, measures and samples, account for different results, whereas in a self-study review an author demonstrates his or her familiarity with a subject area; and
- Theoretical review, in which an author presents several theories or concepts focused on the same topic and compares them on the basis of assumptions, logic consistency and scope of explanation (Neuman 2006:112).

More or less similar types of literature reviews were presented by Kaniki (2006:17) who indicated that the literature review can present the following types of reviews:

- Historical review, which considers the chronological development of the literature and breaks the literature into stages or phases;
- Thematic review, which is structured around different themes or perspectives and often focuses on debates between different schools;
- Theoretical review, which traces the theoretical development in a particular area, often showing how each theory was supported by empirical evidence; and
- Empirical review, which attempts to summarize the empirical findings on different methodologies.

Cooper (1984) further suggested that the literature reviews can be integrative, with the researchers summarizing broad themes in the literature; or a theoretical review, where the researcher focuses on extant theory that relates to the problem under study. A final form is a methodological review, in which the researcher focuses on methods and definitions. These reviews may provide not only a summary of studies but also an actual critique of the strengths and weaknesses of the method.

The present study adopted a combination of integrative, thematic, theoretical and empirical approaches to presenting the literature related to the study. The literature review chapter discusses the different models of managing public records. The literature review for this study was conducted thematically, by organizing the available literature into sections that focus on themes relating to the study. The review included empirical research that is closely related to the study including, theses and dissertations, articles from professional and scholarly journals, periodicals, government publications, and textbooks.

3.2 Theoretical framework of the study

This section provides the theoretical framework and the models which guided this study. A theoretical framework is a conceptual model of how one theorizes or makes logical sense of the relationships among the several factors that have been identified as

important to the problem (Sekaran 2003:87). Generally, the theoretical framework discusses the interrelationships among the variables that are deemed to be integral to the dynamics of the situation being investigated. From the theoretical framework, therefore, testable hypotheses can be developed to examine whether the theory formulated is valid or not (Sekaran 2003:87). The purpose of a theoretical framework is to make research findings meaningful and generalizable. They help to stimulate research and the extension of knowledge by providing both direction and impetus (Polit and Beck 2004:119).

The term theory is used in a variety of different ways (Bryman 2004:5; Polit and Beck 2004:114), but its most common meaning is an explanation of observed regularities (Bryman 2004:5). Scientists have used theory to refer to an abstract generalization that offers a systematic explanation about how phenomena are interrelated. Others, however, use the term theory less restrictively to refer to a broad characterization of a phenomenon (Polit and Beck 2004:114). Theory is a set of interrelated constructs (concepts), definitions and propositions that present a systematic view of phenomena by specifying relations among variables, with the purpose of explaining and predicting the phenomena (Kerlinger 1985:5; Ruane 2005:48; Welman, Kruger and Mitchell 2005:21). Creswell (2003:120) added that a systematic view might be an argument, a discussion or a rationale and it helps to explain or predict phenomena that occur in the world.

Theory plays a number of roles in research. It can help to decide what and how the research is conducted. It can be crucial in transferring findings to new settings, and an important end - product of research findings (Gorard and Taylor 2004:163). A theory is itself a potential source of further information and discoveries. It is in this way a source of new hypotheses and as yet unasked questions; it identifies critical areas for further investigation; it discloses gaps in our knowledge; and enables researchers to postulate the existence of previously unknown phenomena (Cohen, Manion and Morrison 2000:11). McMillan and Schumacher (2001) pointed out that certain criteria must be present for a theory to be useful in the development of scientific knowledge. The authors noted that a theory should provide a simple explanation of the observed relations relevant to a

phenomenon; it should also be consistent with both the observed relations and an already established body of knowledge. Further, a theory is considered a tentative explanation and should provide means for verification and revision, and it should stimulate further research in areas that need investigation.

Sometimes the word model is used instead of, or interchangeably with theory. Cohen, Manion and Morrison (2007:13) noted that though models are often characterized by the use of analogies to give a more graphic or visual representation of a particular phenomenon, both may be seen as an explanatory device or scheme having a broadly conceptual framework. Models are referred to as simulations or as representations of relationships between and among concepts (Sekaran 2003:98).

A model is viewed as a representation of reality; it delineates those aspects of the real world the scientists consider to be relevant to the problem investigated; it makes explicit the significant relationships among those aspects, and it enables the researcher to formulate empirically testable propositions regarding the nature of these relationships (Frankfort-Nachmias and Nachmias 1996:44). Models can be of great help in achieving clarity and focusing on key issues in the nature of the phenomena (Cohen, Manion and Morrison 2000:12). They are the tools that provide questions, pointers and directions for inquiry which might if pursued, lead to a better understanding of the case under investigation (Mouton and Marais 1993:139). In the present study, theory and model were treated as one, where models were used to explain theories that guide the study.

3.3 The use of theory in quantitative, qualitative and mixed methods research

Quantitative studies use theory deductively and place it towards the beginning of the plan for study (Creswell 2003:125). When quantitative research is performed within the context of a theoretical framework, that is when previous theory is used as a basis for generating predictions that can be tested through empirical research, the findings may have a broader significance and utility (Polit and Beck 2004:49). The objective is the testing or verifying of a theory rather than developing it. The researcher advances a theory, collects data to test it, and reflects on the confirmation or disconfirmation of the

theory by the results. The theory becomes a framework for the entire study, an organizing model for the research questions or hypotheses and for the data collection procedure (Creswell 2003:125).

On the other hand, qualitative inquiries use theory as an inductive process of building from the data to broad themes to a generalized model or theory. The researcher begins by gathering detailed information from participants and forms this information into categories or themes. These themes or categories are developed into broad patterns, theories or generalizations that are then compared with personal experiences or with existing literature on the topic. The development of themes and categories into patterns, theories or generalizations suggests a varied end point for qualitative studies (Creswell 2003:133).

In mixed methods research, the use of theories may be directed by the emphasis on either quantitative or qualitative approaches (Creswell 2009:140). In this research, theories are found at the beginning sections as orienting lenses that shape the types of questions asked; who participates in the study; how data are collected, and the implications made from the study (Creswell 2009:208). This study used a mixed methods approach where quantitative method was the dominant method and qualitative as the less dominant model. The theoretical framework was used to provide a broad explanation and as a theoretical perspective that guided the study.

3.4 Models and theoretical perspectives that guide the study

According to IRMT (1999a:14) the care of records and archives, particularly within the context of the public sector, is governed by four important principles or theories. These are:

- that records must be kept together according to the agency responsible for their creation or accumulation, in the original order established at the time of their creation;
- that records follow a life cycle;
- that the care of records should follow a continuum; and

- that records can be organized according to hierarchical levels in order to reflect the nature of their creation (IRMT 1999a:14).

The records life cycle and records continuum are the dominant models in the archival and records management field (Chachage and Ngulube 2006). However, IRMT (1999a:23,58) postulated an integrated approach to records management, in which the life-cycle and continuum models are blended in an integrated records and archives management system. Further, Shepherd and Yeo (2003:8) refashioned the life cycle concept using the entity life history developed by Jackson in 1983. The following section presents the discussion of the four models of managing records as discussed by different scholars.

3.4.1 Records life cycle

The life cycle concept has been regarded as a theory which provides a framework for the operation of a records management programme (Penn, Pennix and Coulson 1994:12). The life cycle concept dates from the 1930s and is attributed to Schellenberg of the National Archives of the United States of America (USA) (Shepherd and Yeo 2003:5; Yusof and Chell 2000:135). The concept was developed in response to the ever increasing volume of records produced by organizations (Yusof and Chell 2000:135).

The life cycle concept is based on the fact that recorded information has a life similar to that of a biological organism in that it is born (creation phase), it lives (maintenance phase) and dies (disposition phase) (Penn, Pennix and Coulson 1994:12; Shepherd 2010:181; Williams 2006:10). Since the 1950s many variants on the records life cycle concept have been modeled. Most models aim to show a progression of actions taken at different times in the life cycle of a record, typically, its creation, capture, storage, use and disposal. Some writers showed the life of records as a linear progression while others describe a loop or a circle (Shepherd and Yeo 2003:5).

For instance, Stephens (1996:76) observed that in the United Kingdom the records or information life cycle is usually considered to be composed of at least three stages. The

three stages of the life cycle was also shared by Charman (1984:2) who stated that the life cycle of a record is in its progression from creation to final disposition. It includes:

- Current records: records that are required regularly for the current business of an agency or organization and continue to be maintained in their place of origin or receipt, records in this stage are sometimes called active records.
- Semi-current records: records that are required so infrequently for current business that they should be transferred to a records centre pending their ultimate disposal.
- Non-current or inactive records: records which are no longer required for current business and should be either destroyed or transferred to an archival repository.

Further, Penn, Pennix and Coulson (1994:11) indicated that the life cycle of records can be divided into five major phases, that is creation, distribution, use, maintenance, disposal or archival. Goodman (1994:134) listed ten stages of the records life cycle concept, namely: design and creation of records; identification; authorization; verification; validation and auditing; circulation; access; loan and use; backup procedures and disaster recovery plans; and retention schedules and destruction.

Different interpretations concerning the number of stages in the life cycle of records are continued by Robek, Brown and Stephens (1995:7). The authors noted that one of the essential characteristics of records is its value. Like other organizational assets, their value for business purposes tends to decline as the time passes and at some point, they become useless and may be discarded. The authors identified five major stages in their life cycle. They outlined the creation stage, the distribution and use stage, storage and maintenance stage, the retention and disposition stage and archival preservation stage. According to Williams (2006:11) the modified records life cycle model is useful because it enables archivists and records managers to track, in a sequential process (see Table 1), the progress of a record and to ensure that the right processes are undertaken at each phase of its life.

Table 1: The modified records life cycle processes

Phase	Considerations	Processes
Gestation (prenatal phase)	Does this activity need recording?	Decisions about its form, content, life span – before it is created
Creation and capture	Records are created/received and captured in a recordkeeping system	Application of appropriate metadata (descriptive information about the record's context); systematic capture
Active life	Record is referred to frequently	Appropriate access, storage, retrieval, security, preservation, appraisal, some destruction
Semi-active life	Record is referred to infrequently	Less access, retrieval, off-site storage, appraisal, some destruction
Archive	Records accessed as archives, for non-current purposes	Archival standard storage and access: a further cycle of processes

Source: Williams (2006:12)

Since the life cycle processes presented by Williams (2006:12) included the gestation (prenatal phase), the researcher considered it as a modified records life cycle. According to Chachage (2005:65), the attributes of the modified records life cycle theory are the prenatal phase of the continuum model, the current phase of the life cycle model, the semi-current phase of life cycle theory and the inactive phase of the life cycle model.

Although the records life cycle concept has influenced the development of records and archives management in many parts of the world, it has been criticized (Kemoni 2008:107; Shepherd 2010:182). For instance, Atherton (1985:47) asserted that although the records life cycle concept had been useful in promoting a sense of order in the overall management of records, strict adherence to its principles undermined any trend towards greater cooperation and coordination among archivists and records managers and hence ignored the many ways in which the records management and archives operations are interrelated. Williams (2006:12) argued that a clear division between records and

archives can lead to disjointed practice between the records managers who have traditionally been responsible for managing the current and semi-current records and archivists who have taken the responsibility at the archival phase. Further, advances in technology suggested that the management of records in the traditional environment is no longer suitable for records in electronic formats, which have their own distinct characteristics. As technology changes, the records are prone to transformation and conversion (Williams 2006:12; Yusof and Chell 2002:56). Issues such as technological obsolescence, the need to migrate data to new platforms, and safeguarding of the authenticity of records, all have to be dealt with at the outset (Williams 2006:12).

The concept of the records continuum was thus promoted in the records management world as it addressed the management of paper and electronic records.

3.4.2 Records continuum

Flynn (2001:80) provided the Australians' view of the records continuum as a consistent and coherent regime of management processes from the time of creation of records and (before creation, in the design of recordkeeping systems) through to the preservation and use of records as archives. The model was developed in the 1980s and 1990s, in response to criticisms of the life cycle model (Shepherd and Yeo 2003:9). For instance, McKemmish (1998; 2001) criticized the model because in her view, it negates the transactional and evidential nature of records, disconnects both record managers and archivists from organizational purposes of recordkeeping since it is based on tasks, not systems, and it divides the professions.

The records continuum originated in Canada, but was developed and adopted in Australia. Upward (2000:118) asserted that although early uses of the term continuum can be traced to Ian Maclean, it was not until the Canadian archivist Jay Atherton presented his move to the adoption of this approach in the mid 1980s that the word continuum began to be widely used as a way of describing the Maclean approach in Australia. Atherton (1985:48) presented the four stages of the records continuum: creation or receipt of the record; classification; establishment of retention/disposal

schedules and their subsequent implementation; and maintenance and use in the creating office, inactive storage or archives. Atherton (1985:48) noted that all four stages are interrelated, forming a continuum in which both records managers and archivists are involved to varying degrees in the ongoing management of recorded information.

Some Australian archivists argued that electronic records do not have a life cycle similar to that of records in paper format. To them the concept of the life cycle is too limited to cater for technologically generated records. They have argued that the concept of the life cycle should be replaced by a records continuum (Yusof and Chell 2002:57). For instance, theorists such as Frank Upward, Sue McKemmish, Barbara Reed and Don Schauder adopted the records continuum model as an alternative to the records life-cycle to cater for electronic records (Chachage 2005; Flynn 2001).

According to Shepherd and Yeo (2003:10) the continuum model is a flexible and inclusive concept that reflects a range of issues surrounding the role of records in contemporary organizations and society. The model provides a graphic tool for framing issues about the relationship between records managers and archivists, past, present, and future, and for thinking strategically about working collaboratively and building partnerships with other stakeholders (McKemmish 1997; Reed 2000). An (2001) stated that the evolution of the concept of a records continuum shows that the processes of records management and archives management are moving towards integration.

Upward (1998) pointed out that the records continuum model has been defined in ways which show it is a time/space model instead of a life of the records model. In his article "Structuring the records continuum" Upward (1998) stated four principles of the records continuum model:

- A concept of records which is inclusive of records of continuing value (archives), which stresses their use for transactional, evidentiary and memory purposes, and which unifies approaches to archiving/recordkeeping whether records are kept for a split second or millennium ;

- A focus on records as logical rather than physical entities, regardless of whether they are in paper or electronic form;
- Institutionalization of the recordkeeping profession's role requires a particular emphasis on the need to integrate recordkeeping into business and societal processes and purposes; and
- Archival science is the foundation for organizing knowledge about recordkeeping.

Upward (2000:123) explored these principles through a diagrammatical representation of the model (see Figure 1).

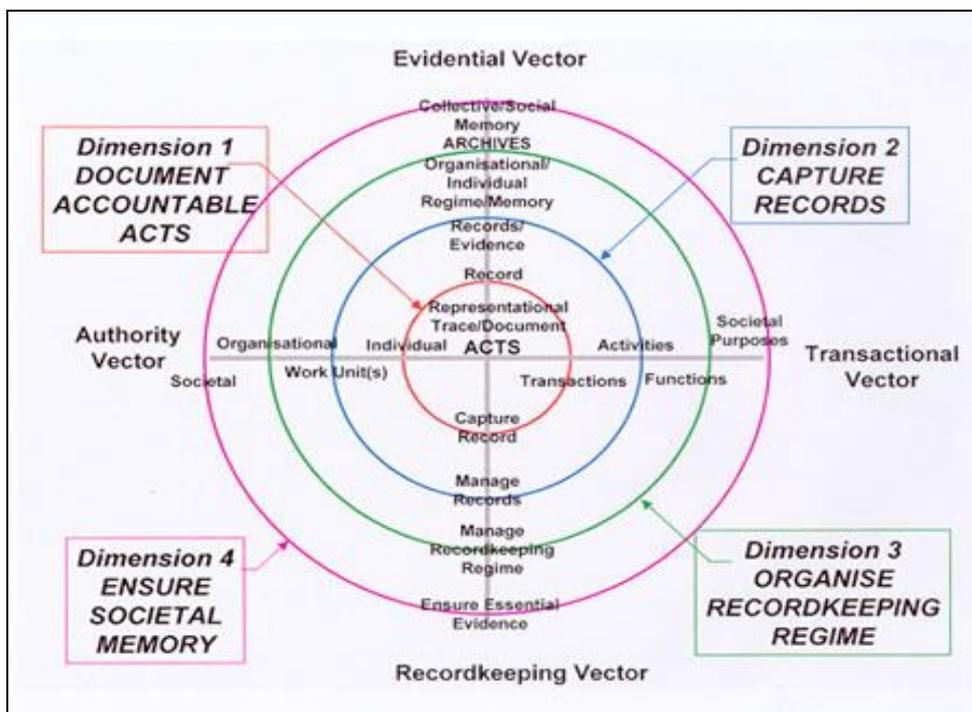


Figure 1: Records continuum model

(Source: Upward 2000:123)

The four major themes in archival science; transactional, authority (identity), evidential and recordkeeping vectors are featured in the diagram:

- Transactional vector – relates to records as products of activities;

- Authority (identity) vector – relates to the authorities by which records are made and kept, including their authorship, establishing particularities of the actors involved in the acts of records creation, the empowerment of the actors and their identity viewed from broader social and cultural perspectives;
- Evidential vector – relates to the records as evidence; and
- Recordkeeping vector – relates to the objects created in order to store records (Upward 2000:123).

The themes are linked by concentric circles representing the dimensions or layers of the continuum joining the individual record to its contexts (Flynn 2001:82). The dimensions include:

- Create (document accountable acts) - where documents are drawn up or received in the post;
- Capture - where documents are added to the office filing system that is records series;
- Organize - where the series has been scheduled for permanent preservation forming part of the organizational memory; and
- Pluralize (ensure societal memory) - where documents as records schedules for permanent preservation constituting evidence of their creator's or accumulator's activity, are consulted by internal and external users (Upward 2000:122).

According to McKemmish (2001:335) the records continuum model takes a multi-dimensional view of the creation of documents in the context of social and organizational activity (proto record as trace), their capture into records systems (record as evidence), organization within the framework of a personal or corporate archive (record as personal/ corporate memory), and pluralisation as collective archives (record as collective memory). McKemmish (2001:339) further pointed out that in continuum terms, while a record's content and structure can be seen as fixed, in terms of its contextualisation, a record is "always in a process of becoming". Records are stretched into new shapes and structures during the filing and aggregating processes that form them, and by disposal and new administrative patterns, which alter their physicality and

the control and attention that they receive. Even disposition is cyclical and never final (Upward 2000:119).

In the records continuum model, there are no strict boundaries between archives and records management responsibilities, as current records can also become archives right from creation, instead of waiting for final disposal to determine this. The records continuum model is applicable to records including archives regardless of whether they are in paper or electronic form.

3.4.3 Integrated approach

IRMT (1999a:20) proposed the integrated approach to records management as a way to ensure that records are useful both to government and to citizens and researchers so that they are available and useful from their creation to their ultimate disposition. The integrated approach is a blending of the life-cycle and continuum models in an integrated records and archives management system. The primary purposes of an integrated approach to records management are: to preserve records and archives in an accessible, intelligible and usable form for as long as they have continuing utility or value; and to make information from records and archives available in the right format, to the right people, at the right time (IRMT 1999a:58).

The life-cycle principle recognizes that records are created, used, maintained then disposed of, either by destruction as obsolete or by preservation as archives for their ongoing value. The continuum concept suggested the four actions:

- identification of records;
- intellectual control of them;
- provision of access to them; and
- physical control of them (IRMT 1999a:20).

According to IRMT (1999a:21) these four actions continue or recur throughout the life of a record and cut across the traditional boundary between records management and archival administration. These include:

- the creation or acquisition of the record;
- its placement within a logical, documented system that governs its arrangement and facilitates its retrieval throughout its life;
- its appraisal for continuing value, recorded in a disposal schedule and given effect at the due time by appropriate disposal action; and
- its maintenance and use, that is, whether it is maintained in the creating office, a records office, a records centre or an archival repository, and whether the use is by its creator or a successor in function or by a third party, such as a researcher or other member of the public.

The integrated approach suggests that the work between records managers, records centre manager and archivists would be undertaken within an integrated structure, with no rigid boundaries to limit professional collaboration and development. This collaboration is most successful if the archival institution can be restructured to serve as a records and archives institution, responsible for all aspects of records care throughout the life cycle. IRMT (1999a:23) stated that where records management and archival activities are not integrated, records managers and archivists find that they are often duplicating each other's work or, worse, undoing or redoing tasks that could have been completed more efficiently had the two phases been considered part of a unified whole.

3.4.4 Records entity life history

The third model is a records 'entity life history'. Shepherd and Yeo (2003:8) proposed the model to refashion the life cycle using the entity life history method developed by Jackson in 1983. The entity life history is a method employed by systems analysts to represent different events that affect materials or other entities used in the conduct of business. The entity life cycle therefore, states that records have a life history, which is constructed of sequences, iterations and selections of objects and actions. The model represents a record's environment in hierarchical structure.

According to this model, Shepherd and Yeo (2003:8) explained that a record is created or received, is captured into a records management system, and is then subject to

actions that is maintenance and use, this will be repeated as necessary until the records are destroyed. They added that destruction can never occur for the records of continuing value, but when it does occur it is the final event in the life of the record. Shepherd and Yeo (2003:8) stressed that this model is valid for all records, whether paper or electronic formats. However, since this model is less popular in records management, there is very limited information available for discussion.

3.5 Summary of the models and justification of using the records life cycle model

The four models discussed above apply to the management of records for ensuring accountability in the public sector. The life cycle concept has long been established and fits well with paper based records. Regardless of the number of stages involved and the descriptions given to explain the life cycle of records, it indicates that paper records pass through various stages in their lives. Every record, particularly in paper format has to be created, used, maintained and stored, and finally either destroyed or retained into an archives (Yusof and Chell 2000:137). With the introduction of information technology (IT), the concept of the records continuum was promoted in the records management world as it addresses the management of paper as well as electronic records.

Records continuum recognizes that the processes carried out (separately) in the traditional records management domain and in the traditional archival domain are basically similar, "we create or receive records, we classify, appraise, control and maintain them, and we make them accessible" (Williams 2006:13). These processes are so interrelated, overlapping and integrated, especially, but not only, in the electronic environment, that it is counterproductive to maintain any distinction. Thus, whereas the life cycle approach perceives each stage as linear with and independent of the other stages, the continuum perceives recordkeeping as multidimensional. The records continuum suggests that the management of records is not time-based or sequential, and that actions on the record are seamless and may be simultaneous; a record may at one time and the same time be accessed for current organizational and archival purposes especially if it is in electronic form (William 2006:13).

On the other hand, the integrated approach as advocated by the IRMT proposes the blending of the life cycle and continuum approach to records management. The integrated approach to records management suggests that the work between records managers, records centre managers and archivists would be undertaken within an integrated structure, with no rigid boundaries to limit professional collaboration and development (IRMT 1999a:23).

The records life cycle model formed the theoretical foundation of the present study. According to Ngulube and Tafor (2006:59) in the eastern and southern Africa region, the life cycle model is popularly used as a framework for the management of public sector records. The records life cycle model is the model which is currently used in the management of public records in Tanzania. Further, the majority of records in the government ministries in Tanzania have been created and maintained in paper format. Thus, employing this model provides a full picture of the current records management practices from creation to their final disposition. The effective management of records at each stage of the life cycle is a key to fostering accountability in reforming the public service. Without it, vast quantities of records clog up office space, and it is virtually impossible to retrieve important administrative, financial and legal information. Such a situation undermines the accountability of the state, provision of access to information and endangers the rights of the citizen.

3.6 Management of public records: records creation to disposition

This section provides a literature review on various aspects of records management from creation to disposition. A literature review starts by discussing issues on records creation and use, records inventory, records appraisal where traditional approaches such as Schellenberg's taxonomy of values and Jenkinson's custodial approach on appraisal are presented. Modern approaches such as documentary strategy, institutional functional analysis and macro appraisal methodologies are also highlighted. The section concludes with a discussion of records retention and disposition scheduling.

3.6.1 Records creation and use

Much organizational activity leads naturally to the creation of records. Records creation is one of the phases of the life cycle of records (State Records Management Center 2004). It refers to the act of accumulating records or incorporating them into a recordkeeping system (Ellis 1993:3). Elements of records creation include: presence of an adequate system to document the activities for each business unit; maintaining records of each business activity which are sufficiently complete and accurate to facilitate an audit of any aspect of the business and ensure the protection of the rights of the organization and employees; and records which are arranged in a system to enable the authority to obtain maximum benefit from the quick and easy retrieval of information (Kemoni 2007:168). According to Yusof and Chell (1999:10) records creation and capturing involves developing consistent rules to ensure integrity and accessibility, deciding on systems to log and track records, and procedures for registering, classifying and indexing.

A records creation strategy is essential to ensure that records meet the appropriate standards of quality and it is essential that they are captured into a secure and effective records management system so that these qualities will remain intact over time (Shepherd and Yeo 2003:101). The main purpose of records creation is to provide evidence of the functioning of an organization or for the accountability of a corporate body or an individual (ICA 1997b; 2005). Shepherd and Yeo (2003:101) pointed out that in assessing the need for creating and capturing records, the aim should be to identify and assess:

- the requirements of the organization, or particular business units, for records that provide evidence and information, for operational use;
- the requirements of the organization, particular business units or external stakeholders for evidence that can support accountability; and
- the costs of creating, capturing and maintaining the records that are required, and the risk to the organization if it does not have those records.

Within both the government and private sectors, records are created and used for various purposes. First, organizations use records in the conduct of current business, to enable

decisions to be made and actions taken. Records provide access to precedents and policies, and evidence of what was done or decided in the past. They enable organizations to guard against fraud and to protect their rights and assets (Shepherd 2006a:6). ICA (1997a) emphasized that to support business functions and to provide evidence, records must possess two characteristics:

- authenticity, defined as “the persistence over time of the original characteristics of the record with respect to context, structure and content” (ICA 1997a:16), meaning that a record is what it purports to be; and
- reliability as the ability of a record “to serve as reliable evidence”(ICA 1997a:16), referring to the authority and trustworthiness of records as evidence.

ICA (2005) emphasized further that records that possess these characteristics will have sufficient content, structure and context to provide a complete account of the activities and transactions to which the records relate, and they will reflect decisions, actions, and responsibilities. If such records are maintained in an accessible, understandable and usable manner, they will be able to support business needs and to be used for accountability purposes over time.

Secondly, organizations create and use records to support accountability, when they need to prove that they have met their obligations or complied with best practice or established policies. Organizations are accountable in many ways, to meet legal, regulatory and fiscal requirements, undergo audits and inspections, or provide explanations for what has been done. Internally, records are used to prove or assess performance (Shepherd 2006a:6). External accountability is especially important to public sector bodies, which are responsible for their actions to government and the wider public. To identify accountability issues it is necessary to assess legal, regulatory and auditing requirements and the extent to which particular areas of business are likely to be subject to litigation (Shepherd and Yeo 2003:102). Thirdly, records may also be used for cultural purposes for research, to promote awareness and understanding of corporate history. The wider community also has expectations of transparency in public service,

the protection of rights and the maintenance of sources for collective memory (Shepherd 2006a:7; Shepherd and Yeo 2003:xi-xiii).

3.6.2 Records inventory

Records, whether paper or digital, cannot all be retained indefinitely. Storage and maintenance over time is often expensive and, as the volume of records grows, access becomes slower and more difficult (Shepherd and Yeo 2003:146). The ability of the organization to manage its records in an efficient manner depends largely on its ability to know what records exist and in what quantity, their growth rate, who manages the records, kind of facilities and equipment, and type of filing and retrieval systems used. All this information will be obtained by conducting a records inventory. A records inventory is a complete and accurate survey of an organization's file contents. This survey is accomplished by describing, quantifying and recording information about those records on a standard records inventory form, so that the records can be analyzed for retention, protection and other purposes (Robek, Brown and Stephens 1995:27). The inventory determines what records the organization has, where they are located, and how many of them there are (Diamond 1995:39).

The records inventory is vital to an effective records management programme because it both identifies and quantifies all records that are created, referenced or processed by the organization. Shepherd and Yeo (2003:252) emphasized further that in organizations where no structured records management programme has been in place, surveys often reveal a variety of challenges including: paper records systems which are congested and in some cases used to store information products and other materials that are not records; paper records which are poorly organized and difficult to retrieve, and their arrangement does not fully reflect the processes and activities that led to their creation; and records series where parts are found to be missing from the paper systems, but held in electronic form on personal computers.

The inventory becomes the working document for preparing the records retention schedule, establishing the vital records protection programme, and making other

improvements to the records management programme (Belton 2002). The inventory or survey should include the following preparatory steps: securing commitment from top management, establishing a work schedule, communicating to staff and management, project staffing and training, a statement of objectives and strategies and the design of an inventory form (Robek, Brown and Stephens 1995:27).

According to Shepherd and Yeo (2003:251) a records survey enables records managers to assess the records themselves and the systems used to manage them in the past. It provides an opportunity to learn how the organization's functions, structures and environment have affected the creation and maintenance of its existing records. It also provides the opportunity to discover how far the existing systems match up to the requirements that have been identified and where they fall short. Other reasons for conducting a records inventory include:

- to know what information exists – a records manager must have a thorough knowledge of what actually exists;
- to know what the records are and the procedures for working with them – it is necessary to identify and have at least a basic understanding of the functions of each type of record, including its path flow, who produces it and why, who needs it, what is done to it and the purpose it serves;
- to learn the users' information needs – the users will help to provide better suggestions because they know the information thoroughly and can give a history of how it was used, and of failed or successful programmes in the past; and
- to obtain preliminary retention periods – the preliminary retention periods allow one to begin preparations for a retention programme as soon as the inventory is completed (Penn, Pennix and Coulson 1994:90).

There are three basic ways to compile an inventory: by questionnaire, by committee, and physically (Penn, Pennix and Coulson 1994:92). By using the questionnaire method, employees are asked to describe the information and files they create and use. If the questionnaire method is used as a preliminary exercise to the physical inventory, it gives

an initial map to the office and its problems, helping the records manager to plan the focus of the inventory more precisely. Whereas, with the committee method, a representative from each department meets with the records manager to describe and discuss what exists in the department and to apply preliminary retention periods. The physical inventory involves the use of trained records personnel or a specially trained records task force to collect more reliable and complete information (Diamond 1995:39; Penn, Pennix and Coulson 1994:93). This method gives a full, clear overview of the organization, its information, and its politics. Penn, Pennix and Coulson (1994:93) emphasized that one of the key things to remember before starting an inventory is the reassurance that confidentiality will be protected, security clearance has been obtained, that no secret records will be examined without a contact person present, and especially that the ultimate goal is to improve records and information systems of the organization.

3.6.3 Records appraisal

When the inventory is complete, the next step is to conduct the records appraisal. Some archivists call appraisal the profession's first responsibility (Hunter 2003:51). Appraisal is the basis for retention scheduling (Penn, Pennix and Coulson 1994:107). It is the process of evaluating business activities to determine which records need to be captured and how long the records need to be kept to meet business needs, the requirements of organizational accountability and community expectations (Williams 2006:37). According to Cook (2004:7) appraisal imposes a large social responsibility on archivists. As archivists appraise records, they are doing nothing less than shaping the future of their jurisdiction's documentary heritage. Archivists are deciding what will be remembered and what will be forgotten, who in society will in future be visible and who will remain invisible, who will have a voice and who will not (Cook 2004:7).

Man (2005:22) stated that appraisal seeks to embody the following concepts: analysis of the organization's aims and activities; determination of which records need to be created and captured; and determination of how long records should be kept to meet both internal and external needs. Appraisal decisions must take account of the organization's requirements for records for business use and accountability. Decisions about retention

may also acknowledge cultural interests, or the interests of external users to ensure the preservation of corporate or societal memory (Shepherd and Yeo 2003:147).

Appraisal decisions are very difficult because all records have some conceivable value. Williams (2006:38) noted that whether archivists or records managers are appraising for current operational or archival research purposes they are involved in making a judgement about what should be retained and in the long term defining the future research resource and contributing to moulding the historical research. Thus, the most important and intellectually demanding task for archivists and records managers is to make an informed selection of records with sufficient value to justify the costs of storage, arrangement, description, preservation and reference (Hunter 2003:52; Williams 2006:38).

The appraisal and reappraisal process ends with a number of possible dispositions for non-current records. The options are (Hunter 2003:53):

- transfer to a records centre for low cost, temporary storage;
- transfer to an archival repository within the agency or institution;
- donation to a suitable outside repository;
- reproduction on microfilm or other alternative media; and
- destruction.

3.6.3.1 Traditional approaches to appraisal

There are a number of approaches to appraisal. For instance, traditional approaches have focused on the perceived value of records (State Records of South Australia 2003). Schellenberg devised a system of records value to be used as the basis of appraisal (Shepherd and Yeo 2003:148). He wrote that records inherently possess two kinds of value: primary value which relates to their usefulness as evidence for the creator, and secondary value which relates to their historic and cultural functions for those other than the creator (Tschan 2002:180). He divided the primary value into administrative value to support the ongoing business of the organization, legal value to establish obligations and

protect legal rights and fiscal value to document the receipt and use of funds (Shepherd and Yeo 2003:149).

By secondary value, Schellenberg meant value to users outside the organization where the records originate (Shepherd and Yeo 2003:149). Schellenberg developed two types of secondary value: evidential and informational value and made them the core of appraisal theory. By evidential value, he meant those records necessary to document the organization and functioning of the institution or department. Before determining evidential value, it is important to do some preliminary research into the structure and functions of the institution (Hunter 2003:57). Doing preliminary research enables the appraisers to determine the value of records within the organization. Informational value is derived from the information that is in public records on persons, places, subjects with which public agencies deal (Schellenberg 1956). Schellenberg suggested that informational value often resides in case files, and that the interest lies in the content rather than the context of the records. When considering informational value the appraiser tries to assess the value of the records to researchers interested in particular topics, and values records according to the uniqueness of their content, the uses to which it might be put and the number of users it might serve (Shepherd and Yeo 2003:149). Schellenberg's taxonomy of values - primary and secondary, evidential and informational - was widely adopted as an appraisal framework in the USA in the second half of the 20th century, and became increasingly influential in many other parts of the English speaking world (Shepherd and Yeo 2003:149).

In contrast to the North American tradition, the classic European approach to appraisal emphasizes the view that the authenticity of records derives in part from their interrelationships, and that any artificial selection adversely affects those that remain and impairs their impartiality as evidence (Shepherd and Yeo 2003:149). Instead of attributing different values to records, European theory sees each record as unique in its context and of equal value. Sir Hilary Jenkinson stressed the importance of preserving the evidential and impartial nature of archives. Jenkinson argued that archives' evidential value arose from their being a direct by-product of administrative activity and

he argued that this evidence should not be corrupted by the intervention of third parties (Honer and Graham 2001:384).

For instance, in his definition of archives, Jenkinson stressed their custodial history, their organic structure, and their accumulation through natural processes. According to Jenkinson a document which may be said to belong to the class of archives is one which was drawn up or used in the course of an administrative or executive transaction (whether public or private) of which itself formed a part; and subsequently preserved in their own custody for their own information by the person or persons responsible for that transaction and their legitimate successors (Tschan 2002:178). In Jenkinson's view, administrators should carry out the selection of records for permanent preservation considering administrative purposes only. Jenkinson also realized that archives were composed of interrelated records, and that it was this contextual whole which imparted meaning and which required preservation (Honer and Graham 2001:384; Simpson and Graham 2002:52).

The archivist's chief duty, therefore, was the physical and moral defence of the records' integrity, impartiality, authenticity and their resultant archive value (Tschan 2002:178). For Jenkinson, archival documents were created when having ceased to be in current use, they were set aside for preservation and tacitly adjudged worthy of being kept (Tschan 2002:181). The important distinction is that Jenkinson's tacit judgment is part of the creator's affairs and the reasons for retention or destruction are entirely their own, while Schellenberg advocates selection based on the value of records for perceived research needs of those other than the creator.

In the United Kingdom, the views of Schellenberg and Jenkinson were combined in the implementation of the report of the Grigg Committee, constituted in 1952 to examine the management of government records (Honer and Graham 2001:385; Shepherd and Yeo 2003:150). The findings of this Committee provided the basis of the procedures for the selection of records for permanent preservation in the UK National Archives which operated from the late 1950s until the late 1990s. However, the traditional approaches to

appraisal have been criticized by various scholars (Badgley and Meunier 2005:266; Honer and Graham 2001:387; Shepherd and Yeo 2003:151; Simpson and Graham 2002:52). Scholars argued that Schellenberg's taxonomic approach, Jenkinson's and the Grigg system on appraisal originated in an era when there were fewer records (Shepherd and Yeo 2003:150). While the evidential and informational value may be good starting points, they sometimes are inadequate as ending points (Hunter 2003:61). The Grigg system in particular relies on file by file appraisal.

As a result of the adaptation of computer technologies in the workplace, however, the 1990s witnessed a proliferation of records creation both in electronic and paper format, and it became evident that file-by-file appraisal and the application of Schellenberg's taxonomy of values were impractical and inefficient in dealing with the phenomenal growth in the volume of records (Badgley and Meunier 2005:266; Simpson and Graham 2002:53). For example, electronic records cannot be kept for twenty-five years before considering whether or not they should be selected for permanent preservation. A physical computer disk or tape can survive for twenty-five years, but it is extremely unlikely that the information it contains will be accessible at the end of the period. Thus, the traditional model does not deal effectively with an increasing requirement for accountability and transparency in government. It does not provide mechanisms for systematically recording the basis on which appraisal decisions were taken and making it available to the public (Simpson and Graham 2002:53).

3.6.3.2 Modern approaches to appraisal

The universal move to creating electronic records has given huge impetus to the need to review the approach to the appraisal and selection of records. Simpson and Graham (2002:53) noted that the weaknesses of traditional approaches were not only characteristics of the UK approach to appraisal. Across the world National Archives have been querying the UK approach to the selection of records for permanent preservation, and a range of international responses have developed, including the Canadian macro appraisal approach and the Australian functional approach which includes an element of stakeholder analysis (Simpson and Graham 2002:53). Many

professionals agreed that appraisal should be based on analysis of organizational purposes and the systems that support them, thus moving from the records to the broader contexts in which they are created.

In the analysis of organizational purposes and the systems, Cook (1992) cited in Shepherd and Yeo (2003:152) suggested asking questions such as:

- How, why and by whom are records created rather than what information do they contain?
- How are they used by their creators rather than how might they be used by future users?
- What functions and processes do they support rather than what internal structure and physical characteristics do they have?
- What should be documented rather than what documentation should be preserved?

3.6.3.2.1 Documentation strategy

The archival documentation strategy was introduced in the mid 1980s (Jimerson 2003:56). Documentation strategy is an analytical approach to archival appraisal that looks not at individual records, but at the overall universe in which such records exist. It recognizes the inherent problem of volume with modern records, and provides a way for records creators, custodians, and users to work together to create a plan for which documentation will be preserved (Cox 1996:144).

According to Cox (1996:146) the archival documentary strategy has four basic elements. First, the strategy is an analytical tool. The strategy is used to examine the records of that universe, considering their importance, inherent characteristics, and other aspects from the perspective of archival and documentary objectives formulated through careful analysis of the aspect of society being considered. Secondly, the documentary strategy is an interdisciplinary process due to its emphasis on the coordination and collaboration of records creators, archivists and the users of records who bring certain subject knowledge to the process. For instance in North America, for a considerable period of archival

practice and theory, appraisal has been viewed as the responsibility solely of the archivist.

The third element of the strategy according to Cox (1996:147) is the recognition of inherent documentary problems. These problems are generally described as being the vast quantity of records to be considered, the increasing complexity of the nature of documentation and the diversity of institutional records policies, interests and related matters. The archival documentation strategy is a methodology intended to deal practically with these problems by its focus on analysis and planning.

The final element of the strategy is the formulation of a plan. In formulating a documentation plan, the documentation group must consider the existing universe of documentation related to the area under consideration and particular problems and obstacles in documenting the phenomenon (Marshall 2006:28). Since it is impossible to inspect all records, a well developed and carefully thought out scheme must be in place to assist the archivists and their allies in considering strategically what documentary sources must be considered for retention (Cox 1996:148). It is important to note that documentation strategies are ongoing efforts, and that the documentation group must regularly reassess, and if necessary, revise, the initial documentation plan (Marshall 2006:28).

Critics of the documentation strategy have argued that while the documentation strategy approach might be helpful in assisting archivists to reconceptualize the appraisal function, it has failed as a practical construct. They maintain that this approach is too costly and time consuming, and places too heavy an emphasis on inter-institutional collaboration, to the detriment of individual institutional priorities and realities (Marshall 2006:28). Although criticized as unworkable, the concept of documentation strategy provides an instructive challenge to archivists weighing decisions about records selection and documentation of society (Jimerson 2003:56).

3.6.3.2.2 Functional approach

A methodology closely related to documentation strategy is institutional functional analysis, also introduced by Helen Samuels. While documentation strategies are intended to coordinate the collecting activities of many institutions, institutional functional analysis is intended to be used by individual institutions to improve their own documentation (Samuels 1991-1992). Institutional functional analysis involves the identification of an institution's primary functions, and the subsequent breakdown of each function into its component activities.

The functional approach is based upon the belief that records exist to provide evidence of the functions and activities of the organization (Man 2005:23). In the functional approach, the archivist explores what sort of documentation is necessary to represent the most important functions and activities fully and determines where within the organization this documentation is created (Marshall 2006:29). The emphasis would be on what organizations do, rather than who does it. Samuels believed that a functional approach can best achieve adequate documentation of an institution. Such documentation requires both official and nonofficial materials, as well as published visual and artifact material (Hunter 2003:74). Samuels presented a six step model for developing an institutional documentation plan (Hunter 2003:74). The six steps are:

- Translate the functions so they describe a specific institution;
- Draft documentary goals;
- Apply functional understanding to the preparation of administrative histories of individual units;
- Evaluate the documentation already under curatorial care and the records still housed in offices;
- Assess the resources (physical, financial) available to preserve documentation; and
- Confirm documentary goals and the process proposed to achieve them.

Samuels focuses on functions to guide the appraisal process because the core functions of an institution are presumed to change less frequently than its organizational structure.

3.6.3.2.3 Macroappraisal

In response to the challenges presented by the large volume of federal government records, in the early 1990s Terry Cook pioneered the macroappraisal theory by stating that appraisal should be based on the analysis and understanding of the organization's purpose, functions, structures, and the different systems that organize, maintain, and support the records created. Thus, the macroappraisal theory redirects the focus of the appraisal from the content of records to the context in which they are created (Badgley and Meunier 2005:267).

Macroappraisal encompasses a new theory, strategy and methodology for doing appraisal, which was first adopted at the National Archives of Canada in the 1990s (Cook 2004:5; 2005:101). Macroappraisal is a planned, research based, top-down, functions-centred approach that focuses especially on the citizen's interaction with the state (Cunningham and Oswald 2005:163; Hunter 2003:79). It attempts to document both the functionality of government and its individual programmes that are themselves the creation of citizens in a democracy and to document the level of interaction of citizens with the functioning of the state: how they accept, reject, protest, appeal, change, modify and influence those functional state programmes, and are in turn influenced by them (Cook 2004:16).

In relation to public records, it aims to identify as cost-effectively as possible the most succinct sources of memory and evidence on the policies and operations of government and the public's interactions with government sources which reflect the values of society at large, not just the values of the creators and users of the records (Cunningham and Oswald 2005:164). Macroappraisal requires, therefore, extensive research by archivists into organizational culture and institutional functionality, into recordkeeping systems, information flows, recording media, and changes in these across space and time. If appraisal relates to determining the long-term value of records, macroappraisal assigns value to the functional-structural context and working culture in which the records are created and used by their creators, and how citizens interact with that context and culture, and are influenced by it (Cook 2004:6).

For instance, in Canada, the aim of macroappraisal at Library and Archives Canada (LAC) is to pursue a planned, systematic approach to building the best archival record of governance in Canada. It aims to be a rigorous comparative approach to determining the most important functions for archival documentation (Cunningham and Oswald 2005:171). According to Cook (2004:11) there are five core steps in the macroappraisal methodology. These include:

- Researching to decide the complexity and relative importance of various sub-functions, sub-sub-functions, programmes and activities within the comprehensive functional target that is the object of the macroappraisal and records disposal project;
- Researching to pinpoint the structural site(s) - the office(s) of primary interest - where these most important functions, sub-functions, take place;
- Researching to understand the nature and most focused sites of citizen's interaction with the function or programme;
- Forming of a macroappraisal hypothesis of where the best records are, what they globally and conceptually would be, and which of the above significant functionalities of governance they are likely to document; and
- Testing or confirming the hypothesis by appraising types of records within the functional programme being appraised, and by analyzing the value of other records outside the programme covered by the submission where duplication is suspected with the records within the actual programme, or where registries or other information systems cross functional or structural boundaries.

According to Beaven (1999:158) macroappraisal has three advantages; first, it liberates the archivist from the danger that prior assumptions about record values may intrude when constructing acquisition or appraisal strategies. Second, it eliminates the risk of undue preoccupations or prejudices regarding future use or users and third, a macro-functional approach shifts appraisal from a passive focus on whatever records happen to turn up into a planned, provenance-based focus on records' creational context. In doing so, the theory both affirms and transforms provenance, the central principle of

traditional archival thinking, now become a proactive tool for intellectual creativity and action.

3.6.4 Records retention and disposition scheduling

A records retention schedule is a list of records for which predetermined destruction dates have been established. Such schedules are often referred to as records schedules, disposition schedules, and even retention and disposition schedules (Penn, Pennix and Coulson 1994:116). A records retention programme specifies the length of time that business records must be retained. The retention programme is based upon the concept that information has a life cycle. It should be possible for retention and disposition of records to be made at any time in the existence of records, including during the design stage of records systems. The regular use of records retention and disposition schedules provides the following benefits:

- promote efficiency by focusing managerial efforts on those records which are most important to the organization;
- save time by reducing the volume of records which must be searched for information;
- reduced space requirements by removing from the office records which are no longer required or no longer in current use;
- preserve records which are of long term value; and
- predict in advance how long the records are likely to be needed by their creators and users (Commission of Public Records 2006; URT 2005).

An organization needs a programme providing for the disposal of useless information in order to control the growth of its records. The records retention programme constitutes an organization's official policy for information retention and disposal. Without it, records may be unnecessarily maintained for excessive periods of time or hastily disposed of without regard for their value (Robek, Brown and Stephens 1995:42). Records disposition schedules document the value of government records. Schedules include listings of record categories or series and length of time each should be retained.

The present study investigated the methods used by the registry staff and the National Archives personnel in appraisal and disposal of public records in the government ministries of Tanzania.

3.7 Access to information and records management

There is nothing more basic to the relationship between government and the governed than the right of access to information (Ngulube 2004b:150). The right to access government information is not only a pre-condition for good governance or participatory democracy and economic development, but it is a fundamental human right, and the basis for all other human rights (Chibambo 2006:15; Banisar 2006:6). Principles of good governance namely accountability, transparency and rule of law all depend to a large extent on the free flow of information (Mutula and Wamukoya 2009:333). Openness and transparency in the decision-making process can assist in developing citizen trust in government actions and maintaining a civil and democratic society (Banisar 2004:3; 2006:6). Citizens can take part in the government and speak for their rights only if the government provides access to information.

It is therefore important that information in the custody of government is not only available, but also should be accessible to the public. The availability and accessibility of relevant and timely information empowers citizens' and civil society groups, enabling them to effectively participate in the governance process as well as hold government accountable (Mutula and Wamukoya 2009:333). The passage of access to information legislation in a country is a signal of a shift away from a culture of secrecy and concealment toward a culture of openness and transparency. Officials must learn to change their mindset to recognize that the information that they hold is owned by the public and that citizens have a right to obtain information (Banisar 2006:27). Access laws are designed to promote accountability and transparency in government by providing citizens with a legally enforceable right to obtain full and accurate information about the activities and decisions of their government (Millar 2003:1).

A basic source of information is government records and a basic right is access to these records (Özdemirci 2008:304). Access to information means access to records, access to the documented decisions of government and the evidence that supports and sustains public sector work (Millar 2003:1). There is an important relationship between effective records management and effective freedom of information. For freedom of information to work, there must be a proper recordkeeping system in place that allows for the easy collection, indexing, storage and disposal of information (Banisar 2006:29; Crockett 2009:209; Sebina 2007:41; Shepherd and Ennion 2007:34). Governments need to put in place effective national and institutional frameworks including adequate capacity to harness, facilitate and enhance information capture, organization, maintenance and use (Mutula and Wamukoya 2009:333).

The right of access to information is of little use if reliable records are not created in the first place; if they cannot be found when needed or if the arrangements for their eventual destruction or transfer to an archives service are inadequate (Millar 2003:1; Shepherd 2008:1). Mnjama (2000) asserted that traditionally, archivists and records managers have been passive custodians of information, limiting their role to the selection, storage, preservation and controlling of access to records. However, the situation has changed and calls have been made for a re-examination of laws governing access to information. Governments around the world are increasingly making available more information about their activities (Banisar 2004:3). International organizations have also realized the importance of the right to information in the modernization of governments and have strived to achieve this (Özdemirci 2008:304). The Freedom of Information (FOI) legislation is seeking to replace the culture of secrecy that prevails within public service with a culture of openness, and to promote accountability and transparency in government by making the process of government decision-making more open (Routledge, Cain and Barata 2000:58).

According to Mnjama (2003a:184) the first area usually contained in FOI legislation relates to the definition of terms which specifies the types of records that would be subject to the legislation. The second area usually covered under FOI legislation relates

to the right of access by the citizens to government-held information. The third area covered by FOI legislation worldwide relates to exemptions in respect of records which cannot be accessed by the public. An FOI Act ought to state clearly the kinds of records that will normally not be available for inspection by members of the public. The Act should categorically state the reasons why such records cannot be made available. Finally, FOI legislation makes provision for the settlement of disputes between an institution and a person requesting information, through which requesters can appeal if they feel that their requests were not adequately addressed.

For instance, in the USA, the Freedom of Information Act was enacted in 1966 and has been amended several times. The law allows any person or organization, regardless of citizenship or country of origin, to ask for records held by federal government agencies. In Canada, the Access to Information Act provides Canadian citizens and other permanent residents and corporations in Canada the right to apply for and obtain copies of records held by government institutions (Banisar 2006:54). The Act is overseen by the Office of the Information Commissioner of Canada. Records can be withheld for the following reasons: they were obtained in confidence from a foreign government, international organization, provincial or municipal or regional government; would injure federal-provincial or international affairs or national defense; relate to legal investigations, trade secrets, financial, commercial, scientific or technical information belonging to the government or materially injurious to the financial interests of Canada; include personal information defined by the Privacy Act; contain trade secrets and other confidential information of third parties; or relate to operations of the government that are less than 20 years old (Banisar 2006:55).

In Canada, for access to become part of organizational culture, the Canadian Access to Information Review Task Force has recommended the following:

- Responsibilities related to access to information and information management be included in the job description of officers and managers;
- Objectives related to access to information and information management be part of the accountability agreement and performance reviews of all managers. The

- agreements should also present a reminder that good records management underlies efficient provision of access to information;
- Government institutions discuss their performance on access to information on a regular basis at management meetings;
 - When new programs are established, an access to information component be included from the outset as an integral part of the program; and
 - Access to information goals be integrated in annual corporate plans for government institutions (Government of Canada 2002:161).

In the United Kingdom, the Freedom of Information Act 2000 is the culmination of almost 50 years of debate on the rights of individuals to be able to access information about the way in which they are governed and the way in which decisions affecting their lives are made (Shepherd and Ennion 2007:33). The Freedom of Information (FOI) Act 2000 came fully into force on 1 January 2005 (Shepherd 2007:125; Shepherd, Stevenson and Flinn 2009:227). The Act gave the public two fundamental rights: to be told whether the public body holds the information; and to be provided with that information (Özdemir 2009:137). To achieve this, public authorities need to know what information they have, manage their information effectively, have a suitable infrastructure in place to deal with requests under FOI and disseminate information through a publication scheme (Shepherd and Ennion 2007:33).

In Australia, the FOI Act 1982 affords members of the public a general right to access information which is held by government ministries, departments and agencies in documentary form (Banisar 2006:42). The Act requires that agencies respond within 30 days to information requests. There are exemptions for documents relating to national security, defence and relations between states; documents submitted to, generated by, or reveal deliberations of, the Cabinet or Executive Council; Internal working documents; law enforcement and public safety; personal privacy; the national economy; privilege; and confidentiality. There are, however, a variety of public interest provisions depending on the type of information (Banisar 2006:42).

Stilwell (2008:149) stated that access to information is a global concern but the problem of access is most acute in less developed countries. For instance, Sebina (2007) stated that the adoption of FOI laws in Africa is mostly founded on weak information management regimes which do not have the capacity to provide an assurance that citizens will gain direct access to information. Sebina (2007) argued further that weak records management does not provide an assurance that records created and held by government will capture sufficient information on each process and activity it is engaged in. It also does not guarantee that the records or the information they capture will be available to address variable information needs of individuals which FOI laws promote.

Poor or weak records management systems are contributing factors for continued state secrecy and corruption. The majority of governments in Africa have not made significant strides in making access to information a basic right for the citizens. Cain *et al* (2001:413) pointed out that in many countries very little information reaches citizens about the availability of public resources, their allocation and utilization. Sebina (2007) stated that constitutional guarantees on access to information in most African governments are inadequate measures to enable citizens to gain direct access to official information. This shortcoming has led to some African countries adopting revised constitutions to address the defect. By 2006 only Angola, South Africa, Uganda and Zimbabwe had legislated access to information through FOI laws (Sebina 2006:38; Vleugels 2006). Sebina (2007) highlighted that other countries such as Botswana, Malawi, Nigeria, Swaziland, Zambia and many others are at different levels of enacting similar laws in order to encourage much freer access to official information thereby reducing the high levels of information asymmetry between government on one hand and citizens on the other.

For instance, South Africa adopted a new constitution in 1996, which guaranteed access to information as an independent right; it also prescribed the promulgation of a law to turn the guarantee on access into practice. The Promotion of Access to Information Act (PAIA) was approved by Parliament in February 2000 and went into effect in March 2001. The PAIA implemented the constitutional right of access and is intended to

“foster a culture of transparency and accountability in public and private bodies by giving effect to the right of access to information” and “actively promote a society in which the people of South Africa have effective access to information to enable them to fully exercise and protect all of their rights” (Arko-Cobbah 2007; Banisar 2004; Sebina 2009:147).

However, Sebina (2009) argued that the PAIA has resulted in a series of challenges for institutions and archivists. First, national archival agencies are expected to comply with the requirements of the legislation. National archival agencies in South Africa are expected to provide access to information held by them when in receipt of a request for it. Hence, archival agencies have to develop access policies that not only target archival records created by other government bodies but also cover access to their current records. Secondly, citizens through PAIA may seek to gain access to records which have been found to possess archival qualities and are already in the custody of the archival agency but have yet to be added to the archival collection. Thirdly, national archival agencies may experience growth in the volume of records government departments transfer to their custody. Lastly, national archival agencies will have to carry out these access request duties whilst still being expected to provide leadership and mentoring in public sector records management without additional human and financial resources.

Sebina (2009:148) argued further that although PAIA has brought about renewed opportunities for archives and records management in South Africa, practical use of the legislation continues to expose poor records management practices, an indication that the important connection between PAIA and records management was not considered when it was enacted. He advised that countries which have already legislated for access to information need to take into consideration the way archives and records management services operate as they periodically review access practices to determine their effectiveness and responsiveness to requests.

The present study investigated the issues of access to information in the government ministries of Tanzania. Registry personnel were asked if they have guidelines or policies

for identifying requirements to make public records accessible to clients and the problems they may face in providing access to public records.

3.8 The impact of information technology on records management

The advent of ICTs has brought about a paradigm shift in the production of government information (Ngulube 2007a:161). Information technology in combination with changes in organizational structures and methods of working has led to an increasing amount of information and also to new forms of information and in the creation of records (Asproth 2005:27; Keakopa 2007:70). Much of the information previously produced on paper is now being produced in electronic format. Government processes are mainly generating electronic records as evidence of government's conduct of business (Ngulube 2007a:161). With the increasing number of electronic records in office systems, including networked environments, there is a growing concern about their maintenance and long-term preservation (ICA 2005).

Unlike paper records, the means of preserving electronic information is determined at its creation so that the integrity of the record is maintained from the outset. The electronic information must be captured in such a way so as to make it accessible during its entire preservation time (Asproth 2005:28). If these records are not captured the consequence is that future generations will have no record of government activities or decisions resulting in a loss of accountability and societal memory. Preserving an electronic record involves preserving the ability to recreate that observable product again and again, so that the record continues to fulfill the purpose for which it was created (IRMT 2009b:23). Electronic records may require migration in cases where the storage medium used has lived out its life time, or the hardware or software has become obsolete. Thus, managing electronic records also involves managing or replicating the software used in the first place, or eliminating the need for that software by saving the record in some other form (IRMT 2009b:23).

According to Mnjama and Wamukoya (2007:277) in identifying electronic records management systems the goal should be to ensure the following characteristics:

- **Comprehensiveness:** whatever method or system is used to create an electronic record, the created records should be able to show who, what, where, when, why, with whom and so on was involved in the transaction. All government transactions should be captured and stored in the institution's recordkeeping system;
- **Authenticity:** for e-records to remain authentic and a true reflection of the activities and transactions that have been carried out, authorization for access to data or parts of it must be recorded and must be traceable. An audit trail showing what was sent, to whom, who saw it, received it, deleted or amended it should be available; and
- **Fixity:** e-records should be tamper proof. Once a transaction has occurred, no alteration should be made to the record. Any change to this must be recorded and linked to the first. This will ensure accuracy, reliability and authenticity of the e-record (Mnjama and Wamukoya 2007:277).

However, Moloji and Mutula (2007:293) observed that most countries in Africa, compared to their counterparts elsewhere, especially in Europe and America, are lagging behind in the management of electronic records and the use of ICTs. Given that many African governments have largely operated in a paper-based environment for a very long time, the change process from paper to electronic systems is bound to be more complex (Mnjama and Wamukoya 2007:280). The authors highlighted the fact that there is a need to fix the paper mess before contemplating automation. Secondly, when a decision is made to automate a system there is the necessity to maintain some sort of hybrid system which allows for parallel or complimentary paper and electronic systems to co-exist for a period of time. Third, is the need to allow for gradual integration of the manual/paper system with the computerized system by focusing on specific products that support the business process. Fourth, is the consolidation of the computerized system by focusing on electronic records legislation, policies, systems, procedures, standards and resources.

Millar (2004:9) argued that it is widely agreed that the authenticity of electronic records worldwide is at great risk but more so in developing countries for a number of reasons. The reasons identified by Millar (2004:9) included the low profile of and limited support for records and archives work; the absence or weakness of legislative and policy frameworks for electronic records management; the absence of, and difficulty in applying, technical and operational standards for the creation, management, and preservation of electronic records; the lack of adequate training and education in information technologies (IT) and electronic records management; and, in particular, the need for a strategic approach to capacity building worldwide, in order to make best use of limited resources.

According to Lipchak and McDonald (2003:1) the challenges of managing electronic records are greatest in countries where resources are scarce, records management systems are weak and technology tools, for example, electronic records management software are unavailable. Kimberly, Kutzner and Wamukoya (2001:34) observed that many countries in sub-Saharan Africa lack capacity to manage electronic records. The authors stated further that with the shift from paper to digital information, the state of electronic records in most countries in sub-Saharan Africa will not be sufficient to support the evidentiary needs of government business functions. The authors emphasized that if records are to survive and be useful in supporting the functions of a public organization, ensuring the rights of citizens, and preserving cultural records of the past, then records professionals in developing countries need to be engaged in the global discussion of how best to capture, manage and preserve computerized information over time. The author insisted that archival institutions need to develop policies and standards for the creation, use and preservation of electronic records. These should address, among other things, the mandate of the institution with regard to such records, a definition of electronic records, and the different types of electronic records (Kimberly, Kutzner and Wamukoya 2001:35).

Ngulube (2004b:144) in his study on how e-records were managed in sixteen countries of sub-Saharan Africa, established that plans for preserving digital information and making

it accessible for the present and future are inadequate in sub-Saharan Africa. The key problem of digital objects with regard to preserving and making them accessible over time is that electronic resources regardless of whether they are created initially through digitization or are born digital are subject to technological obsolescence and physical deterioration, and knowledge of their life expectancy remains relatively undeveloped. Ngulube (2004b:148) recommended that the formulation of policies on the management of electronic records is an essential step in facilitating continued access to sub-Saharan Africa's cultural heritage. He stressed further that the lack of clear policies governing the management of electronically created information is bound to have negative implications for access to this valuable cultural resource in the face of constantly changing technologies. Further, strategies for maintaining and managing electronic records over time should be developed to ensure that they are retrievable and usable.

In ESARBICA region, Kemoni (2009:192) stated that the state of electronic records management is a subject of discussion by recordkeeping professionals and scholars. The management of e-records is acknowledged by both government and records management professionals as a global problem. For instance, in examining e-records readiness in the ESARBICA region, Wato (2006:69) stated that managing electronic records is one area that has always challenged archivists and records managers, especially in the developing countries partly because of the following reasons: their creation, use and preservation require acquisition of costly hardware and software; the archivist and records manager may be required to undergo re-training in the use of information technology in order to be conversant with the management of e-records; preservation of e-records is determined by the storage media which are quickly becoming obsolete; and training institutions where archivists and records managers are being trained locally may be lacking in personnel to teach e-records management.

Discussing the challenges of managing electronic records in the ESARBICA region, Mutiti (2001:59) stated that understanding the role of the National Archives, inadequate technical expertise and ethical issues were some of the challenges facing archivists in the region. Mutiti (2001:60) proposed a number of issues which need to be addressed in

order to bring radical changes in the routine operations of some archival institutions. The issues include, the need to train archivists in electronic recordkeeping in order to enable them to play an active role in the management of electronic records; the electronic records programme must become one of the core functions of the National Archives; the National Archives must be given the legal mandate to fulfil its obligations; additional funds are required to meet the added costs of managing the electronic records programme in the context of ever changing IT; and the need to undertake a national survey of public institutions in order to take stock of the electronic records being generated, the systems being used and to determine, in conjunction with other specialists, what needs to be done.

Further, Keakopa (2007:70; 2009:79) pointed out that although the advent of ICT and its increasing use in government operations has led to growth in electronic records, and in some ways eased the work of archivists and records managers, dependence on it has at the same time created problems. Examples of some of the problems associated with the impact of technology on recordkeeping that are still unresolved include: technological obsolescence and long term preservation, concerns of reliability and authenticity, increased risk of lost data and records, lack of security and privacy, increased need for information technology specialists (Keakopa 2009:80; IRMT 2009b:9). Keakopa (2007:71) pointed out that most archival institutions in developed and a few in the developing countries have established policies and procedures to ensure the proper management of electronic records. She highlighted that through these policies and procedures the National Archives of Australia, New Zealand and Malaysia provided conditions for the appropriate access, protection, use and preservation of electronic records. Policies and procedures in these countries emphasize the requirements for systems and processes that deal with electronic records; their reliability, access and long term preservation. She pointed out that the recordkeeping practices in Botswana and Namibia have been hampered by the lack of relevant policies and procedures to support the management of records throughout their life cycle.

To enable governments to conduct high-level assessments of key areas of e-records readiness in relation to other aspects of e-government and to determine whether the records and information management infrastructure is capable of supporting e-government initiatives, the IRMT developed the e-records readiness tool to be used in conjunction with existing e-government readiness tools (IRMT 2004). The tool uses a brief questionnaire that provides a risk assessment of e-records readiness in government, at national and organizational levels. The areas addressed by the tool include: staff competencies in maintaining software and hardware; human resource capacity; telecommunication infrastructure to support the growing volume of work; adequacy of electric power; information management policies and responsibilities; information management products and technologies; internal and public awareness programmes on information management; compliance with information management procedures such as security, documentation standards and system engineering procedures for ICT; guidelines for management of electronic records; national ICT strategies; supportive legal and regulatory frameworks for information management; and freedom of information and protection of privacy (IRMT 2004).

According to Wamukoya and Mutula (2005a:74) the statutory institutions with responsibility for archives in the east and southern Africa region fall short of the e-readiness standards of the IRMT benchmarks. This is due to the fact that staff competencies, skills and tools needed to manage electronic business processes and information in a shared work environment has not been adequately developed in many public sector organizations in the east and southern Africa region. Similarly, Mazikana (2009:43) pointed out that in most African countries there is very limited management of electronic records and application of records management software is virtually unheard of. The author stated that the National Archival institutions are at the very beginning of the application of information technology to records and archives management.

Mazikana (2009:44) observed that although there is the existence of computers in the national archival institutions, archivists are not managing their electronic records. He further added that very few institutions have records management software, archivists do

not even use the basic functionality of Microsoft Office and the folder/directory system to establish file classification systems on their computers and they cannot retrieve documents with ease when they need them.

The present study investigated issues pertaining to computer applications in the management of records in the government ministries and the challenges that registry staff faced in managing electronic records. It investigated the role of the National Archives of Tanzania in the management of electronic records and the challenges the institution faced in the management of these records.

3.9 The National Archives and the role of records and archives legislation in managing public sector records

National archival institutions as the centralizing agencies for official records are mandated to facilitate the proper management of public records so that the information contained in them remains accessible (Ngulube and Tafor 2006:57). National Archives are responsible for providing guidance and assistance to government agencies on the creation, maintenance, use, and disposition of government records (Wato 2003:2). National Archival institutions worldwide are involved in the management of public sector records. In the United Kingdom, the National Archives advises government departments and the wider public sector on best practices in records management. In Australia, the National Archives provides advice to government agencies by developing policies, standards, guidelines and providing training and advice about modern recordkeeping (Stuckey 2004). In the United States of America, the National Archives and Records Administration (NARA) helps to preserve the nation's history by overseeing the management of all federal records and provides public access to information (Marshall 2006:76). Further, the National Archives and Records Service of South Africa (NARSA) helps to foster national identity and protect human rights by promoting efficient, accountable and transparent government through the proper management and care of government records (Kemoni and Ngulube 2007:121).

Similarly, the National Archives of India is engaged in streamlining the management of public records. The aims of the National Archives are, to encourage the scientific management, administration and conservation of records all over the country; to foster close relations between archivists and archival institutions both at the national and international level; to encourage greater liberalization of access to archival holdings; to help in developing greater professionalism; to help in spreading a feeling of national pride in documentary cultural heritage and ensuring its preservation for the posterity (Gautum 2005:4).

Further, in many countries, national archival institutions are mandated by records and archives legislation that stipulate the proper management of records in the public sector (Kemoni and Ngulube 2007:121). Such legislation must ensure a consistent and coherent approach to the creation, maintenance, protection and disposal of records, and the transfer of those of enduring value to the archives for permanent preservation according to established standards and practices. Millar (2003:12) emphasized that comprehensive and up-to-date records and archives legislation is a critical prerequisite of effective records care and consequently, of accountable records management. Records and archives legislation establishes the infrastructure within which appropriate records and archives systems can be created and implemented. It must ensure complete protection for all public sector records, in whatever format, and provide the governing organization, be it National Archives or other bodies with comprehensive authority for securing and protecting records (Smith 2007).

Records and archival legislation has generally aimed to:

- provide a government-wide framework for efficient and effective management of public records, setting out the principles that govern recordkeeping practices;
- establish a statutory archival authority responsible for records policy and records management standards and practices;
- provide a definition of public records inclusive of all records formats and the records of statutory bodies;

- provide for mandatory compliance with archival legislation and records management standards by all public sector agencies with clearly defined exceptions as appropriate;
- make the government responsible for the authenticity, reliability, accessibility, usability and preservation of government records and archives in electronic form as long as required;
- support and protect creators and keepers of public records against abuse of administrative or political power;
- confer on the public a right of access to public records after a prescribed period(s) of record closure, taking into consideration the nature and security grading of the records and other legal requirements; and
- establish an appeal mechanism to address denial of access to records by the administration (Loh, Van Rafelghem and Graham 2007:3; Parer 2000:2).

For instance, countries such as Canada and the United Kingdom, which both have forceful records legislation, are able to serve the records management needs of the government while also acting as “watchdogs” over the public sector’s activities. The United Kingdom has undertaken many effective initiatives, including the development of policies for the management of electronic records and the development of recordkeeping standards, which provide a high level of government accountability despite the fact that the government has still not enacted its planned access to information legislation (Millar 2003:13).

In South Africa, the National Archives and Records Service of South Africa Act (Act No. 43 of 1996) provides the legislative and legal framework according to which records management practices in governmental bodies are regulated. The Act requires government departments to develop, implement and maintain proper records management systems (Ngoepe and Van der Walt 2009:120). Ngoepe and Van der Walt (2009:120) pointed out further that the passage of the Promotion of Access to

Information Act (Act No. 2 of 2000) (PAIA) by the South African government also emphasized the need for proper records management.

In Tanzania, Katundu (2002:76) stated that the Records and Archives Management Act of 2002 is primarily the most significant change in the way recordkeeping is to be coordinated by public offices for a number of reasons. First, it legally lays the foundations of effective records and archives management in relation to legislation, agencies and government offices for all types of records. Second, the Act is crucial as it intends to resuscitate achievements in records and archives administration recorded between 1965 and 1969 when the deterioration and collapse of records management and archives administration systems began. Third, through its various provisions specifically on structural mechanisms of managing records, the Act provides and facilitates a unified records management structure both at central and local government levels. The Act creates the basis for facilitating the maintenance of good recordkeeping systems which is of particular significance specifically when vital records are needed in response to the public sector reform programme (Katundu 2002:76).

The present study investigated the role of National Archives in the management of public sector records and the provision of professional records management in the government ministries in Tanzania. The study further examined the role of records and archives legislation in the management of public records in the ministries in Tanzania.

3.10 Education and training of records management professionals: a review of empirical studies

Education and training are concerned with the development of knowledge, skills and attributes necessary for individuals to live meaningfully and to contribute positively to society. In fact, education and training are key to developing life-long skills and expertise (Yusof and Chell 1998b:25). Education provides new professionals with knowledge of the theory of the discipline and helps them to explore current practice. Education encourages reflection and should provide foundation knowledge, together with a problem-solving approach and reflective learning habits that are transferable to the wide

range of situations the student will inevitably encounter in the course of professional life (Anderson 2007:95).

A professional education programme will introduce the learners to the theory and principles underpinning professional practice in the discipline. Anderson (2007:95) pointed out that in our fast changing world, nothing remains the same for even three or four years any more, much has had to be learned along the way; new skills, new approaches to knowledge, new ways of working with new tools, undertaking courses or learning with new technologies.

Training on the other hand, focuses on acquisition of specific skills and competencies necessary in the workplace. Training enables specialized knowledge to be transmitted, and is based on ideas and concepts rather than on physical objects. In addition to learning skills and knowledge, trainees acquire understanding of the occupational sub-culture, its values and norms (Shepherd 2006b:11). Records management, with its concern for the creation, organization, storage, retrieval, distribution, retirement and final disposal of records irrespective of their format and media, to a great extent hinges on records managers with necessary skills and knowledge to deal with the records at every stage of their use by society (Ngulube 2001:155). Wamukoya (2000:31) insisted that records personnel at all levels require appropriate training, not only to acquire new knowledge and skills, but also to gain confidence in what they do. He further stressed that such training must be relevant and on-going, and it must include both formal and informal approaches such as on-the-job training.

Various studies have been conducted on education and training in records and archives management worldwide and in Africa in particular. A study by Yusof and Chell (1998b) discussed the need for records management education and training worldwide and the emergence of records management as a subset of information management. The authors discussed how the focus of records management has shifted from the archival management of unwanted documents to the management of electronic systems giving records managers an equal standing with other professionals in the field of information

management, using a comparison between Malaysia, where much of the training is provided by visiting consultants, and the United Kingdom where records management training is provided by the universities.

The authors showed that in developed countries, particularly the United Kingdom and the United States of America, the usefulness and benefits of systematic records management in business has promoted companies to provide education for those engaged in records related activities within their organizations. For instance, in UK universities, records management is being offered either strictly as a separate programme or as an individual module taught together with archives or library and information science. In some universities outside UK, records management is offered together with either management, business, computer science or history (Yusof and Chell 1998b:28). The authors noted that in many countries, however, the situation is characterized by a lack of local expertise and experience, and education and training is being carried out by bringing in foreign experts (Yusof and Chell 1998b:28).

Moreover, Shepherd (2006b) discussed the historical development of archives and records management education in English universities, with reference to some significant Welsh and Scottish developments, and provided an overview of the state of archives and records management teaching and research in the universities at the start of the twenty-first century. The author noted that the academic discipline of archives and records management gradually developed in England through research. Until at least the 1970s, research into archives and records management was not considered appropriate or necessary; research was undertaken in allied disciplines such as history or diplomacy.

Shepherd (2006b) noted that very few academic posts in archives and records management existed until recently; the handful of universities offering the subject in the UK in the 1980s each had a single academic post. Even in 2005, there were fewer than twenty UK academics in archives and records management. In 2005 full and part-time one-year Masters programme in archives and records management were available at seven universities in UK, two of which began in 2004. Shepherd (2006b) noted that

universities in the UK range from those that focus on records management as at Northumbria and Aberystwyth, to those which integrate records and archives such as at University College London (SLAIS) to traditional archival programmes in Dublin. Some are taught face-to-face on campus and three are available by distance learning. All programmes offered aspire to fulfil the requirements of the Society of Archivists accreditation criteria.

Discussing the records management education and training in Australia, Pember (1998) noted that in the past the traditional records manager has had little formal records management education. Skills and knowledge have largely been acquired on-the-job, through short-term training, or as part of another degree such as librarianship or management. A 1996 survey of recordkeeping in local government agencies in Western Australia conducted by the author indicated that 49% of recordkeeping staff were employed at the very lowest level in the organization, 80% did not have a qualification of any kind, and 61% had less than three years experience in any aspect of recordkeeping. Of those with qualifications 10% had a para-professional certificate or diploma and 10% had a university degree, usually in a field other than recordkeeping, generally librarianship.

Further, Pember (1998) noted a gradual rise of the new age of records management professionals in Australia. By 1998 records management education and training in Australia were offered at both technician/para-professional and professional levels with a range of courses at technical colleges and universities. Courses have developed from simple beginnings as single units or minors, often in business or library disciplines, and full courses at the undergraduate and graduate level right through to doctoral level. Other courses are available on a full-time or part-time basis, and can be accessed via internal or external study modes. Most courses provide a good basic grounding in recordkeeping theory and practice. Strengths vary from course to course and institution to institution, with some focusing on the archival record, whilst others may focus on electronic recordkeeping and document management.

Further, Hoy (2007) indicated that the recordkeeping competency standards are an integral part of the wider education framework of the recordkeeping profession in Australia. Hoy (2007:49) noted that the first set of competency standards for archives and records was released in 1997. The competency standards are a tool for curriculum development and assessment. The primary aim of the competency standards is to give assessors and content developers as much advice as possible, ensuring that the delivery and assessment of skills, knowledge and performance is as consistent as possible. This helped to achieve consistency across all training organizations, which can then better support national recognition of qualifications. Archival institutions in Australia and New Zealand have also used the recordkeeping competencies to promote education about recordkeeping. State Records of New South Wales uses the competency standards to support several initiatives, including: developing sample selection criteria for government agencies; compiling skills audit questionnaires; monitoring take-up of formal qualifications through records management surveys; and promoting the competency standards through publications (Hoy 2007:54).

In their study, education and training for records management in the electronic environment, McLeod, Hare and Johare (2004) noted that managing records in the electronic environment is not only a major challenge but also increasingly a strategic issue for organizations in both the public and private sectors. The authors noted that a key factor in meeting both the challenge and addressing the strategic management is the provision of education and training for employees and potential employees. They emphasized the provision of education and training at the appropriate level of detail and in the appropriate areas of the subject, commensurate with roles and responsibilities so that these people can discharge, both effectively and efficiently, their responsibilities for managing records in the electronic environment.

Further, a study on a global search for universal models of education and training in electronic records management, Johare (2007:1) noted that in developed countries, education and training for records practitioners and other key players on electronic records management are provided by the universities, professional organizations, private

consultants and individual archival institutions, or through collaboration between the various organizations. However, in many countries especially those in Asia, the situation is characterised by a lack of local expertise, experience and facilities. As a result, records practitioners are sent to developed countries to acquire knowledge and skills on electronic records management, or foreign experts are brought in to conduct in-service training for government record keepers. In Australia education and training programmes on electronic records management was established on a strong foundation (Johare 2007:2). As a result, records staff acts as consultants, educators and advisors and assist agencies to fulfil their recordkeeping roles and responsibilities in the era of electronic government, public accountability, freedom of information and knowledge-based organizations aimed at supporting ISO 15489.

In Canada, records management courses have evolved with great energy, enthusiasm and creativity, in line with the dynamism of dealing with electronic records (Johare 2007:3). Other than embarking on the harmonization of education and training in records management, librarianship and information sciences as part of the philosophy which characterizes the records management education and training in Canada, the development of research into electronic records management is another significant component of the philosophy behind the programmes offered by the various universities. The InterPARES project based in the University of British Columbia (UBC) brings together archivists from universities and archival institutions, along with computer and information scientists and engineers from around the world in a concerted effort to define the archival requirements for authenticity on the basis of archival science and diplomatics (Johare 2007:3).

Johare (2007:3) further showed that in the UK, electronic records management subjects are incorporated within accredited courses on archives at the University of London, Liverpool University and University of Wales for their certificate, diploma, Masters and other postgraduate programmes. Northumbria University has developed strong areas of concentration and specialisation on electronic records management in their MSc (Records Management) by Distance Learning and Advanced Diploma in Records

Management by Lifelong Learning. Further, in the USA and Canada, the central records management association, ARMA, has also been active in promoting education and training on ERM as part of records management programmes (Johare 2007:4).

Education and training are also fundamental to the management of records and archives in Africa. While it is known and accepted that every organization creates, uses and relies on records, it has taken a long time to make provision for the proper management of the records with specifically designated records managers (Mazikana 1998:77). Most African countries have paid little attention to the training of archivists and records managers (Mnjama 1996:31).

In most African countries, there is no provision for ministry and departmental records officers, or for some senior person within a ministry or department to be in charge of the records. The result is that the profile of the records management function is low and the activity is accorded low priority in the allocation of resources (Mazikana 1998:77). Most government ministries and departments operate with central registry systems and the registry work is done by registry clerks, officers and supervisors. These are usually people who have completed four years of secondary education (Mazikana 1998:77).

There is also a wide disparity in the availability and provision of records management training facilities in sub-Saharan Africa (Mazikana 1998:79). An analysis of education and training programmes in anglophone Africa reveals wide differences with respect to content, composition of curriculum, certification, standards of provision and duration (Ngulube 2001:157). Ngulube (2001:157) stated further that the concept of guidelines and standards of records management education is also arguably the most neglected area of records management training in Africa. The author proposed model guidelines and standards for records management training in anglophone Africa. The goal of the standards is to develop in all learners the requisite knowledge and skills for the effective and efficient management of records and archives. Ngulube (2001:162) pointed out that through these standards, students will understand the foundations, principles, and practices of records management. The standards have been organized into four major

strands: identification and acquisition of records and archives; intellectual control over records and archives; physical control over records and archives and access to records and archives.

Mnjama (2002) conducted a study on the training in archives and records management with special reference to Botswana. The author highlighted that the archivists and records managers require a greater understanding of the following areas:

- A clear perception of the impact of the information age on a rapidly changing world;
- A knowledge of the functional areas of business organization;
- A strong view of organizational behaviour;
- Excellent communication skills;
- A specialized understanding of the basic fundamental concepts of information management that may be applied to information created in any medium; and
- A mastery of computer applications – with a clear perception of the impact of the computer in the future (Mnjama 2002:140).

Mnjama (2002:141) further showed that at the University of Botswana, training of library and information studies professionals had taken place since 1979, while that of archivists and records managers at certificate and diploma levels has been carried out since 1995. The Department of Library and Information Studies has developed courses and programmes which lay emphasis on producing graduates with skills, competencies and attitudes which will enable them to perform library and information tasks in a more efficient manner. The author noted that a one year Post-graduate Diploma and a two year Masters Programme in Archives and Records Management commenced in 2002. Mnjama (2002:144) stated that the need to introduce postgraduate and a Masters programme in archives and records management stems from the fact that the training of archivists and records managers particularly at graduate level has received very little attention in the region. Most graduate students in the region were trained at the University College London and Liverpool University, in Australia and in Canada. The author noted that in some library schools in Africa certain aspects of records

management are taught alongside library courses, however, they failed to address the peculiar needs of archives and records management institutions in Africa where resources are limited. Although a proposal to introduce a post graduate diploma at the University of Botswana had been proposed, this was not effected as the University opted only to offer a Masters programme at post graduate level.

Discussing the training for the archival profession in Namibia, Nengomasha (2006:205; 2009:116) noted that the records and archives management professions in Namibia are still developing. Nengomasha (2006:206; 2009:116) noted that the lack of trained records management professionals hinders the implementation of Namibia's record management programme. The government registries are managed by secondary school leavers, a qualification which is too low for the competencies and skills required. The action officers have little regard for these registry clerks resulting in them setting up their own ring binder systems for storing paper documents in their offices or storing information on their PCs, or assigning their filing to private secretaries who have no training in this respect.

Further, Nengomasha (2006:209) pointed out that an information studies programme for graduate training for information professionals, including records and archives management, was introduced at the University of Namibia in 1995. The Department of Information and Communication Studies offers training in records and archives management through two programmes, a Bachelor of Arts in Library and Records Management and a Diploma in Information Studies. The author stated that a change from Bachelor in Bibliography/Bachelor in Information Degree in Library and Information Science to Bachelor of Arts in Library Science and Records Management has resulted in a remarkable increase in the number of students registered by the Department. The National Archives of Namibia also offers informal courses in records management ranging from two to five days for registry clerks and officers in charge of archives.

Training for archivists is based on the archives code whereas that for registry clerks is more related to practical aspects of registry management than records and archives management (Nengomasha 2009:116). The author recommended a provision of more records and archives management modules including a strong component on electronic records management, offering short courses and workshops to those who are already managing records in the public sector and other organizations and the setting of standards and guidelines on the training of records and archives management professionals in Namibia.

A study by Katuu (2009) examined the archives and records management education and training in Europe and North America and whether their experience can be used to bring a fresh perspective to the archival and records management programmes in Africa. Katuu (2009) discussed various models of archival and records management education as presented by Samarasinghe (1994). Samarasinghe (1994:30) presented three models of archival and records management education that characterize certain European countries' education tradition. In the Italo-Hispanic model, Italy and Spain have well developed archives systems that support the education and training and recruitment into the profession. Although both Italy and Spain have had a rich history of education, they failed to distinguish between archivists on one hand and librarians and documentalists on the other.

The second model of archival and records management education is found in France, Germany and the Netherlands (Samarasinghe 1994:31). The training schools of this model are usually either autonomous institutes or are attached to principal archives services or associated with an historical faculty of a university. Under this model, different levels of instruction of professional knowledge is provided depending upon the professional responsibilities the student is expected to assume (Samarasinghe 1994:32).

The French system of archival education exaggerates historicism at the expense of archives administration (Orr 1981:31). In the Netherlands and Germany, two grades of personnel have distinct functions, educational attachments and professional training.

Katuu (2009:134) stated that this model offers strong prospects of achieving a certain level of autonomy and professional confidence due to the fact that education and training are carried out independently, rather than being affiliated to the university, although its excessive devotion to the historically oriented tradition leads to certain inflexibility in the curriculum.

The third model of archival and records management education programmes can be observed in countries such as Australia, Canada, the United Kingdom and the United States of America. These countries have all developed in-service training programmes for the National Archives staff and some larger institutions, but this method has gradually given way to pre-appointment education in programmes run at universities (Samarasinghe 1994:37). Katuu (2009:134) further asserted that it is according to this model that the majority of professional archivists in English-speaking African countries were and are still being trained.

Katuu (2009:136) pointed out that the most significant period in the establishment of archival and records management in sub-Saharan Africa started in the 1970s. The International Council of Archives (ICA) and UNESCO were involved in establishing regional training centres to cater for the training needs of archivists in sub-Saharan Africa. Two centres were established, one for Francophone countries in Senegal in 1971, and another for Anglophone countries in Ghana in 1975. The centres and other institutions which were established later were seen as a more cost effective way of instructing archivists and records professionals rather sending them overseas. Katuu (2009) concluded that while Europe has served as the cradle of the profession and North America the epicentre of contemporary research and scholarship, Africa has the potential for being the hub of ingenuity and innovation in the face of diminished resources and dire need. While Europe and North America battle to adequately manage and provide access to their rich collections and deal with the challenges of the digital resources, Africa is still struggling to prop up dilapidated recordkeeping systems for current records. Katuu recommended that in order to address this inadequacy, education and training systems that nurture professionals should be comprehensively reviewed.

Mnjama (2005:462) pointed out that among archival institutions in the ESARBICA region, Kenya is one of the countries to embark on the formal training of archivists at different levels. Training of archivists at certificate and diploma levels in archives and records management goes back to 1979 when the course was first offered at the Kenya Polytechnic. The author noted further that similar courses are now offered at the Kenya Polytechnic, Sigalagala Polytechnic, the School of Professional Studies in Nairobi and a four-year degree programme is offered at the Faculty of Information Sciences at the Moi University.

In Tanzania, records management training for registry personnel is conducted at the Tanzania Public Service College (TPSC). The training is provided at certificate and diploma levels. The college was established in the year 2000 through the Executive Agency Act No. 30 1997 (URT 2004a). TPSC is mandated to improve the quality, efficiency and effectiveness of the Public Service of Tanzania by providing comprehensive training, consultancy and applied research interventions. The college was established as part and parcel of the Public Service Reform Programme. The reform calls for changes in the way public servants are expected to perform in serving the public: they are expected to be equipped with professional and managerial skills.

The School of Library, Archives and Documentation Studies (SLADS) is another institution that offers certificate in library studies, and ordinary diplomas in librarianship and information studies, and records management and archives administration. The courses are aimed at producing well trained library, records and archives managers competent to manage library and information centres and records and archives offices in government and non-government organizations (Tanzania Library Service Board (TLSB) 2009).

At the University of Dar es Salaam, Tanzania, records management training is being offered by the Information Studies programme through its Masters programme in Information studies. Records management is taught as one among other components of the Management of Library, Archives and Information Systems which is a compulsory

subject. The subject has three distinct components: organizational management theories and managerial functions, collection development and records management. Again, Records Management and Archives Administration is also taught as an optional course and it is among the most frequently selected choice of subject.

Msuya (2005) conducted a study to obtain stakeholders' perceptions of the Master of Arts in Information Studies programme of the University of Dar es Salaam. The study aimed to establish whether or not there was any relationship between the training received in the programme and the activities pursued in the workplace. The study established that a thorough curriculum review was needed to update the existing course contents, introduce new ones and provide continuing education facilities for information professionals. The study recommended that the records management component be combined with the optional subject on Records Management and Archives Administration, so that students interested in this topic could take it as an optional course. It was noted that it was an unnecessary repetition to study records management both under Management of Library, Archives and Information Systems subject and also as an optional subject.

The present study investigated the levels of skills and training of records managers/registry personnel in the government ministries of Tanzania. Registry personnel were asked to indicate the areas in which they had the greatest need for additional training regarding records management and training methods.

3.11 Disaster management and security control

One of the major threats to the safety and preservation of official records is the risk of disaster (Government of South Australia 2007). A disaster can be defined as an unexpected occurrence inflicting widespread destruction and distress and having long-term adverse effects on the conduct of normal activities (Przybyla and Huth 2004:1). Ngulube and Magazi (2006:186) defined a disaster as an unexpected event that may drastically threaten the lives of humans or damage buildings, destroy the information infrastructure, disrupt services, and render documentary materials inaccessible to users.

According to Matthews (2003:3) disaster in the context of library and information services is defined as any incident which threatens human safety and/or damages, or threatens to damage a library's buildings, collections, contents, facilities or services.

Disasters affecting records may include:

- natural events or hazards including earthquakes, cyclones, bushfires, floods, vermin, lightning strikes, windstorms;
- structural or building failure such as malfunctioning sprinklers, heating or air conditioning systems, leaks in roofs, poor wiring, sewer/ storm water/ drainage failure, energy failure;
- industrial accidents such as nuclear or chemical spills, fire, explosions, gas leaks, falling object damage;
- technological disasters such as viruses and computer equipment failures;
- criminal behaviour such as theft, arson, espionage, vandalism, riots, bombing, demonstrations, terrorism and war; and
- accidental loss through human error (Government of South Australia 2007).

Disasters may also be caused by storage conditions that are unsuitable for the media stored, and by the natural decay of materials. Thus, disaster planning and security control are vital to the preservation and protection of records and archives. Disaster planning is the major component of any disaster preparedness strategy because it prepares institutions to respond quickly to emergencies (Ngulube and Magazi 2006:185). Disaster planning provides a blueprint for dealing with disaster management activities (Mansell 2003:14).

A disaster plan is a clear, concise document which outlines preventive and preparatory measures intended to reduce potential risks, and which also provides details of reaction and recovery procedures to be undertaken in the event of a disaster to minimize its effects (Lyll 1996; Matthews 2003:4). Disaster management plans are important because they have the possibility of:

- reducing disruption of normal operations;
- raising awareness of the importance of being prepared;

- providing for training for personnel in emergency procedures; and
- coordinating disasters by providing clear procedures and assigning people's roles and responsibilities (Mansell 2003:14; Penn, Pennix and Coulson 1994:142).

Prevention, preparedness, response and recovery are recognized as the major components of disaster management processes (Eden and Matthews 1996:5; Matthews 1996:245; 2003:4; Mansell 2003:23). The foregoing four stages may be divided into three phases: before the disaster, during the disaster and after the disaster (Lyll 1996). In 'before the disaster phase', preventive and preparedness plans should be in operation (Lyll 1996). Preventive strategies recommend actions that will prevent most disasters. Preventive strategies include recommendations such as the repair of leaking roofs, the improvement of maintenance and the upgrading of security (Lyll 1996; Mansell 2003:23).

Preparedness strategies are designed to ensure that identified disasters can be managed. Being prepared for a disaster or an emergency event is considered to be the most important section of the disaster plan as it will reduce the level of response and recovery (Mansell 2003:24). They recommend actions such as the identification of important items in the collection, the purchase of plastic sheeting, the provision of freezing facilities and the training of staff to enable them to respond to a variety of disasters (Lyll 1996). In 'during the disaster phase' a response to the disaster must be made. The effectiveness of the response is governed by the thoroughness of the preparedness plan (Lyll 1996). In the 'after the disaster phase' recovery plans are implemented. Due to the unique nature of every disaster, recovery plans can never be formulated in detail (Lyll 1996).

Lyll (1996) pointed out that a disaster plan should be reviewed with staff regularly, at least annually. The plan should include a list of steps to follow if a disaster strikes, a list with addresses, names and telephone numbers of key salvage staff and the disaster team and sources of assistance and supplies that may be needed. The plan should be written clearly and understood by everyone likely to be involved. The lists and instructions should be kept up-to-date. In devising response and recovery procedures, it is important

to state in the plan which staff members have responsibility for declaring a state of emergency and implementing the plan (Lyll 1996). Much valuable time can be lost during emergencies if staff members are unfamiliar with recovery methods. Copies of the plan should be distributed to all personnel responsible for emergency prevention and recovery. Several copies of the plan should be stored off-site as well as in the building(s) where materials are housed (Przybyla and Huth 2004:14).

Security control is an important aspect of disaster planning (Government of Australia 2007; Matthews 2003). Security control protects items against theft, deliberate or unintentional damage and destruction. Security control refers to all the measures adopted within an organization to safeguard assets, ensure the accuracy and reliability of records, and encourage operational efficiency and adherence to prescribed procedures (Wold and Shriver 1997). Security and protection of records includes actions that are undertaken to discourage crime and to prevent or minimize damage to holdings (Ngulube 2005b:19). One of the most important aspects of any security control is the clear identification of what is most at risk, and of what truly merits fully protection. Some security considerations that must be addressed in an information management environment include building security, equipment and personal security (Penn, Pennix and Coulson 1994:146).

Ngulube (2005a:21) stated that all archival institution in the ESARBICA region should be encouraged to prepare disaster prevention and response plans in order to safeguard the archival heritage of their constituents. The author highlighted that the first step in the actual construction of a disaster plan is to define its scope, that is, what areas of concern need to be addressed, what special needs the institution may have, and the amount of detail necessary for the plan to be workable. Ngulube and Magazi (2006:190) pointed out that like many countries worldwide, South Africa is concerned with disaster management. The Disaster Management Act of 2002 assigned responsibilities for disaster planning to the three tiers of government: national, provincial and local.

There are a number of cases where disaster has caused threats to records, archives and libraries. In June 1993, in Dakota County, Minnesota, a devastating blaze at Hastings Library, believed to have been caused by a faulty computer surge protector, destroyed about 80 percent of a library's holdings. The building was not equipped with a sprinkler system or fire alarm, either of which might have prevented the extensive damage (Bolger 2003). In November 1998 a tornado swept through Columbia destroying some records of the University of Missouri. The University records facility was able to recover from the tornado in a short time only because it had a plan in place (Jones 2000). On 11 September 2001, terrorists attacked the World Trade Centre and the Pentagon Library in the United States destroying records, books and other documentary materials. However, good disaster planning made it possible to get the libraries and information centres back into operation with amazing speed and effectiveness (Bolger 2003).

In Africa, a number of disasters have struck information centres, and considerable damage has been done to records, books and artefacts. For instance, in 1988, records were destroyed when a record centre was burnt down by students in Sierra Leone. In Kenya, the then Colonial Secretary Office's containing early colonial records was gutted by fire in 1939, resulting in considerable loss of valuable records (Alegbeleye 1993). Hlabaangani and Mnjama (2008:65) discussed disasters that have struck different institutions in Botswana. One such disaster was the destruction of the old immigration department building near the railway line in Gaborone which was gutted by fire in the 1990s resulting in the loss of many records.

The authors pointed out that in order to fight disasters in Botswana, the government formulated a national policy on disaster management. In 1998, the National Disaster Management Office (NDMO), a unit under the Development Department in the Office of the President was established. NDMO has three divisions which are: information, education and awareness, operations control, and coordination and logistics. The NDMO coordinates its activities through the National Committee on Disaster Management, the National Disaster Management Technical Committee and District Disaster Management Committee. Hlabaangani and Mnjama (2008:66) underscored the

point that in order to facilitate the integration of disaster management into project planning and management, NDMO has identified disaster planning and management focal persons in all ministries who are expected to ensure that their ministries or departments incorporate disaster management in their daily activities.

Matthews (2003:7) stated that effective implementation of a disaster control plan depends on people: the people responsible for directing its application, and the people carrying out the various tasks included in it. Matthews (2003:7) insisted further that the plan is words on paper, people turn these words into action and action must be directed and managed. The lines of authority must be clear, all who are to be involved in various parts of the plan need to be aware of their role, and receive appropriate training; aspects of the plan needs to be tried and tested to check if they are feasible, and importantly, the plan needs to be regularly reviewed to keep it up to date.

Furthermore, one of the most important ways to identify potential disasters and address the security of materials is to conduct regular risk assessment and analysis of the building and its surroundings, and records storage locations. Risk analysis helps organizations to identify those occurrences which pose the greatest threat to the holdings and the organization. Whereas, risk assessment assists organizations to evaluate and assess the adequacy of controls in relation to dealing with identified threats (Wold and Shriver 1997). Risk assessment and risk analysis are the foundation of risk management. Risk management is a formal method for collecting information about collections and identifying current or potential risks, prioritizing these risks according to their predicted occurrence and severity, and then using that information to decide what activities will best contribute to the longevity of the collection (Cannon 2003:41). Developing a risk management programme involves working through a series of steps in order to collect, organize and analyze information about risks. Thus, risk management helps organizations to identify, analyze and evaluate risks that are likely to affect them and the adequacy of the available controls to deal with the probable disaster (Ngulube 2005b:19).

It is important therefore that organizations be aware of the importance of having disaster plans and security control as protection from the loss of valuable documentary materials during and after a disaster. Having a formal written plan enables an institution to respond efficiently and quickly to an emergency, and to minimize damage to the building and its contents. Institutions need to consider what resources will be needed when there is disaster. They should prioritize resources by assessing the most likely disaster or emergency situations that may arise.

The present study sought to establish the levels of understanding and application of the principles of disaster management and security control by registry personnel in the government ministries.

3.12 International standards in records management

Standards are published documents setting out specifications and procedures designed to ensure products, services and systems are safe, reliable and consistently perform the way they were intended to (Standards Australia n.d). Standards provide enormous social and economic benefits in all aspects of human endeavour by enabling interoperability, ensuring quality, safety, consistency, uniformity, reliability, economic efficiency, and so forth, across organizational, state, national and international borders (Pember 2006:23).

The use of standards in recordkeeping creates a professional environment of best practice. They establish a common language and understanding among recordkeeping practitioners to enable individuals and organizations to create systems, policies and procedures that ensure high operational quality recordkeeping and at the same time minimize corporate information risk exposure thus leading to exceptional records and information management performance (Pember 2006:26).

The origin of the records management standards can be traced back to 1996 as in this year the Australian recordkeeping community published the first standard on records management AS 4390 (Gunnlaugsdottir 2002:232). The Australian standard was written for Australia, but it immediately received international attention. The initiative was

taken to establish an ISO subcommittee, TC46/SC11 to develop an international standard for records management based on the Australian example (Hofman 2005). The result was the ISO 15489 records management standard, published in 2001 (ISO 15489-1:2001).

The standard was developed through the work of participating records professionals around the world and represents a consensus of best practice for records management. It provides a framework for any organization, public or private, to adopt and use to manage its records, irrespective of the medium on which they are created, captured and maintained (Gunnlaugsdottir 2002:232; McLeod, Hare and Johare 2004). These practices help the organizations to assess and customize their records management needs for their business activities. The standard is divided into eleven chapters or sections which are:

- Scope or the coverage of the standard;
- Normative references which are, among others, the ISO 9000 quality management standards and the ISO 14000 environmental standards;
- Terms and definitions which the major records management concepts defines;
- Benefits of records management which discusses thirteen of the greatest benefits derived from a good records management system;
- Regulatory environment which covers the laws, regulations, and work rules, codes of ethics and standards which apply to the organization and to records management;
- Policy and responsibility which emphasize the need to establish, document and promulgate policies, procedures and practices for records management;
- Records management requirements which cover the basic principles of records management programmes and characteristics of a record;
- Design and implementation of a records systems to meet the operational needs of the organization and to ensure that these accord with the regulatory environment;
- Records management processes and controls which discuss issues in the creation, use and storage of a record during its life cycle.

- Monitoring and auditing which discuss the undertaking of compliance monitoring to ensure that records systems procedures and processes are being implemented; and
- Finally, training as a necessary part of the records management programme (ISO 15489-1:2001).

The second part of the standard, ISO 15489-2, the technical report, provided the guidelines which were written to explain the work rules and procedures which are good practice under the standard. The guidelines also contain two annexes which are of great assistance to the reader. Annex A enumerates the sections of the standard and connects them to the appropriate section in the guidelines where further explanation can be found. Annex B, on the other hand, ties the sections in the guidelines to those in the standards ISO/TR 15489-2:2001 and shows how to achieve this using an implementation methodology derived from the Australian Design and Implementation of Record Keeping Systems (DIRKS) methodology (Hofman 2005; National Archives of Australia 2001).

The DIRKS methodology consists of eight steps, designed to ensure that records and information management is firmly based in the business needs of the organization (Shepherd and Yeo 2003:249). The steps include: preliminary investigation; analysis of business activity; identification of requirements for records; assessment of existing systems; identification of strategies for satisfying records requirements; design of a records systems; implementation of a records systems; and post-implementation review.

According to the National Archives of Australia (2001) every organization should undertake DIRKS to identify what evidence of its unique business activities it needs to keep and what particular form or content such records should have. While the purpose and content of records will vary between organizations, much of the system capability or functionality required to capture, maintain and access such records is common to all organizations. All organizations, irrespective of their unique business activities, require

systems that can capture full and accurate records and perform processes for managing those records over time.

3.13 The management of public sector records

This section provides a review of various studies from developing countries on records management. The section also provides a review of various studies on records management in the Tanzanian public sector.

3.13.1 Records management in developing countries: a review of various studies

In many countries of the world, particularly in developing countries, public sector recordkeeping systems are not just weak, but have actually collapsed to the point where they do not function at all (IRMT 1999a:39). This collapse has been particularly evident in countries that had once been part of European-dominated colonial regimes. Kemoni (2007:69) pointed out that public sector records management programmes in Africa were plagued by various problems, due to the inability of registries and national archival institutions to play their roles effectively. Over the last several decades there has been a deterioration in the management of official records in developing countries, with consequences for efficiency, effectiveness, accountability, the protection of human rights, provision of services to citizens, poverty reduction strategies and the rule of law (IRMT 2005).

Various studies have been conducted on the state of recordkeeping in the African public sector providing a considerable amount of theoretical information on the subject under study (Akotia 1996; 2002; Akussah 1996; 2002; Kargbo 2009; Kemoni 2007; Nengomasha 2009; Ngoepe 2008; Ngoepe and Van der Walt 2009; Ngulube 2000; 2003b; Ngulube and Tafor 2006; Sejane 2004; Tafor 2001; Tough 2003). An investigation into the management of public sector financial records in The Gambia, and the implication for good governance was conducted by Akotia (1996). The study revealed that public sector financial administration was governed by legislation enactments, namely the financial provisions of the Constitution and the Finance and Audit Act. No systematic recordkeeping existed. Storage conditions were ill-suited for

records storage and no procedures existed to govern the management of accounting records. The study revealed a major defect in financial administration arising from the failure to integrate accounting and registry systems, and resulting in essential information being lost or becoming subject to inaccuracies.

Further, an investigation on managing records as a strategic resource was conducted in the Gambia by Barata, Cain and Thurston (1999). The study also highlighted that in sub-Saharan Africa, financial management systems have deteriorated with serious implications for accountability. The study also showed that many efforts to strengthen financial controls have failed because the fundamental structures needed to underpin them are overlooked, including recordkeeping systems. The authors noted that the information users in developing countries do not appreciate the complexities of establishing and maintaining record systems. The authors also indicated a chronic problem in accessing and reading records over time, this has resulted in a growing number of instances of gaps in evidence required for financial accountability.

Discussing the public sector financial recordkeeping systems in the Gambia, Barata, Cain and Thurston (1999) observed that the National Records Service Act of 1994 made provision for the proper management of records, however, the public sector financial recordkeeping systems failed to adhere to a proper structure and order. Overall, the financial and accounting records system is highly bureaucratic, paper intensive and inefficient. Although comprehensive in scope, the system is not fully applied, (for example inventories and write-off registers were not being kept) and lacks professional records management support. The study noted that much of the problem stems from the fact that accounting records in the Accountant General's Department and the ministries and departments throughout the Civil Service are managed by officers of the government accounting service who have no records management training. Members of the records management cadre who staff records offices have only received local training.

Akotia (2002) conducted a study to determine how public sector recorded financial records underpin good governance in Ghana, a case study of financial records in the

Ministry of Finance, the Accountant General and Auditor General Department and the National Development Planning Commission. The study emphasized that well managed financial and accounting records provided a sound basis for financial and accounting control and hence accountability. The failure to establish a link between financial management business processes and recorded information led to the inability of the government to improve the effectiveness of public expenditure programmes, mobilize resources and manage external controls. The study recommended the need to forge effective partnerships among accounting officials, information technology specialists, recordkeeping professionals and educators, to develop a robust and sustainable documentary financial records infrastructure.

A study on records management and preservation in government ministries and departments in Ghana was conducted by Akussah (2002). The study established the care and handling of records in government ministries and departments and implications for preservation, through a survey of 69 government registries. The study brought out the fact that public records at the semi-current stage are the most vulnerable to degradation as a result of the little attention they receive. The study revealed that though there is a registry procedure manual which should serve as a guide for government ministries and departments, most of the respondents were not aware of it and those who were aware lacked the authority to address the situation. The study revealed that the degradation of records begin in registries in which most records spend their active life. The majority of records which end up in the archives are at various stages of deterioration before reaching their destinations.

The study further revealed that most of the registries were not aware of disaster preparedness. Akussah (2002) recommended that there was a need to preserve records at an early stage, and the government ministries and departments should adhere to registry procedure manuals. Further, the National Archives of Ghana needed to implement the provisions of the Public Records and Archives Administration Act of 1997 with regard to the management of public records. In addition, policy makers needed to make provision for adequate registry funding.

A study conducted by Kargbo (2009), on the connection between good governance and recordkeeping was carried out in Sierra Leone. The study discussed the link between good governance and proper recordkeeping, the state of recordkeeping in the country and the need for the provision of a public or national records management policy framework if records are to be used as the basis to promote good governance. Kargbo (2009) stated that the recent political, economic and social development in Sierra Leone since the country's civil war between 1991 and 2001 was underpinned by an organized recordkeeping system. It is common practice in both government and private departments for records officers to lose and misfile records because of disorganized systems. This situation was visible in all areas of government and can be attributed to the failure of succeeding governments and the National Archives to fulfil their responsibilities with respect to managing records throughout their lifecycle (Kargbo 2009). The study revealed further that a significant majority of staff working in records institutions were untrained, poorly paid and lack motivation. Most of these staff were political appointees, regardless of the appropriateness of their educational background. The study showed that the value of records and the information they contain, as well as their potential for exploitation in support of sustainable development, is not fully appreciated and adequately understood across Sierra Leone. The study calls on government functionaries and stakeholders in records management to reflect and act so that democratic values like trust, accountability, probity and transparency might be maintained.

Kemoni (2007) conducted a study to examine the records management practices in government ministries headquarters in Kenya. The study aimed at establishing the extent to which recordkeeping practices affected service delivery. The study revealed that the existing policies and practices for managing records throughout their continuum were not effective and affected public service delivery. Most registries lacked mission statements, records management policies, records management manuals and records management committees and did not have dedicated registry budgets. Kemoni (2007:273) further noted that registry layout and design was poor and registry personnel faced problems in providing access to records, thus negatively affecting public service

delivery. The study established that most registry personnel did not have computers or did not use computers to create records. Archives personnel had not undertaken a survey to determine the extent of electronic records created in the public sector. It was established that registry personnel had various training needs in records and archives management.

The study recommended that to enhance public service delivery, ministries needed to improve existing policies and practices for managing records, by enacting and implementing registry mission statements, records management policies and records management committees. Ministries needed to provide registries with dedicated budgets, and audit registry services provided to clients. The study called for the incorporation of reports, directives and forms management in the overall records management programme and for the improvement of mail management by restructuring current file classification systems, enhancing file tracking and conducting information user studies. The study recommended that registry personnel monitor and control temperature, relative humidity and light and pest infestations in the record storage area, develop and implement disaster management plans, install and check, on a regular basis, firefighting equipment and provide registry personnel with training in fire fighting techniques (Kemoni 2007).

In a study on records management in the knowledge management age, in the Namibian context, Nengomasha (2003) established the status of records management in Namibia, including electronic records and the extent to which organizations have moved towards knowledge management. A records survey, conducted by the author in one of the government ministries of Namibia, confirmed a lack of records management systems in place. Notably there was an absence in the use of classification schemes, retention schedules and systematic disposal of records, resulting in heavy congestion of records in offices and the poor retrieval of information.

The author recommended the improvement of records management practices, as well as the introduction of a legal and regulatory framework that supported the records

management practices, e-government and knowledge management. The author also emphasized that records management and e-records readiness in an age where governments are moving towards e-governance, are important in an organizations ability to create, capture, organize and use knowledge. To enhance knowledge management in organizations, the author emphasized that it is imperative that information technology specialists work in close cooperation with records management professionals to come up with records oriented approaches to knowledge management.

Another survey conducted by Nengomasha in 2004 in two government ministries observed the same problems identified in the 2003 survey. The author observed that the problem of managing paper records in the country has been compounded by the introduction of electronic records. With the introduction of electronic government, the author ascertained that there is a wide-spread use of computers in ministries for word processing and e-mail. Some documents produced by word processing did not find their way into conventional paper files and same applies to e-mail correspondence. Computer files were not well titled, (that is applying proper naming and document version conventions), nor were the electronic media well labelled, properly stored and preserved for future access. A conclusion drawn by the author was that there was a need for proper training of records management personnel so that action officers have enough confidence in them to manage the public records (Nengomasha 2006).

Another study, conducted by Nengomasha (2009) on the management of public sector records in Namibia, was based on the assumption that the public service of Namibia had embarked on e-government, which should have resulted in an increase in the creation of electronic records. The study investigated the electronic records environment in the public service of Namibia. The study focused on the concept of the management of electronic records within the context of e-government, with a focus on e-records readiness and preservation of records authenticity. The study also investigated e-records readiness in order to establish the status of records management in the Namibian public service and to assess whether or not the environment was conducive for the creation of electronic records.

Nengomasha's (2009) study highlighted the poor status of records management in the public service of Namibia. The study established that Namibia's public service recordkeeping systems had collapsed and the National Archives of Namibia, as the responsible agency, had not been able to undertake any meaningful records management activities due to staff constraints. The study further established that the existing poor culture of managing paper records had been transferred to the management of electronic records. The study stated that the environment in which electronic records were being created in the public service of Namibia, like many other developing countries, was not e-records ready and recommended that any strategies for improving electronic records management in such an environment could not be done in isolation of the paper records. The study recommended an integrated records management programme which would provide a holistic approach covering both paper and electronic records.

An exploration of records management trends in the South African public sector was conducted by Ngoepe (2008) and Ngoepe and Van der Walt (2009). Ngoepe (2008) conducted a study to explore records management trends in the Department of Provincial and Local Government (DPLG) to establish if the Department was managing records according to legislative requirements. The study revealed that an enormous benefit for the implementation of a records management programme is the commitment and support of top management. The study recommended that records management should be included in the performance contracts of all employees in the DPLG. The study concluded that a records management programme will only function effectively if it is developed as part of the strategic objectives of the organization.

Ngoepe and Van der Walt (2009) explored records management trends in the South African public sector in order to establish if government departments were managing records according to legislative requirements. The study asserted that the problem of lack of proper records management in the South African public sector was aggravated by the following factors amongst others: paucity of policies in government departments to enforce records management practices; lack of top management support on records management practices; lack of awareness of the importance of records management;

lack of skills and training amongst records management practitioners in government departments with records managers being employed on a low salary level; and records management units reporting to senior managers who do not have any idea about the function. The study recommended that the National Archivist must exercise his legitimate authority and adopt a robust plan of action with specific timelines for government departments to comply with archival statute. This can be done through the introduction of accountability culture amongst government departments. The study recommended that government departments be requested to submit records management reports on a quarterly basis. The study recommended an effective advocacy programme by the National Archives and Records Service of South Africa (NARS) and records managers of government departments to sensitize senior managers in public sector about records management.

A study conducted by Ngulube (2000) assessed the level of professionalism of records managers in the public sector in Zimbabwe and determined the extent to which ethical issues arose in the management of records. The author noted that the effective management of information and records largely depends on professionals who are guided by a code of ethics in their conduct. Ethics in a records management environment encompass the commitment of the practitioners to the standard that is expected of them. The study revealed that records were mishandled and abused suggesting a lack of ethics. Public servants smoked and ate in their records offices, hence displaying behaviour that was unbecoming in a public office. Further, the study findings established that the training of records managers in the public sector in Zimbabwe had remained unsatisfactory and piecemeal. This lack of training undoubtedly has implications for issues of ethics. The study recommended the adoption of a code of ethics to help records managers in Zimbabwe to overcome most of the problems they are facing. The improvement in the training and education of the records managers would also lead to the professionalization of the practice in Zimbabwe.

Tough (2003) conducted a study to establish the level of current awareness and utilisation of, and attitude towards records management standards in the African countries of the Commonwealth. The primary study population consisted of the 17

Directors of National Archives of Commonwealth African countries, and the secondary study population consisted of records management educators and consultants working in Commonwealth Africa. A self administered questionnaire was utilized to gather data from the Directors of National Archives; whereas experimental interviews using electronic mail were used to gather data from the educators and consultants. Ten out of 17 questionnaire results were received.

The study established that eight out of ten archival institutions had policy and procedure manuals for records management in the public sector. Other findings of the study were that ministries and departments disregarded the use of the manuals, and seven out of ten directors had heard of ISO 15489 and other standards for records management, while six out of seven who had heard of ISO 15489 had plans to use it. The study established that lack of senior management support and insufficient resources were the major obstacles to the implementation of records management standards. Tough (2003) recommended the use of records management standards to improve records management in the public sector and to improve filing classification schemes through collaborative efforts among the archival institutions.

Further, Ngulube and Tafor (2006) conducted a cross-sectional study to determine the extent to which archival institutions, within the East and Southern Africa Regional Branch of the International Council on Archives (ESARBICA), managed public records and archives. Data for the study were obtained by interviews, content analysis of documents and self-administered questionnaires that were mailed to the 13 member states that comprised ESARBICA. The study asserted that National Archives within the ESARBICA region had limited resources for records management functions and records management processes were neither governed by standards nor guided by a professional code of ethics.

The findings showed that records management staff were not adequately trained, electronic records were in danger of being lost due to neglect and archival legislation that mandated archival institutions to manage records throughout the life-cycle was not

comprehensive in certain instances. The study revealed further that strategies used for public programming activities were rather limited and not clearly targeted at some archival institutions (Ngulube and Tafor 2006). The study recommended that guidelines on managing records and archives should be put in place and archaic archival laws should be updated. Government should increase the amount of funding to archival institutions, and archivists should market their work and services to government authorities so that governments may realize that archives play a fundamental role in every society, hence the need for them to be allocated more funds.

Other recommendations of the study were the need for ESARBICA to support the development of comprehensive and sustainable records and archives programmes in the region, promote formal training of archivists who did not have adequate knowledge in the management of records and archives generated by digital technologies and promote the formulation and use of a code of ethics in the management of records and archives. The study also noted the need for ESARBICA to support the use of standards in the management of records and archives, encourage member states to formulate formal policies covering all aspects of records management, facilitate the updating of archival legislation in the region and promote resource sharing and transfer of expertise on managing records and archives.

A study conducted by Tafor (2001) to assess and evaluate strategies used in management of records and archives obtained data through self-administered questionnaires that were sent to 13 member states of ESARBICA. The study ascertained that National Archives within ESARBICA encountered numerous financial and human resources problems. Legislation governing archival and records management in most of these institutions are out-dated, making it difficult to adopt and implement the latest technologies and management strategies pertaining to records and archives. As a result, these institutions were unable to efficiently and effectively manage public records and archives, as stated in their mission statements.

The study recommended a need for governments within ESARBICA to increase the

amount of funding to archival institutions. Other recommendations included the need for good working conditions in order to retain professionally trained staff and increase the number of staff dedicated to the management of electronic records. The ESARBICA member states needed to set up mechanisms and strategies to ensure that proper records and archives practices are implemented by individual archival institutions.

Sejane (2004) conducted a study to investigate the management of electronic records in the public sector in Lesotho. The study adopted a descriptive research perspective by utilizing the case study approach. Interview schedules were employed for data gathering, together with observations. The study revealed that the public sector in Lesotho was not managing its electronic records satisfactorily. The public sector did not have legislation that specifically dealt with managing electronic records, there were no written policies, strategies and guidelines were non-existent. The study also revealed a lack of qualified personnel with expertise and skills in the management of electronic records in the public sector.

Sejane's study recommended the need for the provision of adequate financial resources to upgrade the systems, migrate e-records and train staff and users and the need for standards for the creation and capturing of e-records. Ensuring compliance with records management standards in the creation, use and disposal of e-records was considered necessary. Other recommendations of the study included a need for the public sector to enact a records management policy to cover e-records. Such a policy would be able to address the existing problems inherent in the management of e-records activities. The study also recommended training for the existing records staff, to prepare them for an electronic records environment. It was evident that the existing records staff did not have the records management skills needed to manage the existing e-records.

3.13.2 Records management in Tanzania: a review of empirical studies

Few studies have been conducted on records management in Tanzania. Existing studies include Chachage (2005), Kalumuna (2000), Kitalu (2001), Ndibalema (2001) and Lyaruu (2005). Chachage (2005) conducted a study to develop a model for a corporate

records management system, with special reference to sustainability reporting in the Iringa region, Tanzania. The study population consisted of nine cases of companies from the Iringa region and data was collected by interviews and physical observation. The major findings of the study were that general sustainability related records were kept by all companies, except environmentally related records, which were not comprehensively kept. Companies used an administrative officer with a higher education to head records management systems. Other findings were that most of the administrators had in-house or para-professional records management training and all companies used computers.

A study conducted by Kalumuna (2000) in three local government authorities of Dar es Salaam city revealed the inadequacy of recordkeeping practices. The findings revealed that the existing records management in the registries and local authorities in general failed to meet the information needs of decision-makers and the technical staff. The registries in these municipalities were basically in their infancy. There were no guidelines or procedures for what constituted a record or a document in these municipalities, and this hindered efficiency in records creation. There was currently a missing link between the registries and other departments. Most of the files in these departments were not recorded in the registries.

The study further revealed that the information flow pattern between the departments and the registries was inadequate. There are no appraisals of records, no records centre and no process for sending obsolete records to the National Archives. The lack of adequate resources for retention or disposal, an absence of policy on information and services and the lack of a positive attitude towards the importance of using and keeping records for both registry and technical staff were factors which hindered the efficiency of records management in these local authorities. Other factors included an absence of policies and procedures towards records management practices, budgetary constraints, low level of application of information technology in creation, distribution, maintenance and disposal of records or dissemination of information, and inadequately trained records management personnel.

A study to investigate the management of current records in the Ministry of Education and Culture in Tanzania was conducted by Kitalu (2001). The study revealed that the management systems for all types of records including current records were inadequate and still inefficient for the effective flow of information in the ministry. Constraints accounting for this include resource and management policy-related problems, including a lack of funding, untrained personnel, inadequate space for keeping the records, the lack of a comprehensive records management policy, negligence on the part of the ministry officials and the non-availability of essential working tools and equipment. The study emphasized the need for the formulation of a ministry-wide records management policy.

Ndibalema (2001) investigated the state of records management in the National Social Security Fund (NSSF) headquarters in Dar es Salaam. The study showed that the state of the records management at NSSF did not support the records life cycle theory as propounded by several authors. Efficient records management was affected by the lack of records management programmes and policies, and a lack of training and support from top management. Other problem included a lack of awareness of records management by the decision-makers and lack of a comprehensive scheme of service, inadequate equipment, and a shortage of tools and facilities relevant to records management. The study recommended the establishment of a comprehensive records management policy aimed at an integrated approach to the management of whole life cycle theory of records, the provision of enough storage area, trained personnel, equipment, good classification and indexing systems.

A study conducted by Lyaruu (2005) examined the personnel records management in the public sector in Tanzania and its impact on the pension payment focusing on the Ministries of Finance, Agriculture and Food Security, President's Office-Public Service Management and Public Service Pension Fund. The study ascertained a number of problems associated with the payment of pensions to retired public servants. These problems had their basis in the poor management of records in the ministries and departments. The problems included: lack of records management policy, inadequate

and poor facilities, lack of knowledge and skills on records management, lack of support from the management, lack of awareness on the importance of records, and information flow breakdown between employees and employers. The study recommended that the problems stated above need to be addressed in order to make any possible improvements in records management for efficient service delivery.

Further, an independent consultant was commissioned to undertake a situational analysis of records management across the government and to facilitate planning for a comprehensive records management programme in August 2001. The situational analysis report (the McDonald Report) identified a number of strategies, building on the success of the subject files project. These strategies included:

- developing standards and practices for the decongestion and restructuring of the personnel records of government; using this experience to develop generic standards and practices that can be applied to the records generated by business processes supporting other government functions;
- developing standards and practices for the management of electronic records and integrating these into existing standards and practices for paper based records. These standards and practices should be directed at those using personal computers to manage e-mail and electronic documents in a client server environment and over time, in an environment where the entire organization is connected and a corporate approach to electronic document management becomes paramount; and
- developing functional requirements for recordkeeping in highly structured business processes (such as licensing, benefits' delivery, patient records, court records) that can be incorporated into the overall functional requirements for the systems used to automate the processes (International Records Management Trust and Tectop Consultant (Tanzania) Ltd. 2006).

The McDonald Report provided a solid framework within which the Records and Archives Management Department could plan its interventions, particularly in relation to the transition to computerized business within the wider context of the Medium Term

Strategy of the PSRP (International Records Management Trust and Techtop Consultant (Tanzania) Ltd. 2006).

A study on financial records and information systems in Tanzania was conducted by The World Bank and International Records Management Trust (2002a) in the Ministries of Finance, Works, Health and Education. The study noted that although there had been improvements in the management of paper-based financial records, there were no disposal schedules for financial records. The lack of disposal schedules caused problems in storage and tracking of documents. The study noted that RAMD staff had no training in managing financial records, and no member of staff has been assigned responsibility for providing guidance to ministries and departments in managing financial records. The study established further that the Integrated Financial Management System (IFMS) was developed in 1996 in order to strengthen the capacity of ministries, departments and agencies to improve expenditure management. However, there were no retention periods or disposal schedules that have been incorporated into the system (The WB and IRMT 2002a).

Further, a study on personnel and payroll records and information systems in Tanzania was conducted by The World Bank and International Records Management Trust (2002b). A study noted that a records management improvement project strengthened recordkeeping systems for subject files but a system for managing personnel records had not been developed and this had significant consequences for the payroll and human resource management function. The study pointed out that weaknesses in control systems for keeping personnel records had made it difficult to audit the payroll because relevant documents were scattered in files in a variety of locations throughout government.

The study showed further that the absence of a records centre undermined efforts to restructure the registries. The study revealed boxes of semi-current records that had been stored in the registries awaiting transfer to an appropriate facility. The study established that improving the quality of personnel files would be essential for the sustainable

control of the payroll and for improved management of the Public Service. The WB and IRMT (2002b) recommended that the establishment of a purpose-built records centre facility was essential for housing semi-current records.

A number of issues investigated in the studies discussed above were also addressed in the present study. However, the present study breaks new ground by establishing a link between records management and the implementation of public service reform programme. The present study investigated the significance of records management to fostering accountability in public service reform programme in Tanzania. Thus, various issues on recordkeeping practices were investigated including strategies and activities involved in the management of records from creation to disposition, access to information, disaster planning and security controls and legislation requirements in records management. Other issues investigated by the present study include the role of National Archives of Tanzania in the management of records, the introduction of PSRP and its influence in the current records management practices, computer applications in the management of electronic records and levels of skills and training of records managers.

3.13.3 Records management and public sector reform programme in Tanzania

The success of a public service reform programme depends on many factors, the most important of which is the proper and organized method of managing the records and information systems. The spread of information and the sharing of best practice in the public service reform process are made possible by the use of modern technology, recorded information and the availability of well managed records (Agere, Lemieux and Mazikana 1999:5). Public sector records document the various functions, activities and transactions of the state in its dealing with citizens or other organizations. Governments all over the world have come to the realization that records constitute a vital element in providing accountability, transparency and good governance (Mnjama 2002). The management of recorded information is thus a cornerstone of any government's ability to ensure the degree of openness, accountability and integrity necessary to fulfill the government's basic responsibility to serve the public interest.

Accountability processes cannot effectively be fulfilled unless the evidence of actions taken is made available through organized, secure, yet easily accessible means (Ngulube 2004a:33). To achieve this, the consistent provision of reliable documentary evidence in the form of records must be ensured (Schenkelaars and Ahmad 2004). Without records to provide documentary evidence of its activities, no government or organization can be held accountable. Accountability is established when evidence can be provided on what public servants know, when they should have known about it, what action they took and the outcome of their activities (IRMT 1999b). Recordkeeping is a fundamental and core activity of public sector management (Wamukoya 2000). Policymakers and managers need accurate, up to date and reliable information, both aggregated as statistical data, and as detailed information about individuals. They need this information at their fingertips and it must be at a reasonable cost. To achieve these objectives there is no substitute for systematic well organized records (Cain 1996).

As noted in Chapters One and Two, the Public Service Reform Programme introduced in Tanzania aimed at improving the public service delivery across the public sector. In the first phase of the PSRP it was realized that the public service was partly been impaired by a lack of accurate, reliable and timely information. Government cannot deliver services effectively in the absence good records. PSRP recognized that records management is a cornerstone for the success of its objectives. Therefore, the records management programme project as a subcomponent of the PSRP was launched in 1997 (Manyambula 2009:27).

Thus, a new records management system was needed to enhance efficiency at all levels of the public service operations, as well as bringing about savings in space, equipment and manpower. The records management sub-component of the information management component focused to improve the following areas (Manyambula 2009:30):

- establishing a viable legal and organizational framework; that is having a new Act to control the management of public records from creation to disposition;

- a transfer of National Archives from the Ministry of Education and Culture to President's Office-Public Service Management so that the life cycle of records can be controlled by one institution;
- decongestion of registries and establishing efficient and effective registry systems. This aimed at removing all semi-current and non-current records in the registries and installing a new indexing system known as a keyword list in all central ministries;
- establishing a national records centre for semi-current records. The records which were no longer needed by the ministries should be transferred to the low cost storage facility area – the national records centre and thus making it possible to utilize registry space more effectively in MDAs and LGAs; and
- developing a comprehensive staff development programme aimed at strengthening the professional, managerial and technical capacity of records personnel at all levels. Continuing training through courses, seminars, individual tuition and field attachments were given high priority.

Further, the adoption of a comprehensive scheme of service had opened the way for establishing a comprehensive and integrated view of knowledge and skills requirements across the records and archives field (International Records Management Trust and Tectop Consult (Tanzania) Ltd. 2006). A standard "keyword filing system" was also installed replacing the old "theme filing system" (Manyambula 2009:29).

The PSRP phase which was launched in early 2008, with its Performance Results and Accountability Project (PRAP) had its focus on encouraging MDAs in charge of specialized records systems to take the lead in the reform of their records management systems. The interventions were planned to help integrate paper records reform with ICT tools; and to professionalize the personnel who handle records, from clerks to managers (URT 2007c).

The current study sought to examine the current records management activities in Tanzania and establish the extent to which they fostered accountability in the implementation of public service reform programme.

3.14 Summary

Chapter Three provided information on the purpose and the importance of the literature review. The chapter discussed different models that explain the management of records and provides the theoretical foundation of the study. The literature review was organized thematically, by using themes and sub-topics related to the study. The literature review discussed the following issues: management of public sector records from records creation to disposition, access to information and records management, the impact of information technology on records management, the National Archives and the role of archives and records management legislation in managing public records, education and training of records management professionals, disaster management and security control, international standards in records management and a review of public sector records management in developing countries including Tanzania.

Previous studies facilitated the identification of gaps in the literature. Reviews of previous studies revealed few studies have focused on assessing the role of records management in fostering accountability in the implementation of public sector reform programme. Therefore, relevant research in examining the role of records management in the implementation of the PSRP is needed to bridge the gap.

CHAPTER FOUR: RESEARCH METHODOLOGY

4.0 Introduction

This chapter describes the research methodology used in the study. Methodology is described as the application of various methods, techniques and principles in order to create scientifically based knowledge by means of objective methods and procedures within a particular discipline (Welman, Kruger and Mitchell 2005:2). The research methodology assists in controlling the study, dictating the acquisition of data to address the research question, arranging data into logical relationships to enable analysis, and drawing conclusions that can contribute to the expansion of knowledge (Leedy 1997:9; Leedy and Omrod 2005:6; Teddlie and Tashakkori 2009:21).

The purpose of the study was to examine current recordkeeping practices in government ministries of Tanzania in order to establish the extent to which they foster accountability in public service reform programme. In order to achieve this purpose, empirical data on the existing records management practices in government ministries of Tanzania was collected. Various aspects relating to particular research methodology and techniques for this study are discussed in this chapter. It involved a discussion of the research, the research design, population, data collection methods and instruments, as well as the administration of the questionnaires, reliability and validity of the instruments and pre-testing of the data collection instruments. It also discussed ethical considerations of the research, processing and analysis of data and the evaluation of the research methodology.

The following discussion presents each of the above issues.

4.1 Definition of research

Research is a systematic process of collecting, analyzing and interpreting information (data) in order to increase our understanding of the phenomenon in which we are interested or concerned about (Leedy and Omrod 2005:2; Singh 2006:1). It is a way of thinking; examining critically the various aspects of day to day professional work, understanding and formulating guiding principles that govern particular procedures and

developing and testing new theories for the enhancement of one's practice (Kumar 2005:2). It is also defined as a process of arriving at effective solutions to problems through the systematic collection, analysis and interpretation of data (Berg 2001:7; Mugenda and Mugenda 2003; Wilkinson 2000:11). Welman, Kruger and Mitchell (2005:2) define research as a process that involves obtaining scientific knowledge by means of various objective methods and procedures.

To sum up the above definitions, research aims to find out the truth which is hidden and which has not been discovered as yet (Kothari 2004:2). The purpose of research is to discover answers to questions through the application of scientific procedures.

4.2 Research design

Designing a research study has often been compared to designing a building. Like building plans, research designs ensure that the study fulfils a particular purpose and that the research can be completed with the available resources (Durrheim 2006:34). Research design is a conceptual structure within which research is conducted (Kothari 2004:31). It is the general blueprint for the collection, analysis, interpretation and reporting data with the central goal of solving the research problem, guiding the investigator in the various stages of the research (Creswell and Plano Clark 2007:58; Frankfort-Nachmias and Nachmias 1996:99; Kothari 2004:31).

Research designs are plans and procedures for research that span the decisions from broad assumptions to detailed methods of data collection (Creswell 2009:3). They include the outline of what the researcher will do, from writing the statement of research problem or hypothesis and its operational implications, to the final analysis of data (Creswell and Plano Clark 2007:58). Research design involves multiple decisions about the way in which the data will be collected and analyzed to ensure that the final report answers the initial research question (Durrheim 2006:35; Frankfort-Nachmias and Nachmias 1996:99; Polit and Beck 2004:49). According to Kumar (2005:84) a research design has two main functions; the first relates to the identification and/or development of procedures and logistical arrangements required to undertake a study, and the second

emphasizes the importance of quality in these procedures to ensure their validity, objectivity and accuracy.

Different research designs or types of research studies attempt to answer different types of research problems or questions, thus, they end up employing different combinations of methods and procedures (Babbie and Mouton 2001:75). Thus, in planning the research design, it is extremely important for the researcher not only to choose a viable research problem but also to consider the kinds of data that an investigation into the problem will require and feasible means of collecting and interpreting those data (Leedy and Ormrod 2005:87). Through a research design, a researcher conceptualizes an operational plan to undertake the various procedures and tasks required to complete the study, and ensure that these procedures are adequate to obtain valid, objective and accurate answers to the research questions (Kumar 2005:84).

In designing a research study, a researcher must make a series of decisions along four dimensions: the purpose of the research, the theoretical paradigm informing the research, the context or situation within which the research is carried out and the research techniques employed to collect and analyze data (Durrheim 2006:37; Kothari 2004:32). Multiple considerations that derive from these four dimensions must be woven together in a coherent research design in a way that will maximize the validity of the findings (Durrheim 2006:37). The strategic framework (research design) that links the research question to the execution of the research is developed through a process of reflecting on issues relevant to each of these four dimensions, to produce a coherent guide for action which will provide valid answers to the research question (Durrheim 2006:37). The present study employed a mixed methods research design, with a quantitative approach as the dominant model, and a qualitative approach as the less dominant model.

4.2.1 A distinction between quantitative and qualitative research approaches

A quantitative approach is one in which the investigator primarily uses post-positivist claims for developing knowledge, employs strategies of inquiry such as experiments and

surveys and collects data on predetermined instruments to yield statistical data (Creswell 2003:18; 2007:36). Quantitative methods measure a phenomenon using numbers in conjunction with statistical procedures, to process data and summarize results (Creswell 1994:2; Payne and Payne 2004:180; Teddlie and Tashakkori 2009:5).

Quantitative data includes closed information such as that found on attitude, behavior or performance instruments. The collection of this kind of data might involve using a closed checklist, on which the researcher checks the behaviour seen (Creswell and Plano Clark 2007:6). Denzin and Lincoln (2005:12) noted that while qualitative researchers believe that rich descriptions of the social world are valuable, quantitative researchers normally are less concerned with such details.

With a qualitative approach the inquirer often makes knowledge claims based primarily on constructivist perspectives or advocacy/participatory perspectives or both (Creswell 2003:18). According to Blaxter, Hughes and Tight (2006:64) qualitative research is concerned with collecting and analyzing information in as many forms, chiefly non-numeric, as possible. Qualitative research is exploratory (Creswell 2003:22; Blaxter, Hughes and Tight 2006:64) and is useful when the researcher does not know which are the important variables to examine (Creswell 2003:22). It aims to achieve depth rather than breadth (Blaxter, Hughes and Tight 2006:64). The process of research involves emerging questions and procedures, data typically collected in the participant's setting, data analysis inductively building from particular to general themes and researchers making interpretations of the meaning of the data (Creswell 2009:4).

Denzin and Lincoln (2005:12) stated that qualitative researchers stress the socially constructed nature of reality, the intimate relationship between the researcher and what is studied, and the situational constraints that shape inquiry, while quantitative researchers emphasize the measurement and analysis of causal relationships between variables, not processes. Qualitative research methods are approaches to research that produce a detailed and non-quantitative account of small groups, seeking to interpret the meaning that people make of their lives in a natural setting (Payne and Payne 2004:175).

4.2.2 Mixed methods research

Mixed methods research has been described by various scholars as the third research paradigm (Johnson and Onwuegbuzie 2004:14; Johnson, Onwuegbuzie and Turner 2007:112) and the third methodological movement (Gorard and Taylor 2004:1; Teddlie and Tashakkori 2003:5). Scholars argue that mixed methods research is still in its adolescence, and, thus, is still relatively unknown and confusing to many researchers (Greene 2008:10; Teddlie and Tashakkori 2003:3; 2009:4; Leech and Onwuegbuzie 2009:266).

Mixed methods research is a research design with philosophical assumptions as well as methods of inquiry (Creswell and Plano Clark 2007:5). As a methodology, it involves philosophical assumptions that guide the direction of the collection and analysis of data and the mixture of qualitative and quantitative approaches in the research processes. It also involves the methods of inquiry which focus on collecting, analyzing and mixing both quantitative and qualitative data in a single study or a series of studies (Bazeley 2003; Bergman 2008:1; Bryman 2008:15; Creswell 2009:4; Creswell and Plano Clark 2007:5; Hewson 2006a:179; Johnson and Christensen 2008:51; Johnson and Onwuegbuzie 2004:17; Leech and Onwuegbuzie 2009:267). Recognizing that all methods have limitations, researchers feel that biases inherent in any single method could neutralize or cancel the biases of other methods (Creswell 2009:14; Creswell and Plano Clark 2007:5; Denscombe 2007:110-111; Johnson and Onwuegbuzie 2004:15). The use of quantitative and qualitative approaches in combination can add insights and a better understanding of research problems than either approach alone (Creswell and Plano Clark 2007:9; Ngulube, Mokwatlo and Ndwandwe 2009:105; Teddlie and Tashakkori 2003:14).

The fundamental principle of mixed method research is that it is wise to collect multiple sets of data using different research methods and approaches in such a way that the resulting mixture or combination has complementary strengths and non-overlapping weaknesses (Johnson and Turner 2003:297). Greene, Caracelli and Graham (1989:259) presented five major reasons for combining qualitative and quantitative research methods:

- triangulation purpose, which seeks convergence, corroboration and correspondence of results from different methods to assess the same conceptual phenomenon
- complementarity purpose, which seeks elaboration, enhancement, illustration, and clarification of the results from one method, with results from the other method.
- development purpose, which seeks to use the results from one method to help develop or inform the other method;
- initiation purpose, which seeks the discovery of paradoxes and contradictions, new perspectives of frameworks, the recasting of questions or results from one method with questions or results from the other method; and
- expansion purpose, which seeks to extend the breadth and range of inquiry by using different methods for various inquiry components.

Bryman (2006:105) added a number of reasons for combining quantitative and qualitative methods, which include the following: triangulation or greater validity, offset, completeness, to answer different research questions, one method is used to explain the findings of the other, unexpected results, instrument development, one method is used to facilitate the sampling of respondents or cases, credibility, context, illustration, utility or improving usefulness of findings, confirm or discover, diversity of views, and enhancement or building upon quantitative/qualitative findings.

Mixed methods might be conducted concurrently (parallel mixed designs) or sequentially (sequential mixed designs) (Creswell 2003:18; Creswell, Fetters and Ivankova 2004:8; Johnson and Christensen 2008:51; Leech and Onwuegbuzie 2009:267; Teddlie and Tashakkori 2009:26). In concurrent mixed designs, the qualitative and quantitative parts of a research study might be conducted in a parallel manner, either simultaneously starting and ending at the same time or with a lapse of time, that is data collection for one strand starts or ends later than the other or administering a questionnaire which contains both closed and open-ended questions (Creswell 2003:18; Johnson and Christensen 2008:51; Teddlie and Tashakkori 2009:26). In this design, data

collection strategies are employed to validate one form of data with the other, to transform the data for comparison, or to address different types of questions (Creswell and Plano Clark 2007:118; Driscoll, Appiah-Yeboah, Salib and Rupert 2007:20; Teddlie and Tashakkori 2009:26).

In sequential mixed designs, the quantitative and qualitative strands of the study occur in chronological order, that is conducting one strand first and the other second to address a research question or set of related questions (Creswell 2003:18; Driscoll *et al* 2007:21; Johnson and Christensen 2008:51; Teddlie and Tashakkori 2003:11). In this design, data are collected to provide more data about results from the earlier phase of data collection and analysis, to select participants who can best provide the data or to generalize findings by verifying and augmenting study results from members of a defined population (Creswell and Plano Clark 2007:121).

In order to arrive at a mixed method research in an effective manner, researchers need to consider all of the relevant characteristics of quantitative and qualitative research (Johnson and Onwuegbuzie 2004:18; Johnson and Christensen 2008:51). Gaining an understanding of the strengths and weaknesses of quantitative and qualitative research puts a researcher in a position to mix or combine strategies (Johnson and Onwuegbuzie 2004:18; Johnson and Christensen 2008:51). The data collection also involves gathering both numeric information as well as text information so that the final database represents both quantitative and qualitative information (Creswell 2003:19). Further, Bryman (2004:454) emphasized that the quantitative and qualitative approaches can be combined within an overall research design with multi-strategy research as a result and that this is desirable. Multi-strategy research is a technique that integrates quantitative and qualitative research within a single project (Bryman 2004:454; Spratt, Walker and Robinson 2004:6).

4.2.2.1 Justification for mixed methods research

The present study adopted the dominant-less-dominant design of Creswell (1994:177). In a dominant-less-dominant design or embedded design as referred by Creswell and Plano

Clark (2007:7), the researcher conducts the study within a single dominant approach, with a small component of the overall study playing a secondary role (Creswell 1994:177; Creswell and Plano Clark 2007:7). In this case, the quantitative research paradigm was more dominant for the overall design of the study, while the qualitative research paradigm was used as the less dominant design. According to Creswell and Plano Clark (2007:7) the dominant-less-dominant model (or embedded design) can be carried out sequentially or concurrently. In the present study, the concurrent research design was used to combine or integrate both quantitative and qualitative data in a single phase of data collection (Creswell and Plano Clark 2007:111). A quantitative approach through the use of a questionnaire (see Appendix 2) was employed to collect large amounts of quantitative data from registry personnel, while qualitative data was collected through interviews conducted to senior ministerial officials (see Appendix 3), National Archives personnel (see Appendix 4) and Tanzania Public Service College staff (see Appendix 5). Observation technique was also used to collect qualitative data (see Appendix 6).

The present study employed mixed methods for a number of reasons. In this study, the use of mixed methods approach increased the scope and comprehensiveness of the overall findings of the study, by showing how the quantitative data corroborated with qualitative data (Creswell, Fetters and Ivankova 2004:9; Morse 2003:192). A mixed methods approach was also used in order to cross check and verify the reliability of a particular research tool and the validity of the data collected. The present study used mixed methods in order to offset the weaknesses of both qualitative and quantitative and to draw on the strengths of both (Bryman 2006:106; Polit and Beck 2004:273). A mixed methods approach was used for triangulation purposes as a means to seek convergence and corroboration of results from qualitative and quantitative approaches (see Section 4.6.2 in Chapter Four).

In this study, the combination of methods helped the researcher to: obtain a variety of information on the same issue; use the strengths of each method to overcome the deficiencies of the other; achieve a higher degree of validity and reliability of the results;

and overcome the deficiencies of single method (Creswell and Garrett 2008:322; Polit and Beck 2004:173; Sarantakos 1998:295). For instance, a quantitative approach was used in order to gain the following strengths: to help the researcher obtain data that allowed the quantitative predictions to be made; to study large numbers of people; to obtain data that may have higher credibility; to obtain research results that were relatively independent of the researcher; and to provide precise, quantitative, numerical data (Johnson and Onwuegbuzie 2004:19).

On the other hand, a qualitative approach was used in this study in order to study records management practices in their natural settings. By using this approach the study gained the following strengths: to collect data through examining documents, observing behaviour and interviewing participants; to provide understanding and descriptions of people's personal experiences of phenomena under study; to help the researcher keep focused on learning about the problem under study from the participants and to address the research in order to obtain detailed information; and to describe a complex picture of the problem or issue under study, this helped to identify the many factors involved in the situation and generally sketching the larger picture that emerges (Creswell 2007:38-39; Denscombe 2007:110). Thus, by employing both quantitative and qualitative approaches, the present study gained a fuller, richer and more complete understanding of both the current records management practices and the PSRP in some government ministries.

4.3 Survey research method

Survey research method is the most widely used data gathering technique in sociology and the social sciences (Babbie and Mouton 2001:230; Muijs 2004:34; Neuman 2007:167; Sarantakos 1998:223). Surveys are perceived to be excellent vehicles for measuring attitudes in a large population. They are mainly used in studies that have individual people as units of analysis (Babbie 2004:251; Babbie and Mouton 2001:232; Gray 2004:99). The purpose of survey research is to gather and analyze information by questioning the entire research population or individuals who are representative of the research population to assess the relative incidence, distribution, and interrelationships

of naturally occurring variables (Pickard 2007:95; Powell and Connaway 2004:59). Survey research involves acquiring information about characteristics, opinions, attitudes or experiences of the people by asking them questions and tabulating their answers (Creswell 2003:151; Fink 2006:1; Leedy and Omrod 2005:183). A key strength of survey research is that, if properly done, it allows one to generalize from a smaller group to a larger group from which the subgroup has been selected (Gray 2004:99; Muijs 2004:45; Powell and Connaway 2004:84).

Surveys are characterized as either cross-sectional, longitudinal and trend or prediction studies (Cohen, Manion and Morrison 2007:205; Leedy and Omrod 2005:183). Collectively longitudinal, cross-sectional and trend studies are sometimes termed developmental research because they are concerned both in describing what the present relationships are among variables in a given situation and accounting for changes occurring in those relationship over time (Cohen, Manion and Morrison 2007:205). A cross-sectional study is one that produces a snapshot of a population at a particular point in time (Cohen, Manion and Morrison 2007:213).

On the other hand, longitudinal surveys are used when one intends to describe or assess change or development over time. Longitudinal designs encompass trend, cohort and panel studies (Cohen, Manion and Morrison 2007:213). Cross-sectional studies are easier to conduct than longitudinal studies, because the researcher can collect all the needed data at a single time. In contrast, a researcher who conducts a longitudinal study must collect data over a lengthy period and invariably loses some participants along the way, perhaps because they move to unknown locations or because they may no longer want to participate (Leedy and Omrod 2005:183). Longitudinal studies are difficult to carry out and they demand substantial resources and time since the same set of variables have to be studied over a period of time (Robson 2002:160). Trend studies essentially look at how concepts change over time; cohort studies are concerned with how historical periods change over time; and panel studies at how people change over time (Cohen, Manion and Morrison 2007:213). The present study adopted a cross-sectional approach. The attraction of the method lies in the possibility of scanning a wide spectrum of issues

in order to measure or describe any generalized features (Creswell 1994:11; Cohen, Manion and Morrison 2007:213).

A survey has several characteristics and several claimed attractions; typically it is used to scan a wide field of issues, populations and programmes in order to measure or describe any generalized features (Cohen, Manion and Morrison 2007:206). It is useful in that it usually: gathers data on a one-shot basis and hence it is economical and efficient; provides descriptive, inferential and explanatory information; gathers standardized information using the same instruments and questions for all participants and usually relies on large-scale data gathering from a wide population in order to enable generalizations to be made about given factors or variables (Morrison 1993:38-40).

The present study employed the survey research method to investigate the records management practices in Tanzania and how they foster accountability in the public sector. The survey method employed in the study proceeded through the following stages: deciding on the population (units of analysis or elements in the category of concern), designing, pre-testing and distributing the questionnaire, carrying out interviews and observations, and analyzing the data. The survey method was considered appropriate for this study because many researchers who investigated records management practices and archive administration (Chachage 2005; Chinyemba 2002; Garaba 2005; Kemoni 2007; Makhura 2001; 2005; Ndibalema 2001; Ngulube 2003b; Sejane 2004; Tafor 2001) used the survey method for data collection successfully. Their data collection techniques included questionnaires, interviews and observations. Most of these studies were discussed in Chapter Three and the reader is referred to that chapter for more details.

4.4 Study population and justification

A study population refers to a set of objects whether animate or inanimate which are the focus of the research and about which the researcher wants to determine some characteristics (Bless and Higson-Smith 2000:84). A study population is also defined as the universe of units from which the sample is to be selected. The term units is employed

because it is not necessarily people who are being sampled, but also a sample may include a universe of nations, cities, regions, firms and so on (Bryman 2004:87). The units of analysis or population are those units or things researchers examine in order to create summary descriptions of all such units and to explain differences among them (Bless and Higson-Smith 2000:84).

Although it is desirable to study the whole population, sometimes cost and time considerations make it impossible. A sample is usually studied if the population is large. However, Leedy (1997:277) suggested that there is little point in sampling populations that are less than one hundred. The population of the study included the 21 government ministries of Tanzania, the National Archives of Tanzania and Tanzania Public Service College. The list of the ministries was obtained from the Tanzania National website (URT 2007a). The units of analysis were the senior ministerial officials, registry personnel, the National Archives personnel and the Tanzania Public Service College staff.

4.4.1 Senior ministerial officials

These officials were targeted as they provided information on policy issues related to the management of records and the public service reform programme in the country. The study included the directors and human resource officers of the ministries. The aim of the study was to cover those who were responsible for the policy issues on the public service reform programme and the link to records management and public accountability, and training of registry personnel. Other data collected include the collaboration with the National Archives of Tanzania in enhancing the recordkeeping culture in the ministries and the factors which contributed to the current recordkeeping situation in the government ministries.

4.4.2 Registry personnel

Registry personnel formed the second type of population. The population included registry supervisors and clerks. The registry supervisors were involved in the study, as they are responsible for the supervision of the day-to-day activities of the registries. The

registry clerks were included in the study because they are involved in the day-to-day management of the records. They are expected to provide data on records creation, distribution, maintenance, retention scheduling, appraisal and disposition. Mazikana (1998:77) noted that most government ministries and departments operate with central registry systems and the registry work is done by registry clerks, officers and supervisors.

4.4.3 National Archive personnel

The Tanzania National Archive personnel were included in the study to provide information on the extent to which they are supervising the ministries in managing their records from creation stage up to its ultimate disposition. Ngulube (2004b:147) stated that the National Archives serve as watchdogs over the creation, maintenance, use, and disposal of records created by government ministries to facilitate efficient administration and the transfer of records of enduring value to the archives repositories where they are preserved for present and future generations.

4.4.4 Tanzania Public Service College (TPSC) staff

The TPSC staff were included in the study to provide information on training of registry personnel in the government ministries. The TPSC was established as an ideal service provider of knowledge capabilities relevant not only to the public service reform programme but also as part of building a culture of continuous learning for public servants.

4.5 Data collection procedure and instruments

Mixed methods data collection entails the combined use of data collection techniques in a single study that are associated with either qualitative or quantitative research (Sandelowski 2000:250). This study used the concurrent research design to collect both quantitative and qualitative data in a single phase of data collection (Creswell and Plano Clark 2007:111). The quantitative data were collected through open-ended and closed questions, while qualitative data were collected through semi-structured interviews and observation. Qualitative data was then embedded within the dominant quantitative approach. In the present study, the integration of quantitative and qualitative research

occurred within the research questions, for example both quantitative and qualitative questions were presented;

- within data collection, that is open-ended questions on a structured instrument;
- within data analysis, that is qualitative themes were transformed into quantitative items or scales; and
- on data interpretation, the quantitative and qualitative results were examined for convergence of findings (Brannen 2005:181; Caracelli and Greene 1993:197; Creswell, Plano Clark, Gutmann and Hanson 2003:220; Flick 2009:24).

Access to the study area is part of the initial phase of social research, and is usually negotiated at the start of the research project (Blaxter, Hughes and Tight 2006:155; Coffey 2006:1). It is the process of gaining and maintaining entry to a setting or social group, or of establishing working relations with members, in order that social research can be undertaken (Coffey 2006:1; Neuman 2007:282). Gaining access to the research site also involves writing a letter to inform the participants about the extent of time, the potential impact, and the outcome of the research (Creswell 2003:65).

An introduction letter from the University of KwaZulu-Natal in South Africa and a research clearance letter from the office of the Vice Chancellor, University of Dar es Salaam, the researcher's employer, was used to gain access to the research area. A research permit was then sought from the Director of Administration and Personnel (DAP). This was necessary, as registry personnel and senior ministerial officers would not complete the questionnaire or be interviewed without the consent of their respective DAP.

In conducting this study, mixed quantitative and qualitative methods were employed to investigate records management practices in the government ministries. Data was collected by using questionnaire, an interview schedule, and direct observation, which supplemented data obtained from the interviews and questionnaires. The data collection instruments for present study were informed by existing studies on records management such as Chinyemba (2002), Kemoni (2007), Ngulube (2003b) and Sejane (2004). The

construction of data collection instruments or tools is the most important aspect of a research project because anything researchers say by the way of findings or conclusions is based upon the type of information collected (Kumar 2005:137; Mugenda and Mugenda 2003:71). The information or data that researchers collect is entirely dependent upon the questions that they ask the respondents (Kumar 2005:137). The data collection tools provide the data input into a study and therefore the quality and validity of the output, the findings, are solely dependent upon it (Kumar 2005:137). The data collection instruments are briefly discussed below.

4.5.1 Questionnaires

Questionnaires are the single most popular data collection tools in any research involving human subjects (Pickard 2007:183). Questionnaires are widely used and useful instruments for collecting survey information, providing structured, often numerical data, being able to be administered without the presence of the researcher, and often being comparatively straightforward to analyze (Blaxter, Hughes and Tight 2006:179; Wilson and McLean 1994:3). A questionnaire is a document containing questions and other types of items designed to solicit information appropriate for analysis, and is completed personally by the respondent (Babbie 2004:253). The questions must motivate the respondents to provide the information being sought (Frankfort-Nachmias and Nachmias 1996:250). In a questionnaire respondents read the questions, interpret what is expected and then write down the answers (Kumar 2005:126). Good survey questions give the researcher valid and reliable measures, and help respondents feel that they understand the question and that their answers are meaningful (Neuman 2006:277).

The major considerations involved in formulating questions are their content, structure, format and sequence (Frankfort-Nachmias and Nachmias 1996:250). Fowler (2002:104) stated that designing a good questionnaire involves selecting the questions needed to meet the research questions of the study, testing them to make sure they can be asked and answered as planned. Typical questionnaires use statements and questions which gives a researcher more flexibility in the design of measuring instruments (Babbie and Mouton 2001:233). It has been suggested that a good questionnaire should be well

designed in order to produce reliable measures of the variables (Fowler 2002:104). The quality of the design of the questionnaire can be enhanced through pre-survey evaluations or pre-tests (Fowler 2002:108).

The advantages and disadvantages of questionnaires are well documented in the literature (Babbie and Mouton 2001:262; Cohen, Manion and Morrison 2000:129; Frankfort-Nachmias and Nachmias 1996:226; Kumar 2005:130; Leedy and Ormrod 2005:185; Mugenda and Mugenda 2003:72-73; Sarantakos 1998:159). When compared with other data collection tools, the questionnaire is relatively inexpensive and it allows a large number of respondents to be surveyed in a relatively short period of time even if the respondents are widely distributed geographically (Cohen, Manion and Morrison 2000:129; Kumar 2005:130; Powell and Connaway 2004:125; Walliman 2006:88).

Questionnaires provide a high degree of anonymity for respondents (Frankfort-Nachmias and Nachmias 1996:226; Kumar 2005:130; Powell and Connaway 2004:125). Participants can respond to questions with assurance that their responses will be anonymous, and so they may be more truthful than they would be in a personal interview, particularly when they are talking about sensitive or controversial issues (Leedy and Ormrod 2005:185; Powell and Connaway 2004:125). Further, questionnaires give privacy in responding as well as affording the respondents the opportunity or time to look up information in cases where they are not sure of the answers (Frankfort-Nachmias and Nachmias 1996:226; Sarantakos 1998:224). Questionnaires allow respondents to answer questions at times that are convenient to them.

However, a major drawback is that the majority of people who receive questionnaires do not return them, in other words, there may be a low return rate (Kumar 2005:130; Leedy and Ormrod 2005:185; Walliman 2006:88). Kumar (2005:130) stated that the main disadvantage of the questionnaire is that its application is limited to a study population that can read and write. It cannot be used on a population that is illiterate, very young, very old or handicapped (Kumar 2005:130; Powell and Connaway 2004:126). Another disadvantage is that, the opportunity for achieving clarity is lacking when using a

questionnaire. If for any reason respondents do not understand some questions, there is no opportunity for them to have the meaning clarified (Kumar 2005:130; Powell and Connaway 2004:125).

4.5.1.1 Types of questions

The content of the questions is only one important aspect of constructing a survey questionnaire. The researcher must also consider the structure of the questions and the format of the response categories that accompany them (Frankfort-Nachmias and Nachmias 1996:253). Generally, there are two broad categories of questions that are used in questionnaires (Mugenda and Mugenda 2003:72). These are structured or closed and unstructured or open-ended questions (Cohen, Manion and Morrison 2007:321; Mugenda and Mugenda 2003:72; Neuman 2006:287). A researcher's choice to use an open-ended or closed question depends on the purpose and the practical limitations of a research project (Neuman 2006:287; 2007:170).

4.5.1.1.1 Closed questions

Closed questions require participants to choose from a limited number of responses that are predetermined by the researcher (Johnson and Christensen 2008:176). Highly structured, closed questions are useful in that they can generate frequencies of responses amenable to statistical treatment and analysis (Cohen, Manion and Morrison 2007:321). They also enable comparisons to be made across groups in the sample (Oppenheim 1992:115). On the other hand, closed questions do not enable respondents to add any remarks, qualifications and explanations to the categories, and there is a risk that the categories might not be exhaustive and that there might be bias in them (Oppenheim 1992:115).

Closed items have three categories, namely, dichotomous questions, multiple-choice questions and rating scales. (Cohen, Manion and Morrison 2007:321). Dichotomous questions are highly structured questionnaires which ask closed questions. Questions which require a "yes or no" response. Multiple-choice questions are comprised of a range of non-overlapping and mutually exclusive statements or items that respondents

choose their answers from. On the other hand, rating scales have items which require the respondents to indicate their preferences, and degrees of disagreement or agreement with a certain attribute that is being measured. Closed questions therefore prescribe the range of responses from which the respondent may choose (Cohen, Manion and Morrison 2007:322).

4.5.1.1.2 Open-ended questions

Open-ended questions are questions which give the respondent complete freedom of response (Kumar 2005:132; Mugenda and Mugenda 2003:72). Open questions, enable respondents to answer as much as they wish, and are particularly suitable for investigating complex issues, to which simple answers cannot be provided (Cohen, Manion and Morrison 2007:321; Johnson and Christensen 2008:176). Open questions enable respondents to write a free account in their own terms, to explain and qualify their responses and avoid the limitations of pre-test categories of response (Babbie and Mouton 2001:232; Cohen, Manion and Morrison 2007:321).

Open-ended questions can stimulate a person to think about his or her feelings or motives and to express what he or she considers being most important (Mugenda and Mugenda 2003:73). On the other hand, open questions can lead to irrelevant and redundant information, be too open-ended for the respondents to know what kind of information is being sought or may require more time from the respondent to enter a response (Cohen, Manion and Morrison 2007:322). When the respondent is free to give an individual response deemed to be proper, there is a tendency to provide information which does not answer the stipulated research questions or objectives (Mugenda and Mugenda 2003:73). Questionnaire was considered as a most appropriate tool for data collection in the present study. The study employed both closed and open-ended questions. Both categories of questions were used to address the research questions of the study (Mugenda and Mugenda 2003:71). The appropriateness of either open-ended or closed questions depends on the objectives of the questionnaire, the respondents' level of information about the topic in question, the extent to which the topic has been thought through by the respondent, and the ease with which respondents can

communicate the content of the answer or the extent to which respondents are motivated to communicate on the topic (Frankfort-Nachmias and Nachmias 1996:255). In the study, copies of the questionnaire were given to registry supervisors, who then distributed to registry personnel. Respondents were given four weeks to complete the questionnaire. In some instances, questionnaires were used as an interview schedule administered by the researcher.

4.5.2 Interviews

Interviews are considered one of the most common and powerful ways in which researchers try to understand their fellow human beings (Denzin and Lincoln 2005:698). Interviews are appropriate when the purpose of the research is to gain individual views, beliefs and feelings about a subject or when questions are too complex to be asked in a straightforward way and more depth is required from the answers (Pickard 2007:181). Payne and Payne (2004:129) defined the interview as data collection in face-to-face settings, using an oral question-and-answer format which either employs the same questions in a systematic and structured way for all respondents, or allows respondents to talk about issues in less a directed but discursive manner.

When using this method for collecting data, the interviewer establishes a rapport with the interviewee and asks a series of questions (Davies 2006:158; Johnson and Turner 2003:305; Pickard 2007:174). It is the responsibility of the interviewer to make the interviewee feel comfortable and relaxed (Pickard 2007:174). The interviewer must always remain nonjudgmental to the responses provided by the interviewee to help reduce the potentially biasing effect of the interviewer. The interviewer can probe the interviewee for clarity or more detailed information when needed (Johnson and Turner 2003:305). Interviews enable participants, be they interviewers or interviewees, to discuss their interpretations of the world in which they live, and to express how they regard situations from their own point of view (Cohen, Manion and Morrison 2007:349).

Interviews range from formal interviews in which sets of questions are asked and the

answers are recorded on a standardized schedule, through to less formal interviews in which the interviewer is free to modify the sequence of questions, change the wording, explain them or add to them. Finally, completely informal interviews are where the interviewer may have a number of key issues which he or she raises in conversational style (Cohen, Manion and Morrison 2007:351).

Interviews are either structured or unstructured (Kothari 2004:97; Pickard 2007:175). The structured interviews involve the use of a set of predetermined questions and of highly standardized techniques of recording (Kothari 2004:97; Pickard 2007:175). The structured interview is often referred to as a researcher administered questionnaire as it is highly structured and follows many of the same guidelines as a questionnaire (Pickard 2007:175). Pickard (2007:175) stated that there are two forms of structured interview. In a standardized, open-ended interview all interviewees are asked the same, open-ended questions but allowed to respond in any way they feel is appropriate and with any information they choose to share. While, in a close fixed-response interview, interviewees are asked the same questions and choose from a predetermined set of alternative answers.

Unstructured interviews are more flexible and more likely to yield information that the researcher had not planned on asking (Leedy and Ormrod 2005:146). Because of the open nature of unstructured interviews, probing is commonly used to get deeper information (Mugenda and Mugenda 2003:86; Pickard 2007:175). The strength of unstructured interviews is the almost complete freedom they provide in terms of content and structure (Kumar 2005:123). The interviewer is free to develop each situation in whatever ways he or she deems most appropriate for the purpose at hand. The primary disadvantage is that the researcher gets different information from different people and may not be able to make comparisons among the interviewees (Leedy and Ormrod 2005:146).

Kumar (2005:131) asserted that interviews are more appropriate for studying complex and sensitive areas as the interviewer has the opportunity to prepare a respondent before

asking sensitive questions and to explain complex ones to respondents in person. Further, in an interview situation it is possible for an investigator to obtain in-depth information by probing. The disadvantage of the interview is that it is time consuming and expensive, this is especially so when potential respondents are scattered over a wide geographical area (Kumar 2005:131).

In this study, structured interviews including both closed and open-ended questions were conducted with senior ministerial officers, National Archives personnel and Tanzania Public Service College staff. These groups were interviewed to supplement the information gathered through the questionnaire.

4.5.3 Observation

Observation becomes a scientific tool and the method of data collection for the researcher, when it serves a formulated research purpose, is systematically planned and recorded and is subjected to checks and controls on validity and reliability (Kothari 2004:96). Observation is an indirect method of data collection since in most cases it collects information without the full knowledge of the respondent (Sarantakos 1998:207). Observations are carried out in order to provide evidence of the “here and now” to discover how people behave and interact in particular situations (Pickard 2007:201).

There are two basic types of observation; structured and unstructured. Structured observation is a more formal technique, used in order to provide systematic descriptions or to test causal hypotheses (Powell and Connaway 2004:158). It involves observing behaviour in terms of a predetermined set of categories of activities or phenomena planned to be studied (Hewson 2006b:237; Sekaran 2003:252-253). On the other hand, in unstructured observation the aspects of the situation to be observed are not specified in advance. It is a relatively flexible technique and is particularly useful in exploratory research (Powell and Connaway 2004:158). When using the observation method, the researcher should keep in mind the following: what should be observed?; how should the observations be recorded?; or how the accuracy of observation can be ensured? (Kothari

2004:96). The researcher does not have to ask people about their own behaviour and the actions of others, he or she can simply watch as individuals act and speak. This in turn enables the investigator to collect firsthand data, thereby preventing contamination of the factors standing between him or her and the object of research (Frankfort-Nachmias and Nachmias 1996:206).

Observation is sometimes treated as a research method, and as a data collection technique to be utilized with a research method. As a data collection technique, it is used in both basic and applied research and in quantitative and qualitative studies (Powell and Connaway 2004:157). The distinctive feature of observation as a research process is that it offers an investigator the opportunity to gather live data from naturally occurring social situations (Cohen, Manion and Morrison 2007:396; Frankfort-Nachmias and Nachmias 1996:206). Observation enables the researcher to see things which might otherwise be unconsciously missed, to discover things which participants might not freely talk about in interview situations and during focus group discussions and therefore to move beyond perception based data and to access personal knowledge (Cohen, Manion and Morrison 2000:305).

Observation has several important advantages, including the following: the use of observation makes it possible to record behaviour as it occurs; it allows one to compare what people actually did with what they said they did (Powell and Connaway 2004:157). Further, the observation method is independent of respondents' willingness to respond and as such is relatively less demanding of active cooperation on the part of respondents as happens to be the case in the interview and questionnaire method (Kothari 2004:96). The limitations associated with observation as a data collection tool include: being expensive; information provided being very limited and unforeseen factors could interfere with the observation method; there being the possibility of observer bias, the interpretation drawn from observation could vary from observer to observer and the possibility of the observation and recording being incomplete (Kothari 2004:96).

In this study, structured observation facilitated the collection of data from the

government ministries. The observational categories that were employed included procedures/systems used for managing records, tools for accessing and tracking records use, filing systems used, storage equipment for paper records and storage space. Others were records preservation measures, records security measures and the existence of computers in the registry. One copy of the observation schedule was used for each ministry and all the observed data was recorded on the schedule.

4.6 Reliability and validity of the instruments

The quality of a research study depends to a large extent on the accuracy of the data collection procedures. That is, the instruments or tools used to collect the data must yield the type of data the researcher can use to accurately answer his or her questions (Mugenda and Mugenda 2003:95). Reliability and validity are the major technical considerations in both quantitative and qualitative research (Babbie and Mouton 2001:119). Reliability and validity helps to establish the truthfulness, credibility and believability of findings (Neuman 2006:188). Research is considered to be valid when the conclusions are true or correct (McBurney and White 2010:173) and reliable when the findings are repeatable (Babbie 2004:141; Bryman 2004:28; Powell 1985:36).

It is suggested that reliability is a necessary but insufficient condition for validity in research (Cohen, Manion and Morrison 2000:105; Hammersley 2008a:43; Johnson and Christensen 2008:144; Leedy and Omrod 2005:29). It is often argued that any measure that is not reliable cannot be valid, on the grounds that, if its' results are inconsistent, the measurements it produces cannot be consistently valid (Hammersley 2008a:43). A researcher can measure something accurately only when he or she can measure it consistently (Leedy and Omrod 2005:29). Reliability is essentially a synonym for consistency and replicability over time, over instruments and over groups of respondents. It is concerned with precision and accuracy (Cohen, Manion and Morrison 2000:117). Reliability is generally taken to concern the extent to which the same measurement technique or strategy produces the same result on different occasions, for example when used by different researchers (Hammersley 2008a:43).

According to Payne and Payne (2004:195) reliability is defined as that property of a measuring device for social phenomena (particularly in the quantitative methods tradition) which yields consistent measurement when the phenomena are stable, regardless of who uses it, provided the basic conditions remain the same. In other words, the reliability is concerned with stability and consistency of measurement (Sekaran 2003:203; Cohen, Manion and Morrison 2007:146). Researchers estimate reliability by one or more of the following methods: test-retest, parallel-forms and split-half (Babbie 2004; Frankfort-Nachmias and Nachmias 1996:175). Under test-retest, the researcher uses the same data collection instrument to observe or collect scores twice for the same group of subjects (Mugenda and Mugenda 2003:97, Powell 1985:38). The instruments should be administered at different times but under equivalent conditions. Two sets of scores are then correlated to see how consistent or reliable the instrument was in measuring the variables (Powell 1985:38). The disadvantages of this method of assessing reliability of data are that subjects may be sensitized by the first testing or they may tend to remember their responses during the second testing. If this happens, the coefficient may be artificially high (Mugenda and Mugenda 2003:97).

In parallel-form technique, a researcher needs to develop two parallel versions of a measuring instrument, he or she then administers both forms to the same group of persons and then correlates the two sets of measures to obtain an estimate of reliability (Frankfort-Nachmias and Nachmias 1996:172-173). On the other hand, the split half method estimates reliability by treating each of two or more parts of a measuring instrument as a separate scale (Frankfort-Nachmias and Nachmias 1996:172-173). The researcher splits the measuring instruments into two sets of questions or items after it is administered (Mugenda and Mugenda 2003:98). The scores on the two halves are then correlated to provide an estimate of the extent to which they are equivalent (Mugenda and Mugenda 2003:98; Powell 1985:38).

Research findings are considered to be reliable if they are repeatable, to the extent that repeated measures would yield constant results (Cohen, Manion and Morrison 2007:146; Leedy and Ormrod 2005:29). However, if the replicated research represents

only a conceptual replication of the ideas or concepts, rather than an exact replication, similar results will be an indication of external validity and not necessarily reliability (Powell 1985:37).

Validity is an important key to effective research (Cohen, Manion and Morrison 2007:133). The validity of a measurement instrument is the extent to which the instrument measures what it is supposed to measure (Kothari 2004:73; Leedy and Omrod 2005:28). In other words, validity is the degree to which results obtained from the analysis of the data actually represent the phenomenon under study (Mugenda and Mugenda 2003:99). But the question arises as to how can one determine validity without directly confirming knowledge? (Kothari 2004:73). The answer may be that researchers are never completely certain that they are measuring the variable for which they designed their measurement procedure (Frankfort-Nachmias and Nachmias 1996:165).

The three basic methods of testing validity are: content validity, criterion-related (empirical) validity and construct validity (Kothari 2004:74; Mugenda and Mugenda 2003:100; Sekaran 2003:206). Content validity is the extent to which a measuring instrument provides adequate coverage of the topic under study (Kothari 2004:74). Content validity ensures that the measure includes an adequate and representative set of items that tap the concept (Sekaran 2003:206). Pre-testing the questionnaire was used as a tool for content validation. Content validity was also achieved by making sure that questions were related to the significance of records management to fostering accountability in public sector reform programme. All the possible aspects of managing records in the public sector were covered.

Face validity and sampling validity are the two common varieties of content validity (Frankfort-Nachmias and Nachmias 1996:165). Face validity probably represents the most commonly used method for determining validity of a data collection instrument. Face validity indicates the extent to which an instrument measures what it is intended to measure (Powell 1985:41). On the other hand, the primary concern of sampling validity is whether a given population, that is the total set of cases in the real world is adequately

sampled by the measuring instrument in question. The underlying assumption of sampling validity is that every variable has a content population consisting of large numbers of items which can be expressed as statements, questions or indicators and that a highly valid instrument constitutes a representative sample of these items (Frankfort-Nachmias and Nachmias 1996:16).

Further, researchers establish construct validity by relating a measuring instrument to a general theoretical framework in order to determine whether the instrument is tied to the concepts and theoretical assumptions they are employing (Frankfort-Nachmias and Nachmias 1996:168; Kothari 2003:74; Sekaran 2003:207). Theoretical expectations about the variable being measured lead the investigator to postulate various kinds and degrees of relationships between the particular variable and other specified variables (Frankfort-Nachmias and Nachmias 1996:168). Further, a research design is considered to have construct validity if the variable being investigated can be identified and labeled properly. The design should permit the specification of the actual cause and effect and the identification of the concepts or constructs involved (Powell 1985: 36-37).

In this study, various methods were used to ensure that validity and reliability of the findings were achieved. These were pre-testing of data collection instruments and triangulation.

4.6.1 Pre-testing the instruments

Pre-testing the questionnaire or interview schedule is one of the tools that may be used for content validation (Ngulube 2005a:136). Pre-testing the questionnaire or interview schedule is necessary in order to uncover any defects in questions (Ngulube 2003a:215). No matter how carefully a researcher designed a data collection instrument, such as a questionnaire, there was always the possibility, indeed the certainty, of errors. The surest protection against such errors was to pre-test the questionnaire or interview schedule in full or in part (Babbie and Mouton 2001:244).

The purpose of the pre-test is to find out how the data collection instruments work under

realistic conditions (Fowler 2002:112). A pre-test gives the researcher an opportunity to identify questionnaire items that tend to be misunderstood by the participants (Powell and Connaway 2004:140). Pre-testing gives the respondents ample opportunity to point out problem questions, poor instruction, and unnecessary or missing questions, and to give their general reactions to the instrument (Powell and Connaway 2004:140). The advantages of pre-testing instruments are: the refinement of the data collection instruments, the discovery of various problems of the instruments and the prediction of the meaningfulness of results (Mugenda and Mugenda 2003:79; Powell and Connaway 2004:140). The questionnaire and rigour of the pre-testing may influence the validity and reliability of survey data and the response rate (Ngulube 2005a:136).

For the present study, pre-testing of instruments was done between December 2007 and January 2008. The pre-testing was conducted on a panel of experts consisting of library and information professionals, practising library and information science professionals, and a National archivist from the Records and Archives Management Department. Participants were selected on the basis of their ability to provide professional opinions concerning the instruments. The list of participants in the pre-testing of the instruments and their occupations are shown in Appendix 1.

Respondents for pre-testing were asked to give their views on the data collection instruments. The issues included: presence of typographical errors, presence of misspelt words, whether or not the vocabulary used was appropriate for respondents, if the topics in the instruments adequately covered the research questions of the study and the clarity of the questions. Other issues asked included whether or not the instructions provided were clear, if the instruments' layout was satisfactory and if there were suggestions to improve the quality of the instrument.

All eight respondents who participated in the pre-test gave their comments on the suitability of the instruments. Five (63%) of the eight respondents pointed out that the instruments were very comprehensive and they covered the major records management issues. Three (37%) respondents reported that although the questionnaire for registry

personnel was comprehensive and covered all the records management issues, it was too long and needed to be reduced. One respondent pointed out that it took him more than one hour to go through the instruments. He commented that the length of the questionnaire meant that completing it may take a lot of participants' time responding to the questions and this may put off some of the respondents.

The instruments were then modified to incorporate comments drawn from the pre-testing. Unclear questions and instructions identified by the pre-test were reworked. The researcher had to shorten some questions, and others which were concerned with the policy and budget, were transferred from the questionnaire for registry personnel to the interview schedule with senior ministerial officials, as advised by one of the respondents. Further, technical terms that needed explication were identified and explained. Double-barreled questions were unpacked to ensure that one concept or issue was included in the question. The questionnaire was also modified to remove ambiguities identified by the pre-test.

4.6.2 Triangulation

Triangulation refers to the designed use of several different research methods, with offsetting or counteracting biases, in investigations of the same phenomenon in order to strengthen the validity of inquiry results (Babbie 2004:113; Greene 2007:100; Greene, Caracelli and Graham 1989:256; Mathison 1988:13; Polit and Beck 2004:36; Thurmond 2001:253). The concept of triangulation is based on the assumption that an inherent bias or limitation in particular data sources, investigators and methods would be neutralized when used in conjunction with other data sources, investigators and methods (Creswell 2003:174; Denscombe 2007:134; Greene, Caracelli and Graham 1989:256; Denzin 2009:300; Frankfort-Nachmias and Nachmias 1996:206; Powell and Connaway 2004:124). According to Hammersley (2008b:23) the idea behind triangulation is that by drawing data from sources that have very different potential threats to validity it is possible to reduce the chances of reaching false conclusions. If the data from contrasting sources confirm the original conclusion, then that conclusion can reasonably be held with more confidence than before. For instance, postal questionnaire data may be used

to check conclusions reached on the basis of semi-structured or unstructured interviews or vice versa, while interpretation of interview data, produced in varying ways might be checked through participant observation or vice versa and so on (Hammersley 2008b:23).

Bryman (2004:454) stated that triangulation is the most used approach in the multi-stage technique/mixed research method. When applied in the multi-strategy technique, triangulation implies that the results of an investigation employing a method associated with one research strategy are cross-checked against the results of using a method associated with the other research strategy (Bryman 2004:454). Similarly, Patton (2002:247) stated that triangulation strengthens a study by combining methods, this can mean using several kinds of methods or data, including using both quantitative and qualitative approaches. According to Jick (1979:608-609; 2006:225) triangulation can allow researchers to be more confident of their results. It can also stimulate the creation of inventive methods, new ways of capturing a problem to balance with conventional data collection methods, and it may help to uncover the deviant or off-quadrant dimension of a phenomenon.

Denzin (2009:301) advanced four types of triangulation, namely data triangulation, investigator triangulation, theoretical triangulation and methodological triangulation. Data triangulation entails the use of multiple data sources in a study for the purposes of validating conclusions (Denzin 2009:301; Fielding and Fielding 2008:556; Patton 2002:247; Polit and Beck 2004:41). According to Denzin (2009:301), there are three types of data triangulation; namely, time, space and person. These types of data triangulation come as the result of the idea that the robustness of data can vary based on the time data were collected, people involved in the data collection process and the setting from which the data were collected. Investigator triangulation means the use of more than two researchers in any of the research stages in the same study. It involves the use of multiple observers, interviewers or data analysts in the same study for confirmation purposes (Denzin 2009:303; Thurmond 2001:254). Theoretical triangulation is the use of multiple theories or hypotheses when examining a

phenomenon. The intent is conducting the study with multiple lenses and questions in mind, and lending support to or refuting findings. In theoretical triangulation, the perspectives or hypotheses used in the study may be related or have opposing viewpoints, depending on what the researcher hopes to accomplish (Denzin 2009:303-304).

Methodological triangulation is the use of more than two methods in studying the same phenomenon under investigation (Denzin 2009:301; Morse 1991:120). The methodological triangulation includes within-method triangulation or between-method triangulation (Denzin 2009:301). Within-method triangulation involves the use of one method (such as questionnaire) and employs multiple strategies within that method to examine data towards increasing the credibility of the research findings. Between-method triangulation combines dissimilar research strategies to measure the same empirical unit, such as questionnaires and interviews (Denzin 2009:307).

Triangulation was used in various stages of the present study so as to ensure validity and reliability of the study. These include triangulation of methods of data collection and instruments used in data collection such as questionnaire, interviews and observation; triangulation of investigators and triangulation of data sources. In the present study, both forms of methodological triangulation were used. Different data collection methods and instruments were used to ensure the credibility of the research findings. Multiple investigators were also used to ensure consistency of the collected data and to avoid errors or bias so as to achieve the validity and reliability of the study (Denzin 2009:303). Data triangulation in the present study was achieved by the inclusion of 120 registry personnel, 26 senior officials, 5 National Archives personnel and 3 Tanzania Public Service College staff.

4.7 Ethical considerations

Research ethics should be a fundamental concern of all social science researchers in planning, designing, implementing and reporting research with human participants (Wassenaar 2006:60). Research ethics are a guiding set of principles to assist researchers

in conducting ethical studies (Johnson and Christensen 2008:102). Researchers may be subject to litigation and could lose professional indemnity if they are not seen to have adhered to the appropriate code of ethics (Welman, Kruger and Mitchell 2005:181). Research ethics involves consideration of how researchers should treat the people who form the subjects of their investigation and whether there are certain actions that should not, or certainly should, be taken in relation to them (Bell 2008:87-88; Henn, Weinstein and Foard 2006:68). Questions of gaining access to a research site, informed consent, privacy, anonymity and confidentiality are all issues that the researcher has to consider and resolve in any research context (Babbie and Mouton 2001:522; Bryman 2004:509; Cohen, Manion and Morrison 2000:246; Neuman 2006:134-135; Welman, Kruger and Mitchell 2005:181).

Pickard (2007:73) stated that gaining access to a research site requires careful planning and should come very early in the research process, usually as soon as a proposal has been approved but often even earlier. A researcher should write a formal letter of request to the "gatekeeper" asking permission to carry out research, detailing the nature and purpose of the study (Pickard 2007:73). A "gatekeeper" is someone with an official or unofficial authority to control access to a research site (Neuman 2007:282). Further, in every discipline it is unethical to collect data without participants' knowledge, their willingness and informed consent (Denscombe 2007:145; Kumar 2005:212). It is important to obtain voluntary consent from participants (Neuman 2006:135; Welman, Kruger and Mitchell 2005:181). Participants have a right to participate voluntarily and the right to withdraw at any time, so that the individual is not being coerced into participation (Creswell 2003:64; Johnson and Christensen 2008:117). This requirement means that the prospective research participants should be given as much information as might be needed to make an informed decision about whether or not they wish to participate in a study (Bryman 2004:511; Johnson and Christensen 2008:112; Neuman 2006:135).

Under the principle of informed consent, research participants are supposed to receive information about the purpose and nature of the study in which they are being asked to

participate so that they can evaluate the procedures to be followed and make an informed judgment as to whether they want to participate (Johnson and Christensen 2008:116; Neuman 2007:54; Ruane 2005:19). In other words, the principle of informed consent also entails the implication that even when people know they are being asked to participate in research, they should be fully informed about the research process (Bryman 2004:511, Neuman 2006:135). Pickard (2007:74) insists that informed consent creates a mutual understanding that remains constant throughout the research and provides a reference point for both the researcher and the participants. Schinke and Gilchrist (1993:83) stated that all informed consent procedures must meet three criteria: participants must be competent to give consent; sufficient information must be provided to allow for a reasoned decision and consent must be voluntary and uncoerced.

Further, respecting the privacy of research participants is at the heart of the conduct of ethical research (Johnson and Christensen 2008:119). Researchers' attempt to ensure the privacy of research participants by either collecting anonymous information or ensuring that the information collected is kept confidential. Anonymity is an excellent way of protecting privacy because anonymity means that the identity of the participants is not known to the researcher (Johnson and Christensen 2008:119). It implies that the research participant remains totally anonymous during and after research activity (Pickard 2007:77).

Confidentiality is the other means that the researchers use to protect the privacy of research participants. In the context of the research study, confidentiality refers to an agreement with the research investigators about what may be done with the information obtained about research participants (Johnson and Christensen 2008:119). In doing a research study, researchers need to make sure that confidentiality is maintained and that the identity of the participant will not be revealed when using any data provided by that participant (Kumar 2005:214; Pickard 2007:77).

Ethical issues were addressed in conducting this study in the following ways. The present study adhered to the University of KwaZulu-Natal research ethics policy. The

researcher complied with the University's code of conduct for research throughout the study (UKZN 2007). The relevant ethical clearance form was completed and submitted. Other procedures during data collection involve gaining the permission of individuals in authority to provide access to study participants at research sites (Creswell 2003:65). The researcher ensured that relevant research permits were obtained before the commencement of data collection. Hard copies of the data were stored in a secured place. Electronic data were also protected by using password and be stored in a variety of electronic devices such as external hard drive, flash disk, CDROM and computer. These devices were used in order to provide back-ups for the collected data (UKZN 2007).

Further, all sources used in the study were acknowledged so as to avoid plagiarism. An informed consent form was also used to facilitate voluntary participation in the study. The researcher assured participants that the information collected would be used for academic purposes and not otherwise. The collected data were aggregated to reflect categories of responses, rather than individual responses in order to ensure confidentiality and privacy of respondents. However, a few narratives from individuals are reported where appropriate.

4.8 Processing and analysis of data

The data, after collection, has to be processed and analyzed in accordance with the outline laid down for the purpose at the time of developing the research plan (Hair, Bush and Ortinau 2003:45; Kothari 2004:122). Data analysis involves a number of closely related operations which are performed with the purpose of summarizing the collected data and organizing them in such a manner that they answer the research questions (Kothari 1990:151). Collected data for this study was processed to make them amenable to analysis. Data processing consists of a number of closely related operations: editing, coding, entry and checking the accuracy.

Prior to coding, the collected data were edited (Cohen, Manion and Morrison 2000:265). The purpose of editing was to identify and eliminate errors made by respondents, and to

ensure that data were accurate, consistent, complete, uniformly entered and had been well arranged to facilitate coding and tabulation (Cohen, Manion and Morrison 2000:265; Hair, Bush and Ortinau 2003:493; Kothari 2004:122). Data coding involved assigning a label to each question or variable, and a number or value to each response category (Gray 2004:107; Hair, Bush and Ortinau 2003:499; Kalof, Dan and Dietz 2008:95; Ngulube 2003a:229). Data coding transformed raw data into symbols that could be tabulated and counted (Hair, Bush and Ortinau 2003:45; Ngulube 2003a:229). For instance, the variable name for question number 1 in Appendix 2 was given as "missions" and the value labels were 1 for "yes" and 2 for "no".

Once the data were edited and coded, a computer software package SPSS was used for data analysis. SPSS is the most widely used statistical data analysis software (Muijs 2004:85; Powell and Connaway 2004:247). The SPSS system is a comprehensive, relatively easy to use computer program for statistical analysis, report writing, tabulation and general purpose data management. It provides numerous statistical procedures, from the creation of simple tables to multivariate analysis (Powell and Connaway 2004:247). SPSS facilitated the generation of tables which were used to present data statistically and in graphic form.

However, not all answers to the instruments were reduced to a code number. Data of a qualitative nature obtained from the interviews and observation were content analyzed. Content analysis is concerned with investigating the contents of documentary and verbal material (Kothari 1990:137). Open-ended questions in the questionnaire and interviews were content analyzed. The process involved going through each of the responses and writing down all the responses that were relevant to the research questions. The first step in content analysis entailed the construction of categories. A category is a set of criteria which are integrated around a theme (Sarantakos 1998:281). The picture that emerged from content analyzed open-ended questions was incorporated in the narrative description of the results.

4.9 Evaluation of the research methodology

All research methods are imperfect, it is mandatory for researchers to evaluate their investigation procedures (Ngulube 2005b:48). Research methods should be evaluated in order to explain what information was needed, how it was got more accurately and cheaper and how it was analyzed (Ngulube 2005c:139). The study used mixed methods, with quantitative methods being the dominant and qualitative methods less dominant model. Both quantitative and qualitative data were gathered simultaneously during a single phase of data collection. Triangulation of data collection instruments proved useful, as it enabled the researcher to collect reliable data. Interviews with senior ministerial officials, National archives personnel and TPSC staff and observation methods were used in conjunction with the questionnaire for registry personnel to collect data for the study. The use of more than one method in collecting data for the present study was aimed at enhancing the validity and reliability of the results. Hammersley (2008a:43) stated that a first key question to be applied in assessing the validity of quantitative research is “were the measurement procedures reliable and valid?”

Before administering a questionnaire to registry personnel and conducting interviews with senior ministerial officers in the government ministries, a research permit from the Director of Administration and Personnel (DAP) needed to be obtained. The problem encountered here was the difficulty of obtaining the research permit from the ministries. Each ministry was provided with a research clearance letter from the office of the Vice Chancellor, University of Dar es Salaam, the researcher’s employer, introducing the researcher and the purpose of the study. The letter was addressed to the Permanent Secretary (PS) of each ministry (see Appendix 10). A similar letter was sent to all the ministries surveyed.

During follow-up visits for the research permit, the registry personnel explained to the researcher that all letters received at the registry have to be sent and previewed by PS, after preview the letters were sent to the Director of Administration and Personnel (DAP). DAP is the unit that grants the research permits (see Appendix 11). A similar letter was obtained from all the ministries surveyed (see Appendix 12). Some DAPs

failed to understand the research clearance letter and link it with the field attachments, so at first the permit was not granted to the researcher by some ministries. The researcher had to ask for permission to talk to DAPs and explain what the study was all about. This process took more than a month for most of the ministries. This delayed starting the data collection. Further, the Ministry of Defence and National Service refused a research permit for issues of national security.

With regard to the data collection process, a problem was encountered with the length of questionnaire for registry personnel, which affected the response rate. Most of registry personnel complained that the questionnaire was too long and it was difficult for them to get time to complete it since they had busy schedules. In some ministries, a researcher was allowed to conduct some interviews using the same questionnaire so as to save their time and have quick responses. Face-to-face interviews enable the researcher to provide more clarification on questions which respondents may fail to understand. According to Blaxter, Hughes and Tight (2006:179) face-to-face interviews provide a better response rate, but are more time consuming for the researcher.

All these problems acted against a smooth data collection process. However, the use of the combination of methods, namely questionnaires, interviews and observation enabled the researcher to corroborate the data from each of the instruments used for data collection. The triangulation technique also enabled the researcher to achieve what the study set out to investigate.

4.10 Summary

This chapter discussed the research design of the study. It outlined the methods and techniques used in investigating the current records management practices in the government ministries and how they fostered accountability in public service reform of Tanzania. The topics discussed included research design, the study population and justification, data collection instruments and validity and reliability of research instruments. Other subjects discussed in the chapter were pre-testing of the research instruments, triangulation, ethical considerations, data processing and analysis and the

evaluation of the research methodology used in the study.

The main concerns of this chapter were that it is important for records management studies to use mixed methods in order to address a wider range of questions relating to various records management issues, such as records creation, maintenance and use, and records disposition. The use of mixed methods enhanced the findings of research by providing a fuller and more complete picture of the records management practices in the government ministries. Issues of reliability and validity were also important in ensuring consistency and trustworthiness of the research findings. The triangulation of methods enabled the study to validate the findings in terms of their accuracy and authenticity and produce complementary data that enhances the completeness of the findings. Ethical considerations were also important in conducting the study. Data that was collected in the study addressed the research questions. Chapter Five presents the results.

CHAPTER FIVE: DATA PRESENTATION

5.0 Introduction

This chapter presents the empirical findings of the study derived from the questionnaire, interview and observation checklist. The questionnaires were distributed to registry personnel and interviews were conducted with senior ministerial officers, National Archives personnel and the academic staff of the Tanzania Public Service College. Data in this chapter are presented according to the research questions of the study. Data were analyzed using SPSS and the results of the study are presented in the form of figures, tables and text. Before data were entered into the SPSS software they were cleaned and coded by assigning numerical values.

5.1 Response rate

There is no rule about what constitutes an acceptable response rate. The aim of good research is to keep non-responses to a minimum and to achieve the highest response rate that is possible in relation to the kind of research being conducted (Denscombe 2007:22-23). According to Polit and Beck (2004:366) a response rate greater than 65% is probably sufficient for most purposes, but lower response rates are common. Babbie and Mouton (2001:261) asserted that the consensus in survey research was that a response rate of 50% was considered adequate for analysis, while 60% and 70% are good and very good respectively, whereas Moore (2000:261) suggested a response rate of 60% or above as acceptable, anything between 50% and 60% to be treated with caution and response rates below 50% erroneous.

Previous researchers in the field of records and archives management achieved varying response rates. For instance, Akussah (2002) surveyed 69 registries and received a response rate of 64% when he conducted a study to examine the care and handling of records in government ministries and departments in Ghana. Garaba (2005) carried out a study to examine the appraisal of archival institutions in member states of the East and Southern African Regional Branch of the International Council on Archives (ESARBICA) and had a response rate of 69%. Ngulube (2003a) obtained a response rate of 64% when he carried out a study to assess and evaluate the extent of preservation

problems and challenges affecting records and archives in South Africa. Kemoni (2007) surveyed 18 government ministries in Kenya and had a response rate of 75%.

In the present study, a total of 20 (95%) of the targeted 21 ministries were surveyed. Of the targeted 180 registry personnel, 120 completed and returned the questionnaire indicating a response rate of 67%, and of the targeted 40 senior ministerial officials, 26 were interviewed yielding a response rate of 65%. Further, five archives personnel from the National Archives of Tanzania were interviewed indicating a response rate of 100% and three of the targeted five Tanzania Public Service College staff from the records management department were interviewed yielding a response rate of 60%.

5.2 The results

The results of the study are organized and presented according to the research questions as outlined in section 1.4.1 of Chapter One. The research questions were as follows:

1. What are the activities and strategies used in the management of public records in the government ministries in Tanzania?
2. What current means and processes are employed to make public records accessible?
3. What is the extent of computer applications in the management of electronic records in Tanzania?
4. What roles do the National Archives of Tanzania play in fostering the management of public records in the ministries of Tanzania?
5. What is the role of records and archives legislation in the management of public records in the ministries in Tanzania?
6. What are the factors that contributed to the current records management practices in the ministries in Tanzania?
7. What are the levels of skills and training of records managers in the ministries of Tanzania?
8. How did the introduction of Public Service Reform Programme influence the current records management practices in government ministries of Tanzania?

9. What recommendations on records management issues as they relate to fostering accountability in the PSRP can be made?

5.2.1 Activities and strategies used in the management of public records

The first research question sought to assess the activities and strategies used in the management of public records in the government ministries in Tanzania. Items 1 - 88 of the questionnaire for registry personnel and items 1-7 of the interview schedule for senior ministerial officials covered this research question. The following items were covered under this research question:

- mission statement;
- registry, registry procedures manual and registry budget;
- records creation and use;
- mail management;
- forms management;
- records storage;
- disaster management and security control;
- records inventory;
- records appraisal and retention scheduling; and
- records disposition.

5.2.1.1 Mission statement

A mission statement explains why the organization exists, that is its overall purpose. Having a mission statement brings the values and expectations of the organization to the forefront, making strategic decisions easier and keeping the goals of the organization in mind. Registry personnel were asked if their ministries had a mission statement. One hundred and five (87.5%) respondents indicated that they had a mission statement, whereas 15 (12.5%) indicated that their ministries did not have a mission statement. Respondents who indicated that they had mission statements were asked to state their mission statements. The following were some of the mission statements stated:

(i) Ministry of Information, Culture and Sports

“To foster national identity, by facilitating the free flow of information, promote national culture, value and norms and promoting games and sports” .

(ii) Ministry of Education and Vocational Training

“To ensure that there is an appropriate legal and practical working environment to enable all stakeholders who are eager and able to provide quality education, participate in its expansion at all levels and provide equal opportunities to all, as well as enhancing cultural administration, supervision and infrastructure” .

(iii) Ministry of Finance and Economic Affairs

“To achieve and maintain high economic growth, macro-economic stability, sound financial management through development of robust fiscal and monetary policies and enhancing professionalism and promote the use of Information Technology (IT)” .

and

(iv) Ministry of Health and Community Development

“To ensure that all health employees and providers deliver health services for the achievement of improved the health status of the public”

All senior ministerial officials further indicated the existence of mission statements in their ministries. When asked whether records management was essential in the attainment of the ministry’s vision, mission and core values, 26 (100%) indicated records management being essential in the attainment of the ministry’s mission and vision, whereas 20 (87%) respondents indicated records management as being essential in the attainment of the ministry’s core values. When asked to indicate how records management was essential in the attainment of the ministry’s mission, vision and core values, senior ministerial officials indicated multiple responses as presented in Figure 2.

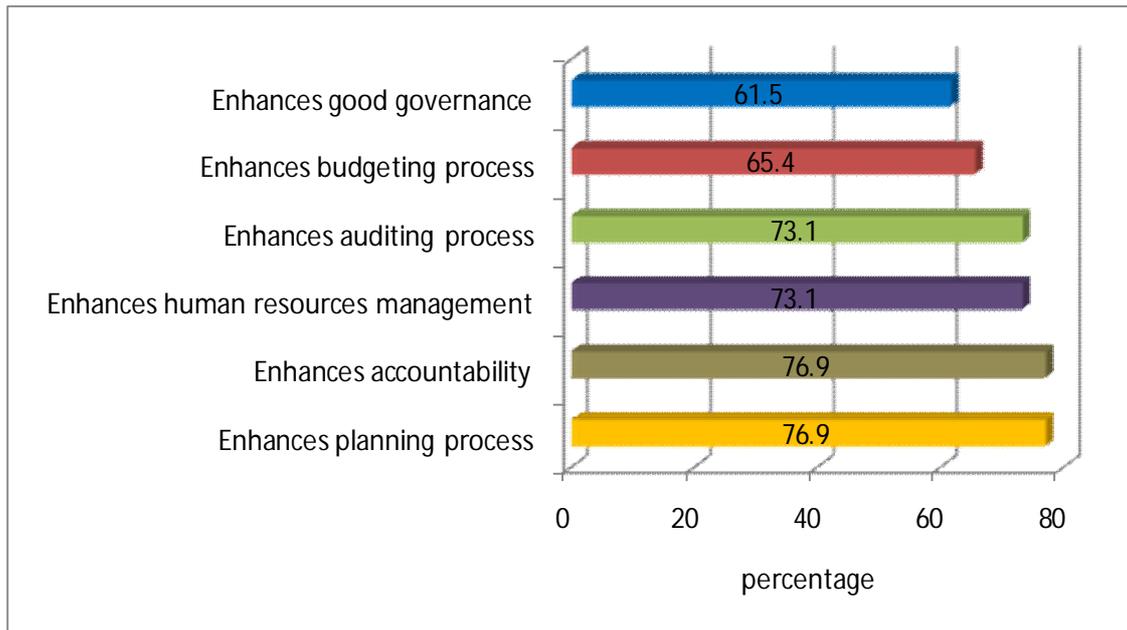


Figure 2: Role of records management in the attainment of the ministry's mission, vision and core values (N=26)

Figure 2 shows that 20 (76.9%) indicated the role of management in enhancing planning process and accountability, whereas, 19 (73.1%) indicated the role of records management in enhancing human resource management and auditing process, 17 (65.4%) indicated the role of records management in enhancing budgeting process, while 16 (61.5%) indicated the role of records management in good governance.

Further, although there was not a specific question on the mission statement for registries, registry personnel, through interviews, noted the absence of registry mission statements. Registry personnel indicated that in performing their daily duties they were guided by the registry procedures manual and the registry supervisor's instructions.

5.2.1.2 Registry, registry procedures manual and registry budget

This section presents data on the records control systems, registry procedures manuals and registry budget. Data was collected from registry personnel and senior ministerial officials.

5.2.1.2.1 Records control systems in the registries

In order to understand the records control system, registry personnel were asked to indicate the records control systems in their ministries. Figure 3 summarizes their multiple responses:

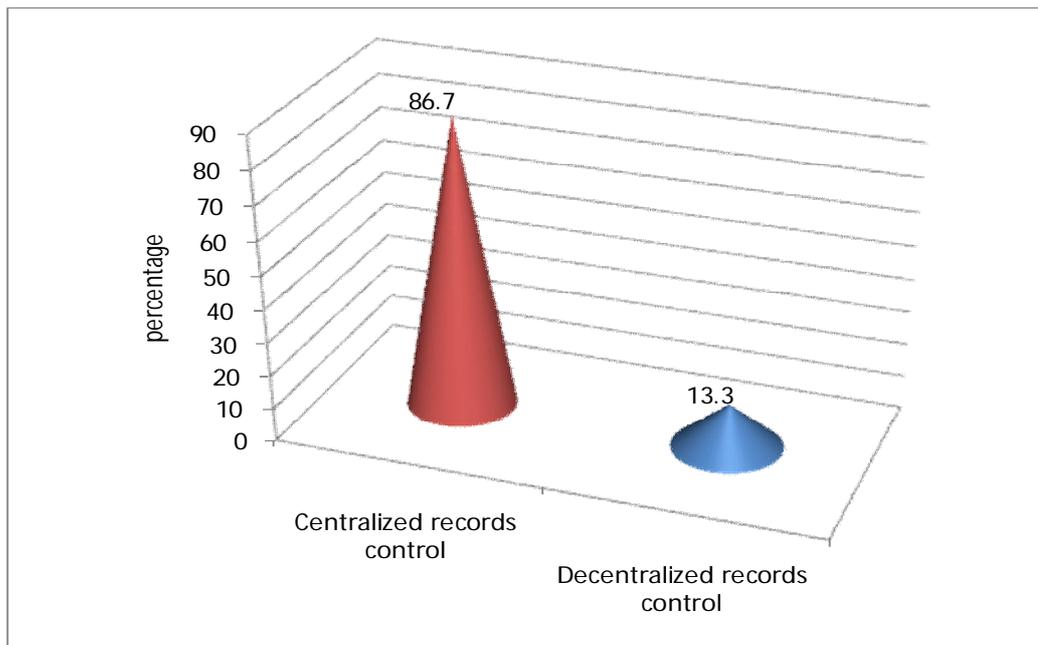


Figure 3 : Type of records control systems (N=120)

Figure 3 shows that one hundred and four (86.7%) cited centralized records control systems in their ministry, while sixteen (13.3%) indicated the decentralized records control. When asked about how the types of records control systems affected the management of public records in the ministries, respondents indicated varied answers:

- the centralized registries facilitated the easy location and retrieval of information, but there were space problems due to a congestion of records, since all records from different departments were kept in one registry;
- the centralized registry facilitated the efficient management of public records since all records were located at one particular unit, although there was a mix up of files, registry personnel need to know the reference number in order to locate which file was for which department;

- the centralized registry helped in monitoring and controlling public records, since one registry supervisor was responsible for every activity taking place in the registry office;
- the centralized registry affected the management of public records in the ministry because when a letter needed action by more than one action officer, it took time to respond to the letters; and
- with the decentralized registry, there were delays in taking action, especially in replying to clients' letters.

5.2.1.2.2 Registry procedures manual

The findings of the study show that all respondents indicated the existence of a registry procedures manual in their ministries. When asked to state the need for a registry procedures manual, registry personnel provided multiple responses. Table 2 summarizes the results:

Table 2: The need for a registry procedures manual (N=120)

Need for a registry procedures manual	Yes		No	
	frequency	%	frequency	%
Outlines procedures and practices	120	100.0	-	-
Ensures service delivery	112	93.3	8	6.7
Ensures records security	111	92.5	9	7.5
Ensures records of no value are disposed of	96	80.0	24	20.0
Ensures records accessibility	92	76.7	28	23.3
Ensures records retrieval efficiency	86	71.7	34	28.3
Ensures preservation of records	77	64.2	43	35.8

Under the "other" category respondents added that the manual described in detail the procedures and forms to be used when dealing with incoming correspondence, filing papers, creating a new file, recording the existence of a new file, controlling file

movement, handling files returned to the registry, handling outgoing mail, storing files, handling closed files and maintaining the system.

5.2.1.2.3 The state of registry funding

In order to understand the state of registry funding in the government ministries, senior ministerial officials were asked several questions. The officials were asked to state if the registry department was allocated its own budget. The following multiple responses were provided:

- the registry is just a section not a department. There was no separate budget for the registry section;
- the registry section worked under the budget of the directorate of administration and personnel;
- funding of the registry depended on the budget/money received as a sub-vote;
- funding of registry depended on the budget for the administration department;
- allocation of the budget depended on the activities done in the ministry; and
- registries were funded from the administration department.

When asked about the state of registry funding, the senior ministerial officials responded as indicated in Table 3 which summarizes their multiple responses.

Table 3: State of registry funding (N=26)

State of registry funding	Yes		No	
	frequency	%	frequency	%
Status quo has remained the same	20	76.9	6	23.1
Funding is adequate	4	15.4	22	84.6
Has increased over the last five years	4	15.4	22	84.6
Has decreased over the last five years	2	7.7	24	92.3

Table 3 shows that four (15.4%) respondents cited that the funding was adequate, while 22 (84.6%) said it wasn't adequate. The negative response indicated that the funding of

the registry which comes from the administration department was generally considered inadequate. Four (15.4%) respondents further indicated that the funding had increased over the last five years, while 22 (85%) indicated that the funding had not increased. Further, 20 (76.9%) cited that the status quo remained the same. As it was stated by a number of senior ministerial officials that the registry section was not allocated its own budget, registry funding depended on the budget for the administration department.

When asked about the problems faced due to the current state of registry funding, the majority 25 (96.2%) of the senior ministerial officials stated that they experienced problems. Table 4 presents the multiple responses of the problems encountered.

Table 4: Problems encountered due to the current state of registry funding (N=26)

Problems encountered	Yes		No	
	frequency	%	frequency	%
Inability to provide adequate registry services	18	69.2	8	30.8
Inability to purchase appropriate storage equipment	16	61.5	10	38.5
Inability to purchase sufficient supplies	13	50.0	13	50.0
Inability to educate and train staff	12	46.2	14	53.8

Table 4 shows that 18 (69%) of the senior ministerial officials indicated an inability to provide adequate registry services as a problem encountered due to the current state of registry funding, while 16 (62%) indicated the inability to purchase appropriate equipment, 13 (50%) indicated the inability to purchase efficient supplies, while 12 (46%) indicated the inability to educate and train staff.

5.2.1.2.4 Records management audit exercise in registries

When asked if the records management in their ministries were audited for compliance with records management standards, 67 (55.8%) registry personnel answered in the affirmative, while 53 (44.2%) indicated that they were not. Respondents were also asked

to state the purpose of the records management audit exercise. This was a multiple response question and therefore respondents indicated more than one purpose. Table 5 summarizes the multiple responses.

Table 5: Purpose of the records management audit exercise (N=120)

Purpose of records management audit	Yes		No	
	frequency	%	frequency	%
Establish efficiency of records maintenance and use	61	50.8	59	49.2
Establish efficiency of records creation systems	58	48.3	62	51.7
Establish efficiency of records distribution systems	51	42.5	69	57.5
Establish efficiency of records appraisal and use	43	35.8	77	64.2

Table 5 shows that the most cited purpose of a records management audit was to establish efficiency of records creation, and the least cited was to determine efficiency of records appraisal and disposition systems. The 53 (44.2%) respondents who indicated that records management practices in their ministry were not audited for compliance with standards were asked if they had an internal records management audit checklist. Forty six (38.3%) respondents indicated that their ministry had an internal records management checklist. Figure 4 presents the multiple responses when respondents were asked about the areas covered by the internal records management checklist.

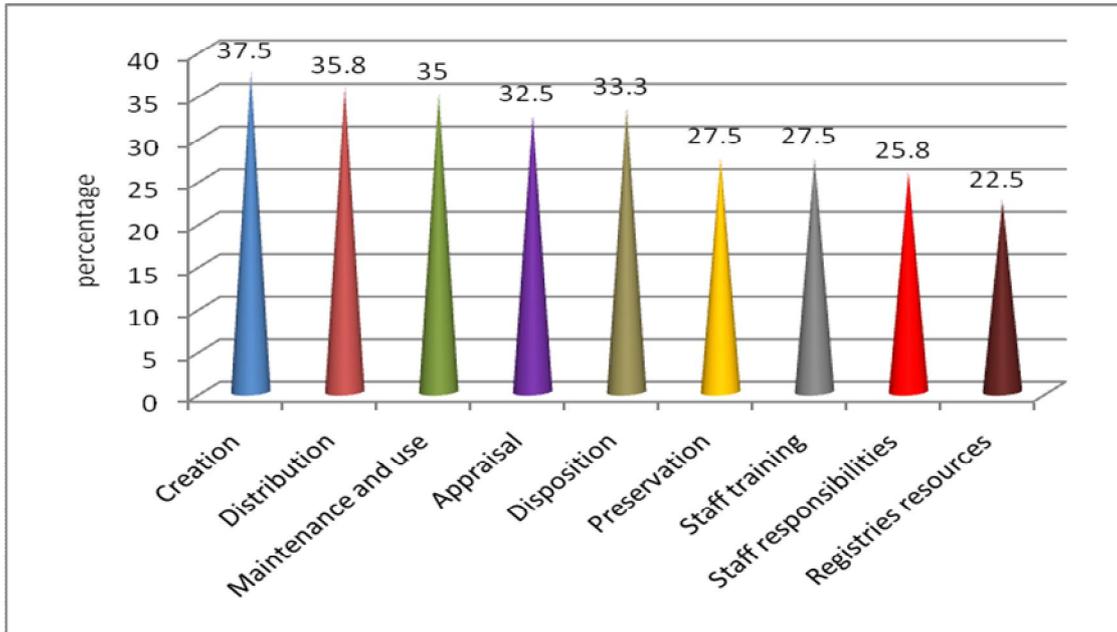


Figure 4: Areas covered in internal records management checklist (N=120)

Figure 4 shows that 45 (37.5%) respondents marked records creation as an area covered in their internal records management audit checklist, 43 (35.8%) respondents marked records distribution, 42 (35%) respondents marked records maintenance and use, 40 (33.3%) respondents marked records disposition, while 39 (32.5%) respondents marked records appraisal, followed by 33 (27.5%) respondents who marked records preservation and staff training. Further, 31 (25.8%) respondents marked staff responsibilities, while 27 (22.5%) respondents marked registries resources.

5.2.1.3 Records creation and use

Records must be created where there is a need to be accountable for decisions, actions or outcomes. In records creation and use, registry personnel were asked about the duties they performed. Figure 5 summarizes the results.

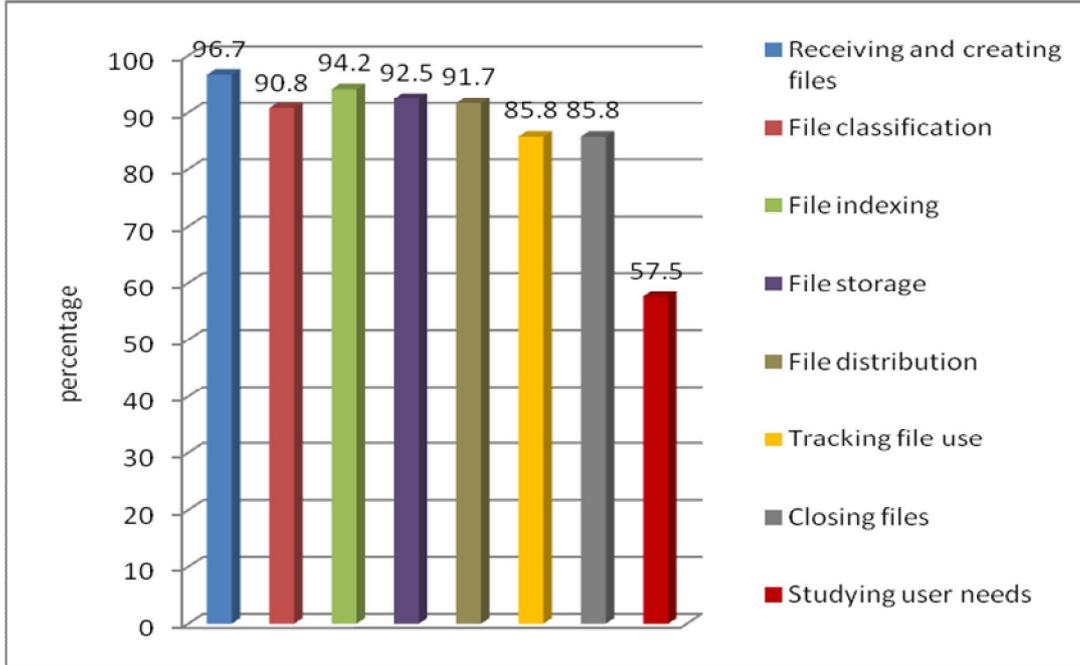


Figure 5: Duties performed by registry personnel (N=120)

Figure 5 indicates that registry personnel performed the following duties: receiving and creating files 116 (96.7%), file indexing 113 (94.2%), file storage 111 (92.5%), file distribution 110 (91.7%), file classification 109 (90.8%), tracking file use and closing files 103 (85.8%) and studying user needs 69 (57.2%).

When asked whether the registry offices had a list of activities that constituted the basis for records creation, 116 (96.7%) indicated the existence of a list of activities that constitute the basis for records creation, while four (3.3%) indicated that they did not have a list of activities. Respondents who indicated the existence of a list of activities that constituted the basis for records creation were asked to explain the criteria used to create files. Table 6 shows their multiple responses.

Table 6: Guidelines used to create records (N=120)

Guidelines used to create records	Yes		No	
	frequency	%	frequency	%
Precedent (established procedures)	90	75.0	30	25.0
Registry supervisor instructions	62	51.7	58	48.3
Records management literature	53	44.2	67	55.8
Colleagues' advice	38	31.7	82	68.3
Own initiative	24	20.0	96	80.0

It is evident from Table 6 that 90 (75%) of the respondents indicated precedent (established procedures) as a criteria used to create records. Respondents indicated that they usually used the registry procedures manual to guide them when creating records, while 62 (51.7%) indicated registry supervisor instructions, 53 (44.2%) indicated records management literature. Colleagues' advice was by 33 (31.7%) whereas 24 (20%) indicated their own initiative. Respondents were further asked to indicate information included when creating files. Figure 6 summarizes their multiple responses.

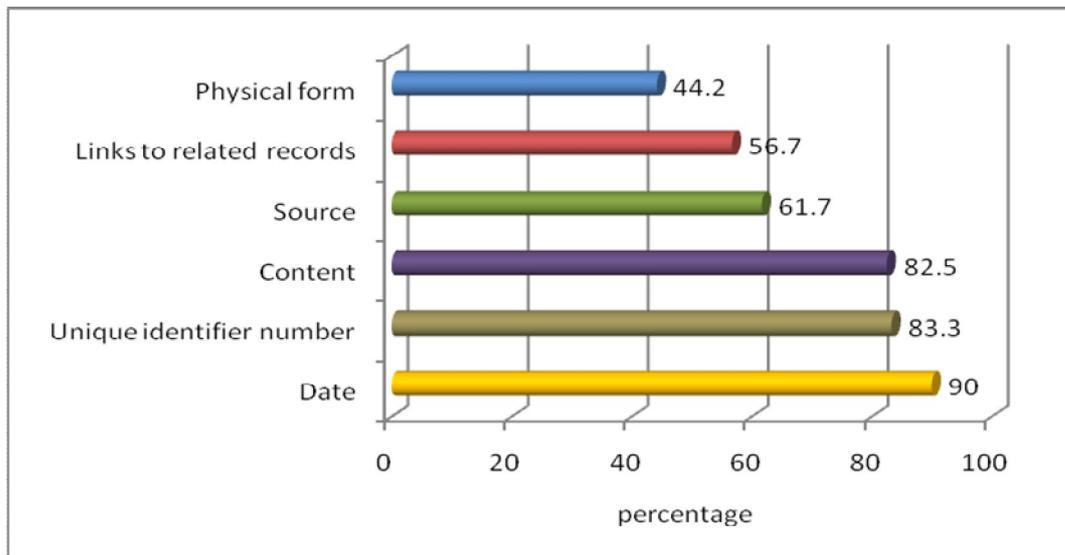


Figure 6: Information included when creating files (N=120)

Figure 6 indicates that 108 (90%) respondents cited date as information included when creating files, 102 (83.3%) respondents cited unique identifier number, 99 (82.5%) respondents indicated content, while 74 (61.7%) respondents cited source, 68 (56.7%) respondents indicated links to related records whereas 53 (44.2%) respondents cited physical form as information included when creating records.

5.2.1.4 Mail management

Registry personnel must deal promptly and accurately with many different kinds of mail. All mail received in the registry must be opened as soon as it is received by a designated officer, normally the head of the registry. During the opening and date stamping procedures of the mail, all letters should be kept in a box file or other suitable container. In order to understand the mail management⁵ in the ministries, registry personnel were asked if they had a mail management programme. All respondents showed that they had a mail management programme. Respondents were also asked to indicate activities which constitute mail management. They provided multiple responses as shown in Table 7.

Table 7: Activities which constitute a mail management programme (N=120)

Activities which constitute mail management	Yes		No	
	frequency	%	frequency	%
Receiving mail	120	100.0	-	-
Sorting mail	117	97.5	3	2.5
Opening mail	114	95.0	6	5.0
Filing mail	114	95.0	6	5.0
Control of mail movement	112	93.3	8	6.7
Classifying mail	110	91.7	10	8.3
Delivery of mail to action officers	110	91.7	10	8.3
Security grading of mail	96	80.0	24	20.0
Previewing mail	58	48.3	62	51.7

⁵ Mail management: the study discovered that mail management in the registries covered paper based mail only. Electronic mail management did not form part of the mail management programme.

Respondents indicated further that officially addressed registered mail and personally addressed registered mail were the types of incoming mail received in the registry as indicated by 112 (93.3%) and 90 (75%) respectively. When asked to indicate the action taken when opening incoming mail, the majority of respondents indicated checking the address on the envelope, 112 (93.3%) indicated date stamping, 110 (91.7%) indicated accounting for all enclosures (if attached), while 97 (80.8%) indicated extracting mail, and 71 (59.2%) indicated checking status of mail (if open or confidential).

After the mail had been opened and all enclosures accounted for, each letter had to be registered in an incoming mail register. The 120 (100%) registry personnel indicated that they recorded received mail in an incoming mail register. When asked to indicate the need for recording mail in an incoming mail register, they provided multiple responses as presented in Table 8.

Table 8: Need for recording received mail in an incoming mail register (N=120)

Need for recording received mail	Yes		No	
	frequency	%	frequency	%
Provide evidence of received mail	120	100	-	-
Attend to complaints of delay due to lack of action	86	71.7	34	28.3
Trace letters whose subject is not stated	86	71.7	34	28.3
Trace wrongly filed mail	82	68.3	38	31.7
Discouraging dishonest registry staff from removing or destroying mail	67	55.8	53	44.2

Table 8 shows that the main reason for recording received mail in an incoming mail register was to provide evidence of received mail as indicated by 117 (97.5%) respondents, whereas 86 (71.7%) respondents cited attending to complaints of delay due to lack of action and tracing letters whose subject is not stated, 82 (68.3%) cited tracing

wrongly filed mail, while 67 (55.8%) cited discouraging dishonest registry staff from removing or destroying mail. Registry personnel were also asked to indicate the information included in an incoming mail register. They provided multiple responses as indicated in Table 9.

Table 9: Information recorded in an incoming mail register (N=120)

Information recorded in an incoming mail register	Yes		No	
	frequency	%	frequency	%
Mail reference number	117	97.5	3	2.5
Mail subject	115	95.8	5	4.2
Date of mail	113	94.2	7	5.8
Sender's address	110	91.7	10	8.3
Sender's name	103	85.8	17	14.2
File reference on which mail is filed	84	70.0	36	30.0
Sender's designation	46	38.3	74	61.7

Table 9 shows that the majority of respondents 117 (97.5%) indicated the mail reference number as information included in an incoming mail register, followed by 115 (95.8%) who indicated mail subject, while 113 (94.2%) indicated date of mail, 110 (91.7%) indicated sender's address, 103 (85.8%) indicated sender's name, file reference number on which mail is filed was indicated by 84 (70%) respondents, while sender's designation was indicated by 46 (38.3%) respondents.

Respondents further indicated date filed and passed to action officers as among the information included in an incoming mail register. One hundred and eleven (92.5%) registry personnel further indicated that they had procedures for circulating mail to action officers. Respondents were asked to indicate the reasons for circulating mail to action officers. Table 10 summarizes their multiple responses.

Table 10: Reasons for circulating mail to action officers (N=120)

Reasons for circulating mail	Yes		No	
	frequency	%	frequency	%
When requested as a “bring up” action	101	84.2	19	15.8
Give instructions on necessary action	93	77.5	27	22.5
Have immediate knowledge of mail received	95	79.2	25	20.8
When an action officer requests to see mail	89	74.2	31	25.8

Table 10 shows that 101 (84.2%) respondents cited when requested as a “bring up” action. The “bring up” system enables an officer to request the registry to re-issue a file on the day that he/she needs it. Ninety five (79.2%) respondents cited having immediate knowledge of mail received, 93 (77.5%) respondents cited giving instructions on necessary action, whereas 89 (74.2%) respondents cited an action officer requesting to see mail. When asked about the means they used to circulate mail to action officers 94 (78.3%) used a distinctive folder, 45 (37.5%) used mail filed in a box file for a particular subject/heading, while 24 (20%) attached mail to a clipboard.

In order to be effective, registry personnel must know the location of every file for which they are responsible. Thus, each time a file moves, this fact must be recorded in the registry. One hundred and eighteen (98.3%) registry personnel indicated that they had tools to control the movement of mail. When asked to indicate the tools they used to control the movement of mail, 77 (64.2%) indicated a file movement card, 60 (50%) indicated a file movement register, 59 (49.2%) indicated a daily list of wanted files, while 33 (27.5%) indicated systematic searches.

Under the “other” category, respondents noted that they also used file transit sheets, file diaries, file movement slips, file transit ladders and a file census. Further, respondents noted that all requests for files from the registry were directed to the head of the registry.

The head of registry was responsible for ensuring that file movement were fully recorded before files leave the registry. The researcher observed that the file movement register was the most widely used tool to control and track the movement and use of records in the ministries.

One hundred and sixteen (96.7%) respondents further showed that they had a security classification for mail in their registry. Figure 7 summarizes the results of respondents being asked to indicate the nature of the security classification.

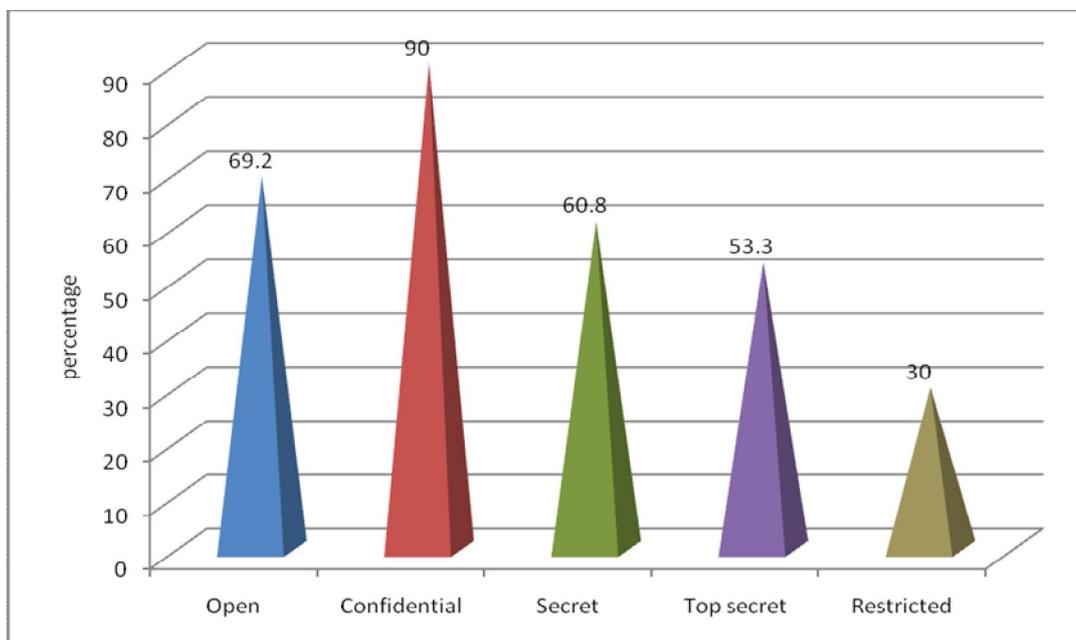


Figure 7: Nature of security classification for mail in the registries (N=120)

Figure 7 shows that the most cited security classification was confidential classification, as indicated by 108 (90%) respondents, while the least cited was restricted classification with 36 (30%). When asked to indicate the need for security classification of mail in the registry, 111 (92.5%) cited the protection of confidential information, 88 (73.3%) cited the protection of loss of information, while 58 (48.3%) cited protecting the interests of the ministry.

Once a mail item has been signed by an action officer it must be returned to the registry office. The registry staff needs to enter the details in the outgoing mail register. All respondents indicated that they had procedures for managing outgoing mail. Respondents were asked to indicate the actions taken on outgoing mail, they provided multiple responses as summarized in Table 11.

Table 11: Actions taken on outgoing mail (N=120)

Action taken on outgoing mail	Yes		No	
	frequency	%	frequency	%
Mail signed by action officers	120	100	-	-
Mail entered in the dispatch book	110	91.7	10	8.3
Correct reference number indicated	103	85.8	17	14.2
Subject clearly indicated	101	84.2	19	15.8
Copy of mail filed	99	82.5	21	17.5
Correct address indicated	98	81.7	22	18.3
Postal expenses entered in the postal register	95	79.2	25	20.8
Mail is date stamped	69	57.5	51	42.5

All respondents showed that they entered mail in the outgoing mail register. Respondents showed that they recorded the following information, as presented in Figure 8.

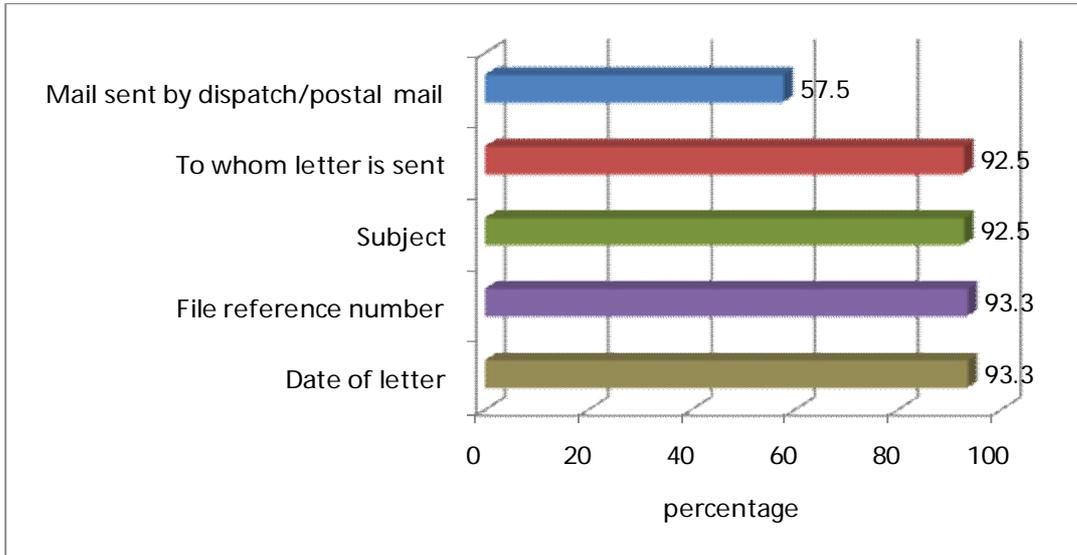


Figure 8: Information recorded in the outgoing mail register (N=120)

5.2.1.5 Forms management programme

When asked whether they had a forms management programme, 68 (56.7%) respondents noted that they had one, while 52 (43.3%) noted that they did not have a forms management programme. Respondents who noted that they had a forms management programme were asked to explain the reasons for having a forms management programme in their ministries. Their results are summarized in Figure 9.

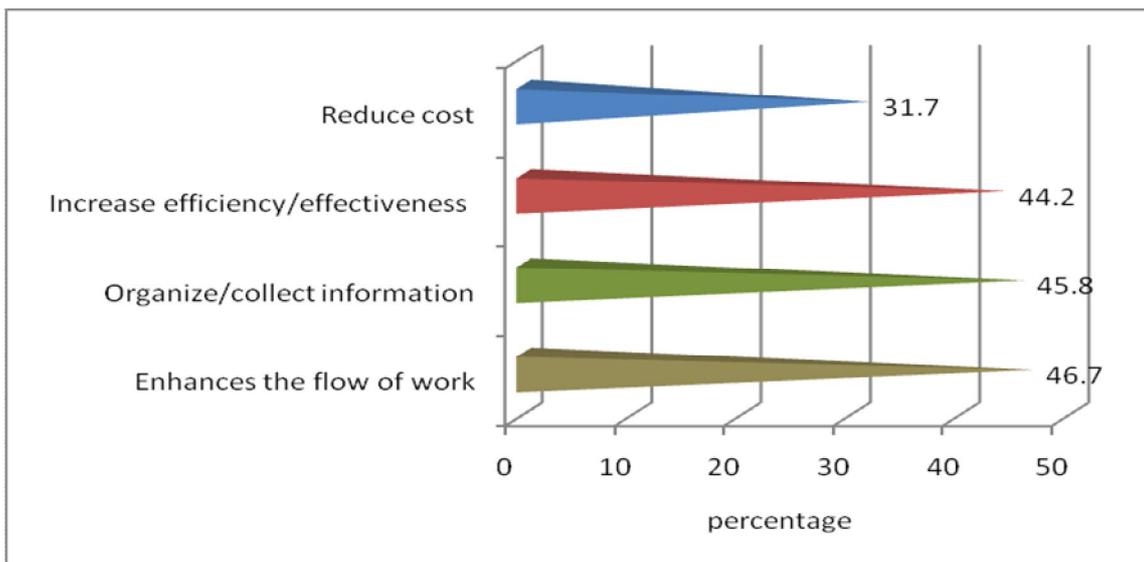


Figure 9: Reasons for forms management programmes in the ministries (N=120)

Figure 9 indicates that forms management programmes enhanced the flow of work in the registries as cited by 56 (46.7%) respondents. Other reasons for forms management cited by respondents were to organize, collect and disseminate information 55 (45.8%), increase operational efficiency and effectiveness 53 (44.2%), and reduce costs 38 (31.7%). Respondents further indicated the objectives of forms management programmes, as presented in Table 12.

Table 12: Objectives of forms management programmes (N=120)

Objectives of forms management	Yes		No	
	frequency	%	frequency	%
Determine forms are up to date	62	51.7	58	48.3
Ensure instructions for use are clear	60	50.0	60	50.0
Enhance information processing	59	49.2	61	50.8
Ensure availability of information when and where needed	53	44.2	67	55.8
Specify most economical method of production	42	35.0	78	65.0

Forty eight (40%) respondents further indicated that their forms management programme incorporated forms control. Respondents who noted that their forms management programme incorporated forms control, showed that their forms control programme constitute forms analysis 40 (33.3%), and design and production 36 (30%). The 45 (37.5%) respondents noted that they had a checklist for designing forms. Respondents were provided with statements on a checklist for forms design, and were asked to indicate whether the statements were true or false. Table 13 below provides their multiple responses.

Table 13: Checklist for forms design (N=120)

Checklist for forms design	True		False	
	frequency	%	frequency	%
Each form is given a title	38	31.7	82	68.3
Sufficient space to enter information is provided	37	30.8	83	69.2
Instructions for completing forms are given	34	28.3	86	71.7
Each form is given a serial number	31	25.8	89	74.2
Form is arranged in a logical order	31	25.8	89	74.2

Table 13 shows that in a checklist for forms design, each form is given a title as indicated by 38 (31.7%), sufficient space to enter information is provided 37 (30.8%), instructions for completing forms are given 34 (28.3%), each form is given a serial number 31 (25.8%) and forms are arranged in a logical order 31 (25.8%). Further, the researcher revealed that forms are tools which were used to control and keep track of the movement of mail in the registries. All file movements must be recorded promptly to enable the records office to provide an efficient and reliable service. Control tools used include: file diaries, file transit sheets, file movement slips, file transit ladders and files census. The file diary enables registry staff to monitor the number of files that have been opened during any given period and their titles, whereas, file transit sheets also known as a 'tracer card' is created for each file at the time of the opening of the file. Their purpose is to show the location at all times of all files opened by the records office. Each file movement must be recorded on the transit ladder on the front of the file cover. This records the same information that appears on the file transit sheet. On conducting file census, the registry staff must visit every action officer at regular intervals, at least once a month, and list on a file census form all the files held by that officer.

5.2.1.6 Records storage

It is important to keep records in conditions that ensure that they are protected, secured and accessible for as long as they are required to meet the business and accountability needs of the organization.

5.2.1.6.1 Records storage programme

When asked about the records storage programme, all respondents indicated the existence of a records storage programme. Respondents were further asked about the aspects covered in their records storage programme. Their results are summarized in Figure 10.

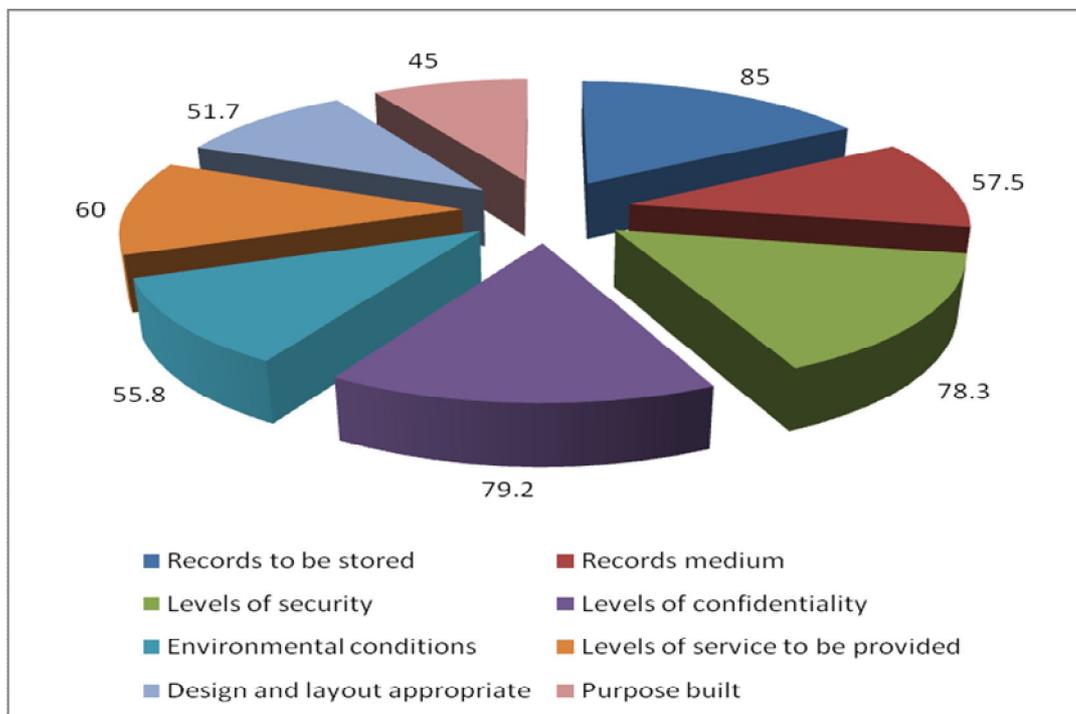


Figure 10: Aspects covered in the records storage programme (N=120)

Figure 10 indicates that the most cited aspect covered by the records storage programme was “records to be stored” as cited by 102 (85%) respondents, while the least cited aspect was “purpose built facilities” as cited by 54 (45%) respondents.

Respondents were further asked if their offices had written guidelines for the identification of current records, semi-current records and non-current records. The 108 (98.3%) respondents stated that they had written guidelines for the identification of current records, 106 (88.3%) indicated the presence of guidelines for the identification of semi-current records, while 105 (87.5%) noted that they had a guideline for the identification of non-current records.

When asked about the equipment used to store current records respondents provided multiple responses as summarized in Table 14.

Table 14: Equipment used for the storage of current records (N=120)

Equipment used for storage of current records	Yes		No	
	frequency	%	frequency	%
Steel filing cabinets	87	72.5	33	27.5
Wooden shelves	79	65.8	41	34.2
Wooden filing cabinets	77	64.2	43	35.8
Iron racks	14	11.7	106	88.3
Floor	5	4.2	115	95.8

Table 14 indicates that most registries used steel cabinets as cited by 87 (72.5%), while 79 (65.8%) cited wooden shelves and 77 (64.2%) cited wooden cabinets as equipment used to store current records, while a few registries stored current records on iron racks as cited by 14 (11.7%) and on the floor as cited by five (4.2%).

When asked about the equipment used to semi-current records, respondents provided multiple responses as summarized in Table 15.

Table 15: Equipment used for the storage of semi-current records (N=120)

Equipment used for storage of semi-current records	Yes		No	
	frequency	%	frequency	%
On shelves separated from current records	69	57.5	51	42.5
In labeled box	41	34.2	79	65.8
In a separate room designated for such use	36	30.0	84	70.0
On shelves together with current records	20	16.7	100	83.3
In a separate room not designated for such use	14	11.7	106	88.3

Table 15 indicates that semi-current records were stored on the shelves separate from current records as indicated by 69 (57.5%) respondents, while 14 (11.7%) indicated that semi-current records were stored in a separate room not designated for such use.

The findings of the study indicated that ministries did not have a records centre for the storage of the semi-current records, resulting in the congestion of records in most registries as was observed by the researcher. The researcher observed piles of semi-current records in boxes waiting to be transferred to another room as explained by registry personnel.

When asked about the equipment used to store non-current records, respondents provided multiple responses as summarized in Table 16.

Table 16: Equipment used for the storage of non-current records (N=120)

Equipment used for storage of non-current records	Yes		No	
	frequency	%	frequency	%
On shelves separate from semi-current and current records	63	52.5	57	47.5
In labelled boxes	33	27.5	87	72.5
In a separate room not designated for such use	25	20.8	95	79.2
In a separate room designated for such use	10	8.3	110	91.7
On shelves together with semi-current and current records	7	5.8	113	94.2
Transferred to the National Archives	2	1.7	118	98.3

Table 16 indicates that non-current records were stored on the shelves separate from current and semi-current records as indicated by the majority of respondents, while only two respondents indicated that non-current records were transferred to the National Archives. The response was contrary to what was observed by the researcher, who noted large volumes of non-current records being retained in very poor conditions.

Accessioning is the act and procedure involved in a transfer of legal title and taking records or papers into the physical custody of an archival agency, or records centre. It is an attempt to establish three types of control over collection: legal, physical and intellectual (Hunter 2003:101). The researcher found out from the National Archives staff that they did not have space for the storage of non-current records. The National Archives was full to capacity, making it difficult for new accessions to be received, and as a result non-current records remained in the registries.

The 92 (76.7%) respondents stated that equipment used did not sufficiently cater for records storage. It was also observed by the researcher that most of the registries surveyed were congested with records, and the shelves were full to capacity, while other

records were placed on the floor. Respondents cited a number of problems they faced in storing records as presented in Figure 11.

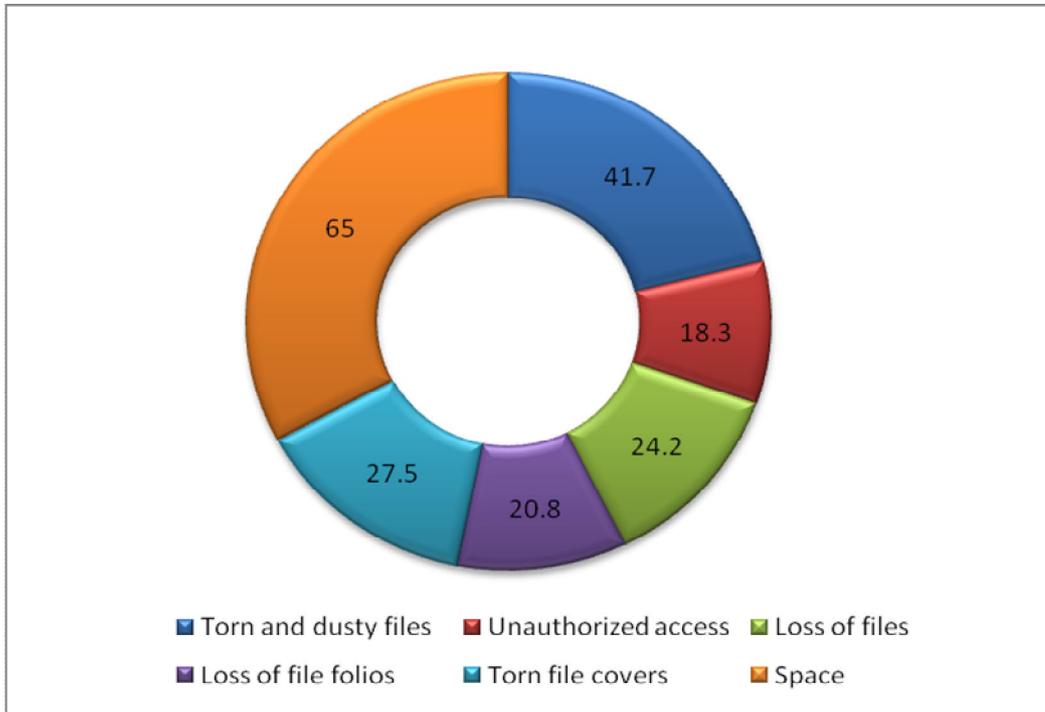


Figure 11: Problems faced in storing records (N=120)

Figure 11 indicates that the majority of respondents cited space as the major problem they faced in storing records, other problems cited include torn and dusty files, torn file covers, loss of files, loss of file folios and unauthorized access.

5.2.1.6.2 Controlling temperature and relative humidity in a records storage area

Temperature and relative humidity are important factors to consider in the records storage area. The 80 (66.7%) respondents showed that they controlled temperature and relative humidity in the records storage area, while 40 (33.3%) said they did not. When asked about the methods used to control temperature and relative humidity in the records storage area, the results are presented in Figure 12.

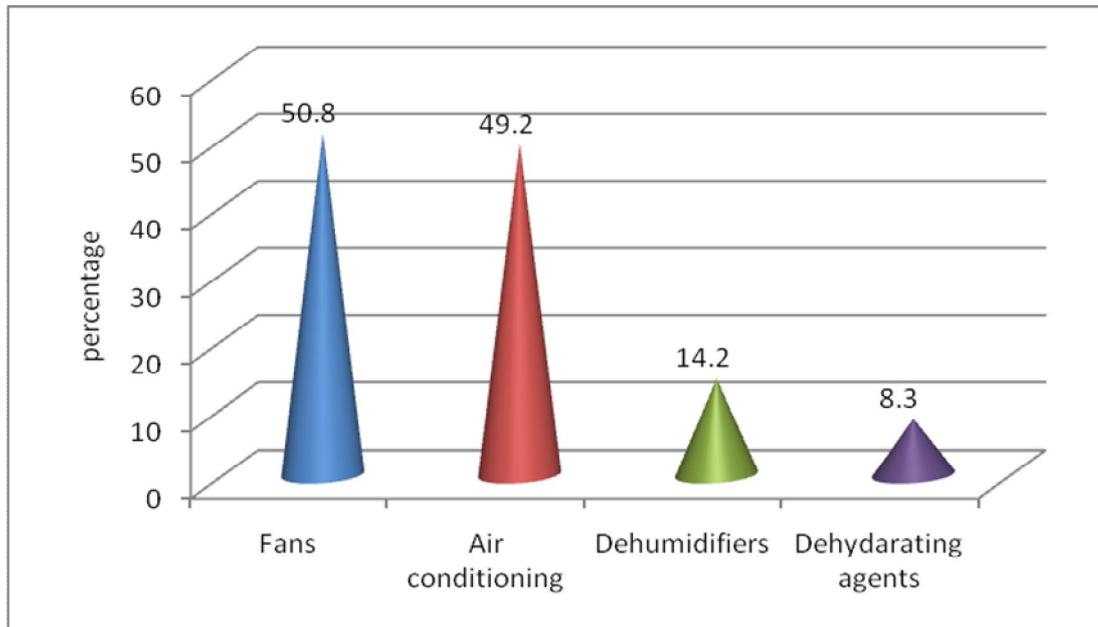


Figure 12: Methods used to control temperature and relative humidity (N=120)

Figure 12 shows that 61 (50.8%) respondents used fans to ensure air circulation, 59 (49.2%) used air conditioning, 17 (14.2%) used dehumidifiers, while 10 (8.3%) used dehydrating agents. A follow-up observation further revealed that respondents only indicated that they controlled temperature and relative humidity but they did not take any periodic readings.

5.2.1.6.3 Light in the records storage area

Exposure to high levels of light causes fading especially of inks and colours, the darkening and yellowing of paper containing wood and lignin, and the weakening of fibres. Both sunlight and artificial light, especially fluorescent are sources of ultra-violet light, which is the most harmful of the light wavelengths (Dean 2002). Registry personnel were asked if they control light in the records storage area. The 87 (72.5%) respondents further noted that they controlled light in the records storage area. Sixty (50%) respondents used fluorescent tube lights, 59 (49.2%) noted the provision of windows with blinds and curtains, while 15 (12.5%) used incandescent lights.

Although respondents indicated that they controlled light in a records storage area, the researcher observed that lights were on all the time, some of the records were also exposed to sunlight through the windows in the records storage area.

5.2.1.6.4 Pest management in the records storage area

Pests such as rodents, termites, silverfish, cockroaches, and booklice are a problem in a records storage area. Respondents were asked if they had experienced pest infestation in a records storage area. The 102 (85%) respondents noted that they had experienced pest infestations in a records storage area. Figure 13 summarizes the types of pests found.

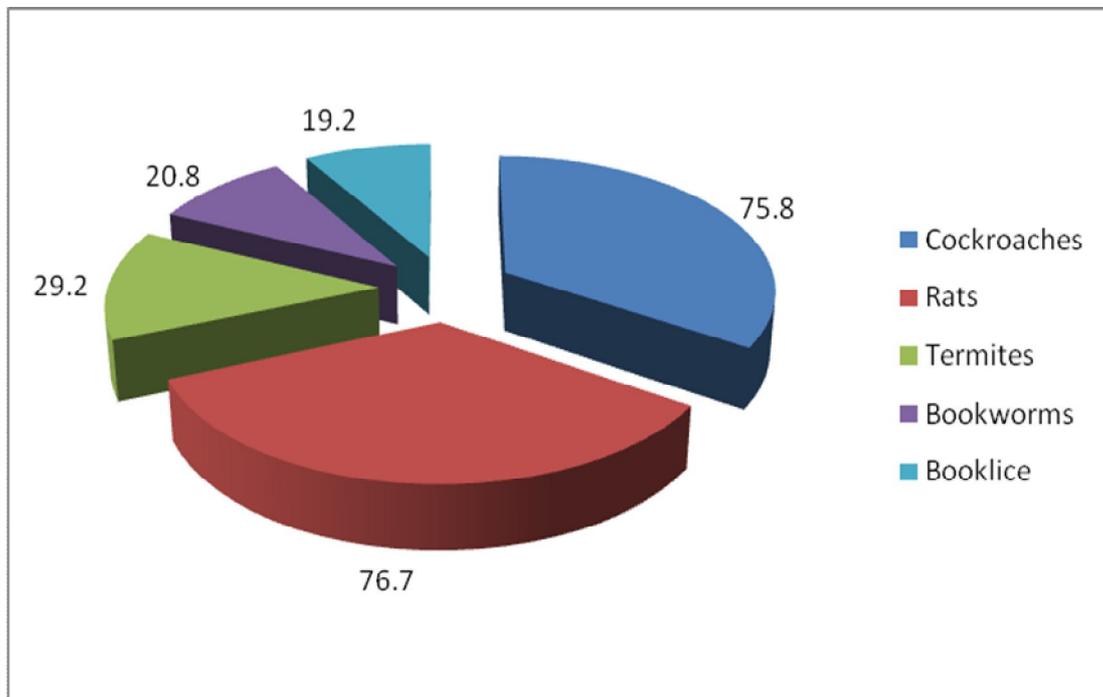


Figure 13: Pests found in a records storage area (N=120)

Figure 13 shows that the majority of respondents cited rats as a major pest found in the records storage area as indicated by 92 (76.7%), followed by 91 (75.8%) respondents who indicated cockroaches. Other pests found include termites 35 (29.2%), bookworms 25 (20.8%) respondents, and booklice, indicated by 23 (19.2%) respondents. Figure 14 presents the multiple responses when respondents were asked about the methods used to control pests.

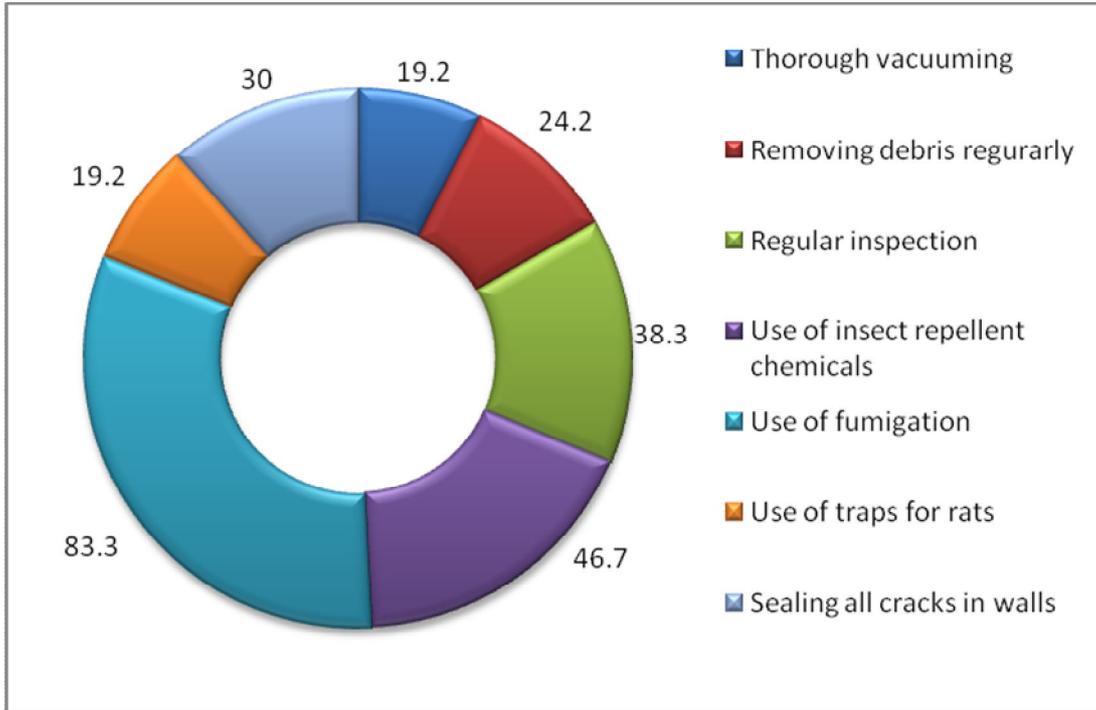


Figure 14: Methods used to control pest infestations in the records storage area (N=120)

Figure 14 shows that most registries used fumigation in order to control pest infestations in the records storage area as indicated by 100 (83.3%) respondents, while few registries used thorough vacuuming of the records storage area and the use of traps for rats, as indicated by 23 (19.2%) respectively. Further, 68 (56.7%) respondents showed the control of fungi in the records storage area. Respondents noted a number of methods used to control fungi infestation in the records storage area as summarized in Table 17.

Table 17: Methods used to control fungi infestation in the records storage area (N=120)

Methods used to control fungi infestation	Number indicating method	Percentage
Regular cleaning of the records storage area	52	43.3
Maintaining air circulation in the records storage area	43	35.8
Regular inspection of the records storage area	40	33.3
Regulating temperature and relative humidity	34	28.3
Sterilizing records room using chemicals	23	19.2

Table 17 shows that the most common method used by registry offices in controlling infestation by fungi was the regular cleaning of the records storage area as cited by 52 (43.3%) respondents, while the least method used was sterilizing records rooms using chemicals as cited by 23 (19.2%) respondents.

5.2.1.7 Disaster management and security control

Disaster management and security control are vital to the preservation and protection of records and archives. Disaster preparedness and recovery plans help to ensure that the organization's vital records are protected in the event of human made or natural disaster. Thirty four (28.3%) respondents noted the existence of a written disaster preparedness plan, while 86 (71.7%) respondents noted that they did not have one. Twelve (10%) respondents further noted that they had a written recovery plan, while 108 (90%) respondents noted that they did not. Contrary to the responses provided, when asked to indicate aspects covered by the plan, all respondents did not indicate any, an indication that respondents were not sure or they did not have a written disaster preparedness or recovery plan for their records in the ministries, despite the fact that they were very much aware of the likely disasters that could affect them.

Respondents further failed to indicate the natural and human made disasters covered by the plan. The majority of respondents marked an “N/A” response, indicating that the questions were not applicable. The response implied the absence of disaster preparedness plan and security control for their records. Respondents were also asked when the disaster preparedness and recovery plans were last tested, if there was a disaster planning team in place and if they had been instructed in emergency planning and procedures. All the questions were marked by an “N/A” response.

5.2.1.8 Records inventory

A records inventory is vital to an effective records management programme because it identifies and quantifies all records that are created, referenced or processed by the organization. The 89 (74.2%) respondents indicated that they had a records inventory, while 31 (25.8%) said they did not. Respondents indicated the following purposes of the records inventory, as presented in Table 18.

Table 18: Purpose of the records inventory (N=120)

Purpose of records inventory	Yes		No	
	frequency	%	frequency	%
Identify all records series	84	70.0	36	30.0
Determine extent of records use	68	56.7	52	43.3
Devise retention schedules	61	50.8	59	49.2
Identify and resolve recordkeeping problems	61	50.8	59	49.2
Identify user's information needs	58	48.3	62	51.7
Establish record format	54	45.0	66	55.0

Respondents noted further that the records inventory covered current records as cited by 84 (70%) respondents, semi-current records as cited by 79 (65.8%) respondents and non-current records as cited by 70 (58.3%) respondents. When conducting a records

inventory, 73 (60.8%) respondents noted that they did physical checking, 28 (23.3%) respondents used questionnaires while 26 (21.7%) respondents used a committee. The 77 (64.2%) respondents also noted that they used a records inventory checklist when conducting a records inventory, while 43 (35.8%) said they did not. The respondents provided multiple responses when asked about the information included in the records inventory checklist as summarized in Table 19.

Table 19: Information included in the records inventory checklist (N=120)

Information included in records inventory	Yes		No	
	frequency	%	frequency	%
Volume of records	66	55.0	54	45.0
Filing systems	60	50.0	60	50.0
Format in which information is recorded	52	43.3	68	56.7
Types of forms, reports and directives	46	38.3	74	61.7
Creation and distribution paths	44	36.7	76	63.3
Legal retention periods	42	35.0	78	65.0
Storage systems	40	33.3	80	66.7
Vital records programme	40	33.3	80	66.7
Manuals, policies and procedures	31	25.8%	89	74.2

The findings were contrary to data obtained from the observation checklist. The researcher observed that the majority of government registries did not conduct records inventories.

5.2.1.9 Records appraisal

Registry personnel were asked if they conducted records appraisal in their registries. The 88 (73.3%) respondents noted that they conducted appraisal, while 32 (26.7%) did not. Figure 15 summarizes the results of respondents being asked to indicate the statements which reflected the purpose of appraisal.

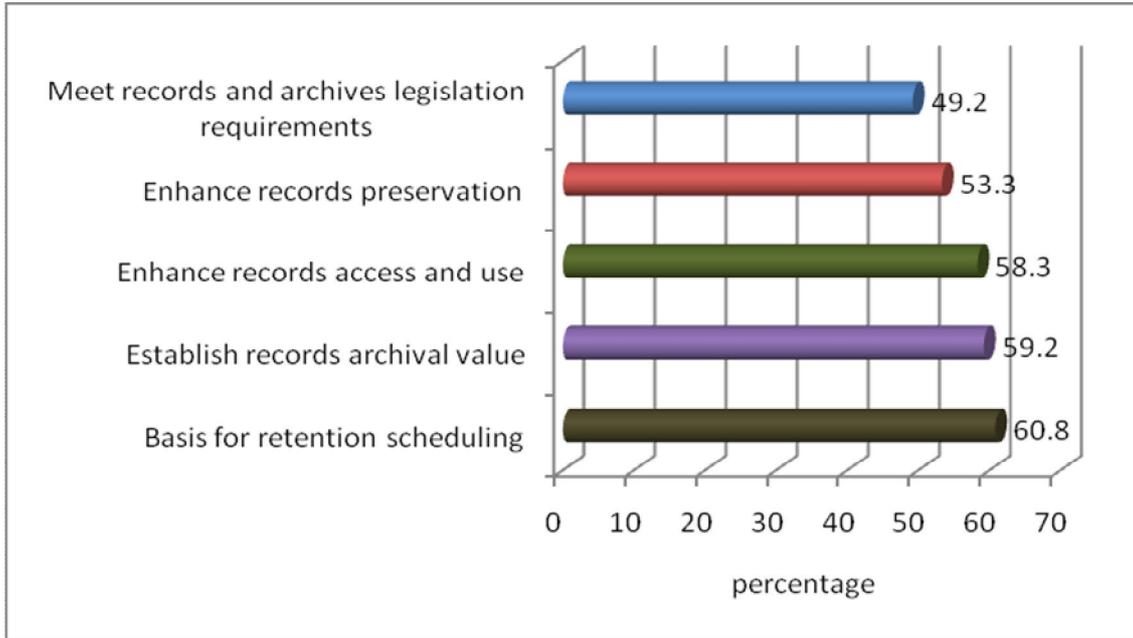


Figure 15: Purpose of records appraisal (N=120)

Figure 15 shows that the records appraisals were conducted as a basis for retention scheduling as indicated by 73 (60.8%), while 71 (59.2%) cited establishing records archival value, 70 (58.3%) cited enhancing records access and use. Other purposes cited by respondents were enhancing records preservation as cited by 64 (53.3%) and meeting records and archives legislation requirements as cited by 59 (49.2%).

In appraising subject files, the criteria used, included file by file review 77 (64.2%), value of records such as administrative, legal, financial and informational value 65 (54.2%), functional analysis 40 (33.3%) and sampling procedures 28 (23.3%). In appraising case files, respondents indicated the following criteria: administrative needs 71 (59.2%), importance 52 (43.3%), uniqueness 50 (41.7%), and content 45 (37.5%). Respondents further noted retention schedules as cited by 64 (53.3%) and standing instructions as cited by 50 (41.7%) respondents as the instruments used to appraise records. When asked to state the nature of appraisal and retention in their ministry, respondents provided multiple responses as presented in Table 20.

Table 20: The nature of appraisal (N=120)

Nature of appraisal	Yes		No	
	frequency	%	frequency	%
Confirms the value of records before their destruction	76	63.3	44	36.7
Develops retention schedules in consultation with the National Archivists	71	59.2	49	40.8
Transfers records with value to the National Archives	64	53.3	56	46.7
Prepares list of records that are due for destruction	61	50.8	59	49.2

Table 20 shows that the nature of the appraisal confirms the value of records before their destruction as cited by 76 (63.3%), develops retention schedules in consultation with the National Archives 71 (59.2%), transfers records with value to the National Archives 64 (53.3%) and prepares list of records that are due for destruction 61 (50.8%).

5.2.1.10 Records retention and disposition schedules

Records disposal is the process of determining the final fate of records. This may entail destruction, temporary retention or permanent retention as archives. Records disposal should be undertaken as soon as the records are no longer required for administrative purposes. It is good practice to conduct regular disposal rather than to allow records to accumulate over many years. The 74 (61.7%) respondents responded that they had a records disposition programme. When asked to indicate the nature of records disposition programme, respondents provided multiple responses. The 67 (55.8%) cited transfer to archives, 52 (43.3%) indicated physical destruction of records and 22 (18.3%) stated conversion to another medium. Figure 16 presents the multiple responses when respondents were asked about the methods used for destruction of confidential records.

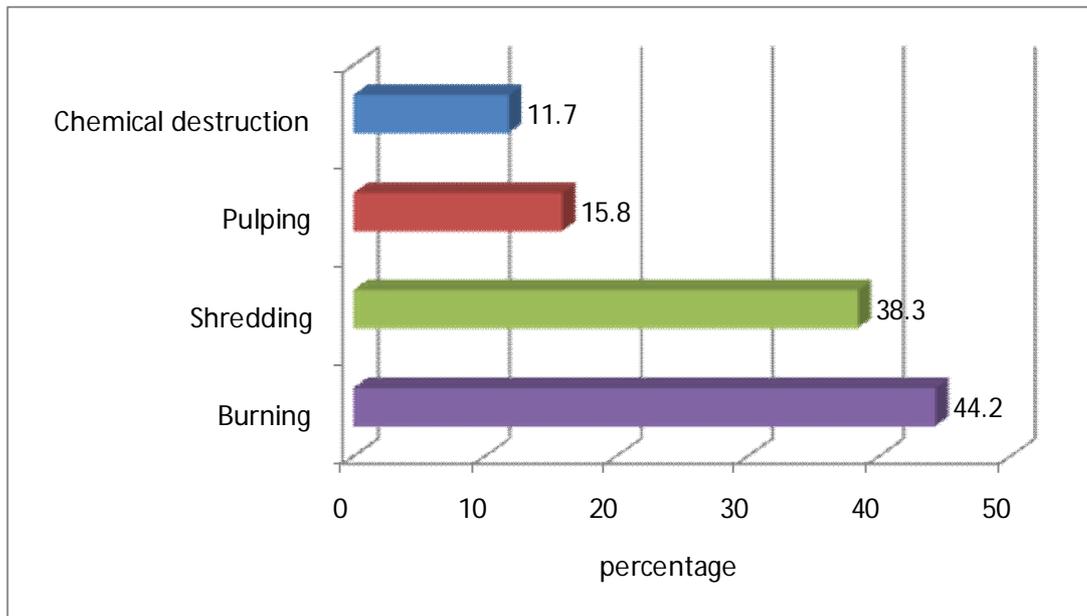


Figure 16: Methods used for destruction of confidential records (N=120)

Respondents who gave the various methods they used for the destruction of records were asked if they prepare a records disposition certificate once the records were destroyed. Only 46 (38.3%) indicated that they prepared a records disposition certificate, while 74 (61.7%) did not. Asked on the information included in the records disposition certificate, 38 (31.7%) stated records series, 37 (30.8%) cited records group, 36 (30%) stated date of destruction, name of officer carrying out destruction and name of officer witnessing destruction, respectively, while 34 (28.3%) cited destruction method. These findings were contrary to what was observed by the researcher. Although the 74 (61.7%) respondents indicated that they had a records disposition programme, follow up observation revealed the congested registries and huge backlogs of records on the shelves and cabinets, an indication that records disposition was not being carried out in most registries.

5.2.2 Access to information contained in public records and performance measurement of registries services

In this section registry personnel were asked to provide data on access to information contained in records and the need to conduct performance measurement of registries' services.

5.2.2.1 Access to information contained in public records

Access to information and public records is a fundamental human right and a precondition to transparency and accountability in the public sector. Governments should facilitate this access by maintaining adequate records as a base of evidence and by providing an infrastructure for giving information. The second research question sought to identify the current means and processes employed by registry personnel to make information contained in records accessible to clients. Items 89-95 of the questionnaire for registry personnel covered this research question. Registry personnel were asked about means and processes employed to make information contained in records accessible and the need to conduct performance measurement of registry services.

On access to information and public records, respondents were asked how they determined the information needs of clients. The 102 (85%) respondents indicated that they used face to face interviews, whereas 34 (28.3%) respondents cited that they used questionnaires and informal conversation respectively. Further, 69 (57.5%) respondents noted that their offices had guidelines for identifying requirements to make public records accessible to clients, while 51 (42.5%) did not. When asked about the policy guiding access to public records, 54 (45%) indicated the existence of a policy while 66 (55%) did not have a policy. The 100 (83.3%) respondents stated that they faced problems in providing access to public records. Table 21 presents the problems faced in providing access to public records.

Table 21: Problems faced in providing access to public records (N=120)

Problems faced in providing access to public records	Yes		No	
	frequency	%	frequency	%
Limited knowledge of users about registry operations	88	73.3	32	26.7
Action officers retaining files	87	72.5	33	27.5
Bulky files	81	67.5	39	32.5
Registry staff lacking training	67	55.8	53	44.2
Poor registry layout	65	54.2	55	45.8
Torn and dusty files	49	40.8	71	59.2
Registry staff not understanding user needs	46	38.3	74	61.7
Mix-up of active and inactive files	35	29.2	85	70.8

Table 21 indicates that the most cited problem in providing access to information was limited knowledge of users about registry operations 88 (73.3%), followed by action officers retaining files 87 (72.5%). Other cited problems were bulky files 81 (67.5%), registry staff lacking training 67 (55.8%), poor registry layout 65 (54.2%), torn and dusty files 49 (40.8%), and registry staff not understanding user needs 46 (38.3%) and the mixing-up of active and inactive files 35 (29.2%).

5.2.2.2 Need for performance measurement of registry services

Registry personnel were asked to indicate the need for conducting performance measurement of registry services provided to clients. Table 22 summarizes their multiple responses.

Table 22: The need for conducting performance measurement of registry services (N=120)

Need for conducting performance measurement	Yes		No	
	frequency	%	frequency	%
Identify problems at early stage	97	80.8	23	19.2
Monitor performance trends	90	75.0	30	25.0
Demonstrate achievement of objectives	83	69.2	37	30.8
Raise the profile of the registry	64	53.3	56	46.7
Indicate how well resources have been used	63	52.5	57	47.5
Provide a source of publicity about achievements	37	30.8	83	69.2
Support increase in resources	32	26.7	88	73.3

Table 22 shows that the most cited need for conducting performance measurement was to identify problems at an early stage as cited by 97 (80.8%) respondents, while the least cited was to support an increase in resources as indicated by 32 (26.7%). Respondents were further asked to indicate aspects they considered in measuring the quality of services provided by their registries. Figure 17 summarizes their multiple responses.

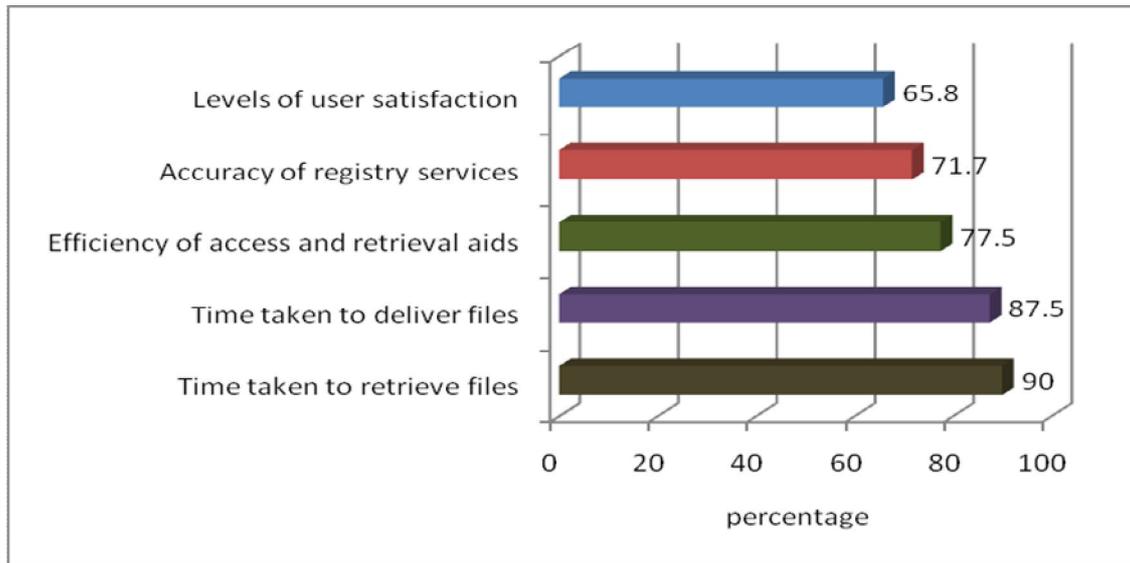


Figure 17: Aspects considered in measuring the quality of services provided by registries (N=120)

Figure 17 shows that in measuring the quality of services provided by the registry personnel, the time taken to retrieve files was the most cited aspect to be considered, as indicated by 108 (90%) respondents, followed by the time taken to deliver files to action officers as indicated by 105 (87.5%) respondents. Efficiency of access and retrieval aids was indicated by 93 (77.5%) respondents, accuracy of registry services 86 (71.7%) respondents, while levels of user satisfaction was indicated by 79 (65.8%) respondents.

5.2.3 The extent of computer applications in the management of electronic records

The third research question sought to identify the extent of computer applications in the management of electronic records in the registries. A questionnaire for registry personnel, interviews with National Archives personnel and observation covered this research question.

5.2.3.1 Data from the registry personnel

Items 96 to 110 of the questionnaire for registry personnel sought data on the existence of computers and management of electronic records. Registry personnel were asked if they had computers in their registries. Data from registry personnel covered the

existence of computers, computer networks, types of network used, and classes and formats used to create electronic records. Other aspects covered included methods used for the storage of electronic records and methods used to ensure security and the long term preservation of electronic records, computer assistance and challenges faced in the management of electronic records.

5.2.3.1.1 Existence of computers and the management of electronic records

Registry personnel were asked if they had computers in their registries. The 63 (52.5%) showed that they had computers, while fifty seven (47.5%) did not. Of the 63 (52.5%) respondents who indicated that they had computers, only 35 (55.5%) showed that their computers were networked, while 28 (45.5%) noted that their computers were not networked.

When asked about the type of network used 25 (71.4%) indicated a local area network, while 10 (28.5%) indicated a wide area network. Further, 34 (53.9%) respondents indicated that they used computers to create records, while 29 (46.1%) respondents noted that they did not. When asked about the classes of electronic records being created by the registries, the respondents provided multiple responses as summarized in Figure 18.

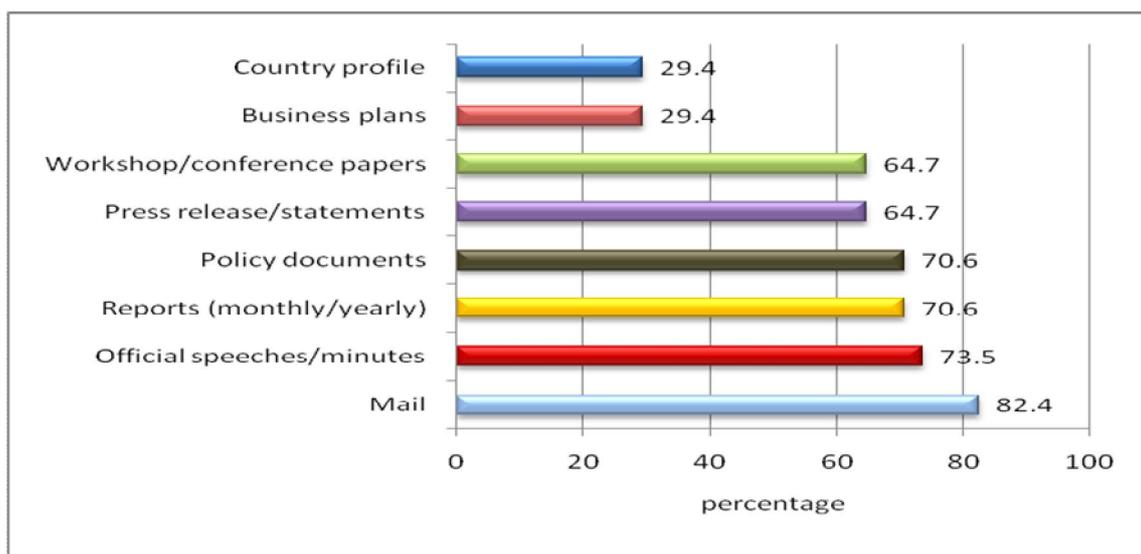


Figure 18: Classes of electronic records (N=34)

Figure 18 shows that mail was the most cited class of electronic records created by the registries as indicated by 28 (82.4%), while the least cited class of electronic records was business plans and country profiles as cited by 10 (29.4%) respondents. Respondents were also asked to indicate the formats they used to create electronic records. Figure 19 summarizes their multiple responses.

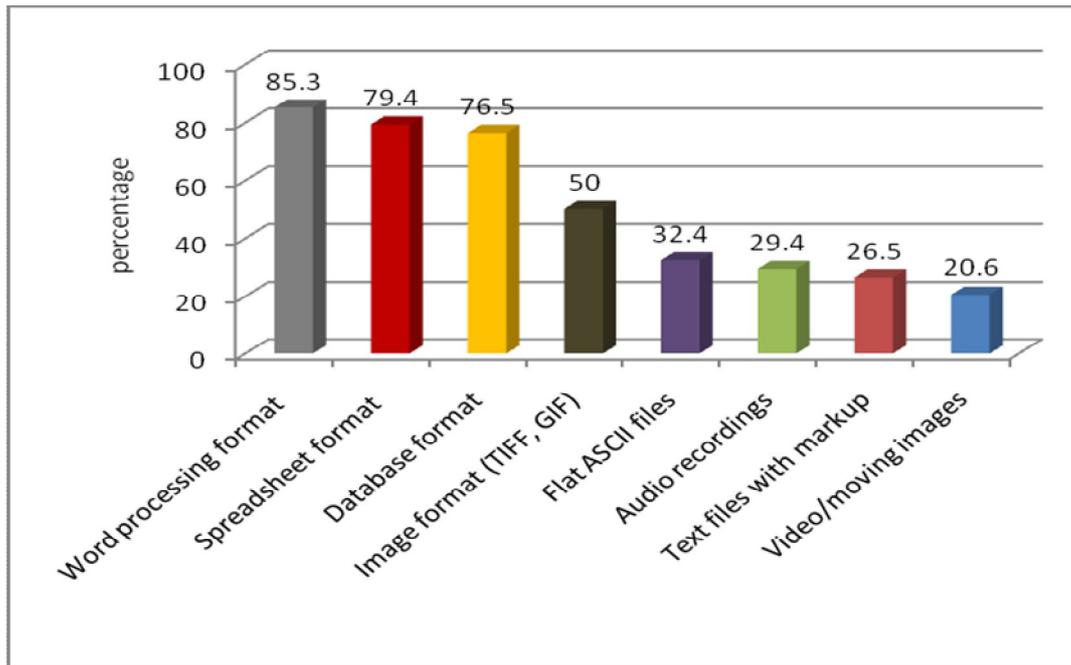


Figure 19: Formats used to create electronic records (N=34)

Figure 19 shows that the most commonly used format used to create electronic records was in word processing as indicated by 29 (85.3%), followed by spreadsheet format 27 (79.4%) and database format 26 (76.5%). Other formats used include image format 17 (50%), flat ASCII files 11 (32.4%), audio recordings 10 (29.4%), text files with mark up 9 (26.5%) and video/moving images 7 (20.6%). Respondents were also asked to indicate methods used for the storage of electronic records. Their multiple results are presented in the Table 23.

Table 23: Methods used for the storage of electronic records (N=34)

Methods used for storage of e-records	Yes		No	
	frequency	%	frequency	%
PC hard drive	26	76.5	8	23.5
CD-ROM	19	55.8	15	44.2
WORM Optical Disk	19	55.8	25	44.2
Optical Disc (rewritable)	12	35.2	22	64.8
Magnetic tape	9	26.5	25	73.5
Contract with third party for storage	9	26.5	25	73.5

Table 23 indicates that the most commonly used method for the storage of electronic records was PC hard drive as indicated by 26 (76.5%) respondents, while magnetic tape and a contract with a third party were the least cited methods as indicated by nine respondents (26.5%) respectively.

When asked about the methods used for the security of electronic records, respondents provided multiple responses as summarized in Figure 20.

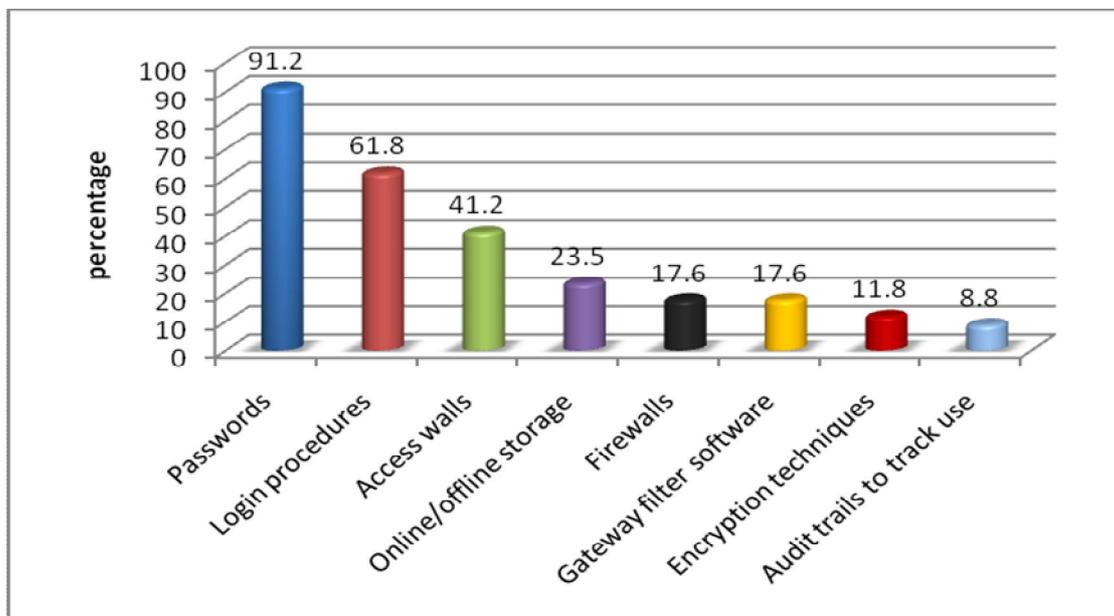


Figure 20: Methods used to ensure the security of electronic records (N=34)

Figure 20 indicates that in ensuring security of electronic records, use of passwords was the method used most as noted by 31 (91.2%) respondents, followed by login procedures 21 (61.8%) and access walls 14 (41.2%). Firewalls, gateway filter software, online/offline storage, audit trails to track use and encryption techniques were cited by few respondents indicating that these methods were not commonly used in ensuring security of electronic records. The findings of the study revealed further that government ministries were using e-mails as a means of communication. However, there was a lack of integrated approach which would ensure that information created and received electronically would be captured into the ministry's recordkeeping systems.

5.2.3.1.2 Appraisal and the long term preservation of electronic records

Electronic information becomes so fluid that not only does it become difficult to determine the active, semi-active, and inactive stages of records, but it also becomes next to impossible to determine the provenance of records. In the appraisal and disposal of electronic records, 13 (38.2%) respondents noted that they had procedures for the appraisal and disposal of electronic records, while 21 (61.8%) noted that they did not. Twelve (35.2%) noted deleting and reformatting as methods they used for the disposal of electronic records, eight (23.5%) respondents noted crushing disks and seven (20.5%) respondents noted re-writing disks. Respondents were also asked to indicate the methods used for the long term preservation of electronic records. Respondents provided multiple responses as summarized in Figure 21.

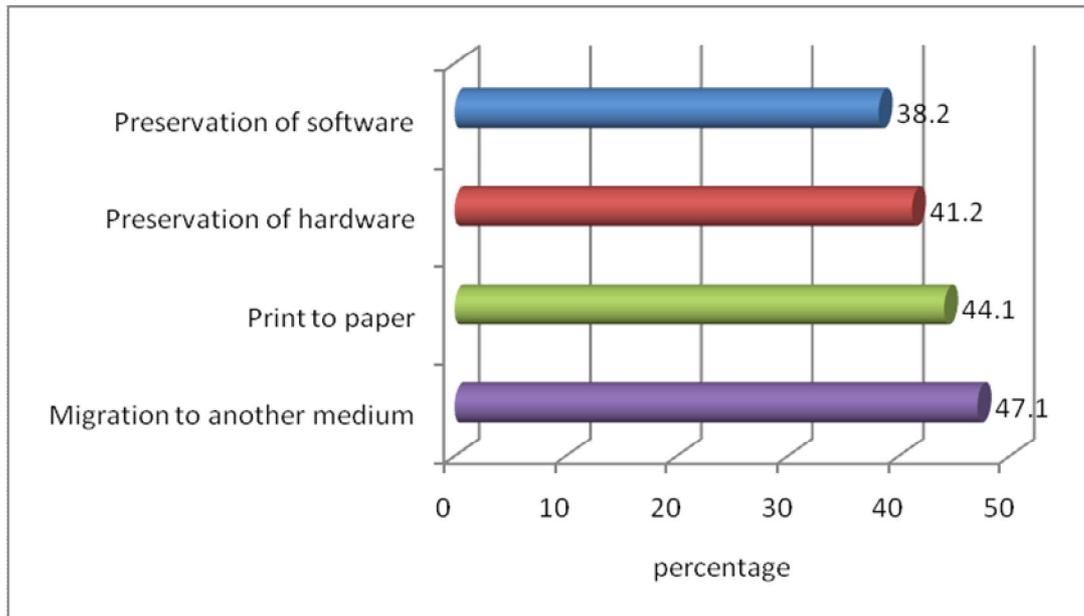


Figure 21: Methods used for the long term preservation of electronic records (N=34)

Figure 21 shows that in ensuring the long term preservation of electronic records registry personnel used a number of methods, including: migration to another medium 16 (47.1%), print to paper 15 (44.1%), preservation of hardware 14 (41.2%), and preservation of software 13 (38.2%).

5.2.3.1.3 Computer assistance and challenges faced in the management of electronic records

The rapid evolution of information technology makes the task of managing and preserving electronic records complex and costly. Part of the challenge of managing electronic records is that they are produced by a mix of information systems, which vary not only by type but by the generation of that particular technology: the mainframe, the personal computer, and the Internet. Each generation of technology brought in new systems and capabilities without displacing the older systems. Thus, organizations have to manage and preserve electronic records associated with a wide range of systems, technologies and formats.

Respondents were asked to indicate how computers assisted them in managing records. The results indicated that for those who used computers to create records, computers

provided assistance in the management of electronic records as indicated by enhanced storage 25 (73.5%), enhanced retrieval 29 (85.3%), enhanced access 27 (79.4%), enhanced use 25 (73.5%), enhanced security 24 (70.5%), enhanced preservation 22 (64.7%), enhanced communication 24 (70.5%) and report generation 25 (73.5%). However, 28 (82.4%) respondents indicated that they faced challenges in managing electronic records and provided multiple responses concerning the challenges faced as presented in Figure 22.

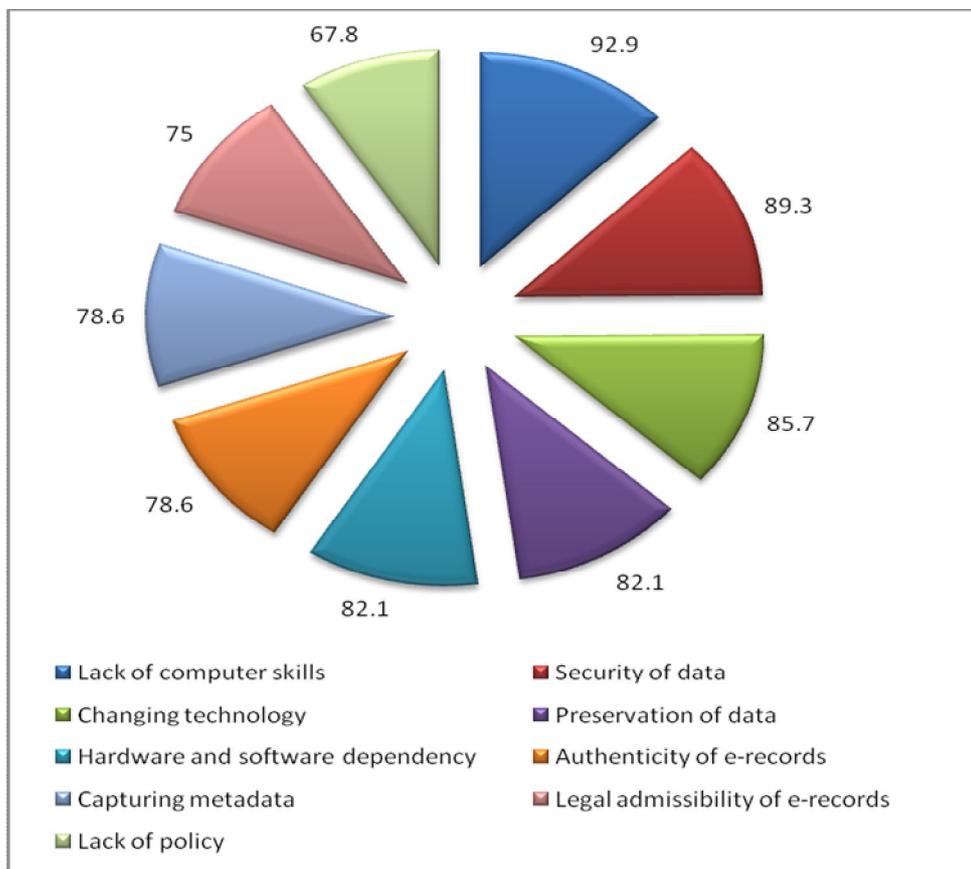


Figure 22: Challenges faced by registry personnel in managing electronic records (N=28)

Figure 22 shows that registry personnel faced a number of challenges in managing electronic records including: lack of computer skills 26 (92.9%), security of data 25 (89.3%), changing technology 24 (85.7%), preservation of data 23 (82.1%), hardware and software dependency 23 (82.1%), capturing metadata 22 (78.6%). Other challenges

indicated by respondents include authenticity of electronic records 22 (78.6%), legal admissibility of electronic records 21 (75%) and lack of policy 19 (67.8%).

5.2.3.2 Data from the National Archives personnel concerning the management of electronic records

National Archives personnel were interviewed to provide data on the management of electronic records in the registries. When asked about the number of electronic records created by the registries, five (100%) respondents noted that they had not undertaken any survey to determine the number of electronic records created. Three (60%) respondents further noted the existence of an electronic records management programme for the public sector, and registry personnel were trained on the management of electronic records. When asked about areas covered by the programme, respondents noted that the programme covered the management of electronic records during their entire life cycle and design and maintenance of electronic records systems. Transfer of electronic records deemed of archival value and identification of records with archival value which should remain with creating agencies were not cited, meaning that the programme does not cover these areas.

Further, five (100%) respondents noted that they collaborated with other government IT professionals or agencies to develop a programme for managing electronic records in the public sector. When asked to indicate agencies involved, respondents indicated three agencies; COSEKE - a Tanzania based IT Company specializing in document management, mass storage technologies, automatic data processing solutions and business process management technologies; International Records Management Trust (IRMT) - a non-profit organization developing new approaches to the problems of managing public sector records in developing countries and *Deutsche Gesellschaft für Technische Zusammenarbeit* (GTZ) - an international cooperation enterprise for sustainable development with worldwide operations. GTZ contributed to the microfilming of the German colonial records project. The process involved scanning archival material, archival networking and description, and classifications and cataloguing of archival records. Respondents were further asked to indicate areas

covered by other agencies to develop programmes for managing electronic records in the public sector. The results are presented in Table 24.

Table 24: Areas covered by other agencies in developing electronic records management programmes (N=5)

Areas covered by other agencies	Yes		No	
	frequency	%	frequency	%
Running records management training programmes	3	60.0	2	40.0
Planning and design of electronic records systems	3	60.0	2	40.0
Developing records management application software	2	40.0	3	60.0
Developing electronic records systems	2	40.0	3	60.0
Developing electronic records management standards	2	40.0	3	60.0
Developing policy for managing electronic records	1	20.0	4	80.0

Table 24 shows that the areas covered by other agencies in developing programmes for managing electronic records in the public sector include running records management training programmes as indicated by three (60%) and planning and designing of electronic records systems as indicated by three (60%) respondents. Other areas include developing records management application software as indicated by two (40%) respondents, developing electronic records systems as cited by two (40%) respondents, and developing electronic records management standards as indicated by two (40%) respondents. One (20%) respondent cited developing policy for managing electronic records.

Further, five (100%) respondents noted the challenges faced in providing advice related to the management of electronic records in the government registries. Respondents indicated a number of challenges as summarized in Table 25.

Table 25: Challenges faced by National Archives personnel in managing electronic records (N=5)

Challenges faced by National Archives personnel	Yes		No		Uncertain	
	frequency	%	frequency	%	frequency	%
Not capturing e-records when created	1	20	1	20	3	60
Lack of adequate IT training	4	80	-	-	1	20
Lack of adequate financial resources	4	80	-	-	1	20
Lack of adequate staff	4	80	-	-	1	20
Inadequacy of existing records and archives legislation	4	80	-	-	1	20
Defining the role of system administrators and records managers	4	80	-	-	1	20

Table 25 indicates that National Archivists were faced with a number of challenges in providing advice related to the management of electronic records including: lack of adequate IT training as cited by four (80%), lack of adequate financial resources as cited by four (80%), lack of adequate staff as cited by four (80%), inadequacy of existing records and archives legislation as cited by four (80%) and defining the role of systems administrators and records managers as cited by four (80%). Not capturing electronic records was cited by two (40%) respondents.

5.2.4 Provision of professional records management advice by staff of the National Archives of Tanzania

National Archives are involved in the management of public sector records, since records management is the key to performance in the public sector. The fourth research question investigated the role of National Archives of Tanzania in fostering the

management of records in the ministries. Items 1-19 of the interview schedule for National Archives personnel sought data on the provision of records management advice to the registry personnel. Registry personnel were also asked if they were provided with professional records management advice by the National Archives personnel. Items 111-116 of the questionnaire for registry personnel covered this research question.

5.2.4.1 Data from the National Archives staff

The National Archives personnel were asked to indicate the activities that described their job. Table 26 summarized their multiple responses.

Table 26: Activities in the National Archivists job description (N=5)

Activities in job description	Yes		No	
	frequency	%	frequency	%
Implementing the provision of the records and Archives Management Act	5	100	-	-
Providing advice on records disposition	5	100	-	-
Records management consultancy	5	100	-	-
Conducting records surveys and appraisal	4	80	1	20
Preparation of records retention schedules	4	80	1	20
Conducting training programmes for registry staff	4	80	1	20
Administration of records centre resources	2	40	3	60
Monitoring and evaluation	2	40	3	60

Respondents were further asked if they provided professional records management to the registry personnel. All respondents noted that they provided professional records management advice to registry personnel in government ministries. Figure 23 summarizes the multiple responses made when asked about the areas of professional records management advice.

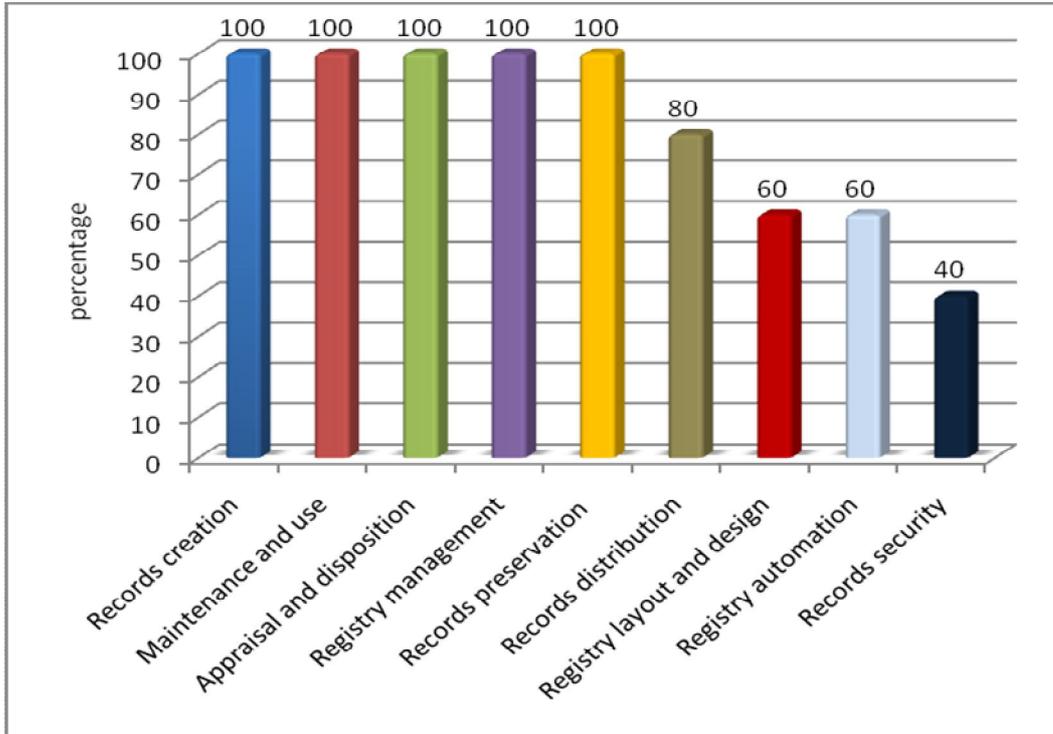


Figure 23: Areas of professional records management advice (N=5)

National Archives personnel further cited other areas of advice including: functions and activities for which records must be created, number of copies per record to be maintained in the system, procedures for registering records into the records system, maintenance of lists of records, construction of classification schedules and classifying records.

Other areas included file creation procedures, file maintenance procedures, use of controlled vocabulary in file retrieval, construction of indexes to records in the system, regulatory access requirements for records, procedures for providing access to records, identification of active records in the system and storage of active records. Other areas of advice identified by respondents included identification of semi-active records in the system, storage of semi-active records, and selection of records storage equipment, inventorying of records, construction of retention schedules, and identification of records of continuing value, transfer procedures of records to archives and destruction of records no longer needed by the system.

Respondents were also asked if they conducted records surveys in the government ministries. All respondents (5) stated that they conducted records surveys. When asked about the issues covered by the records surveys, respondents noted the following:

- quantity of records;
- storage facilities;
- media used for records storage;
- study of the existing recordkeeping systems;
- security of records;
- incidence of lost files;
- retrieval systems;
- pending letters;
- filing accuracy assessment;
- registry physical state assessment; and
- registry control tools assessment.

Respondents were also asked how frequently they conducted the records surveys, their responses varies as indicated in Figure 24.

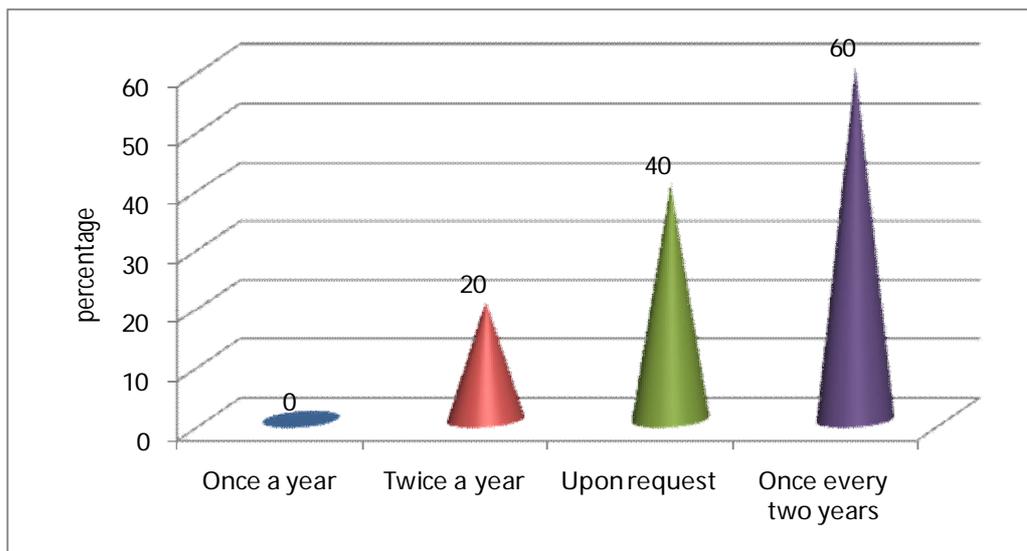


Figure 24: Frequency of conducting records surveys (N=5)

Figure 24 shows that three (60%) respondents indicated that they conducted records surveys once every two years, while two (40%) cited upon request, and one (20%) cited twice a year. The results indicated that the records surveys were conducted irregularly in the government registries as shown by the varied responses from the National Archive personnel. From observation it was also clear that the records survey had not been carried out, which led to the congestion of files and boxes in the registries.

Four (80%) respondents showed that they conducted records appraisal in government ministries. When asked about the criteria used when conducting appraisals in government registries, respondents cited the criteria as presented in Figure 25. Multiple responses were possible.

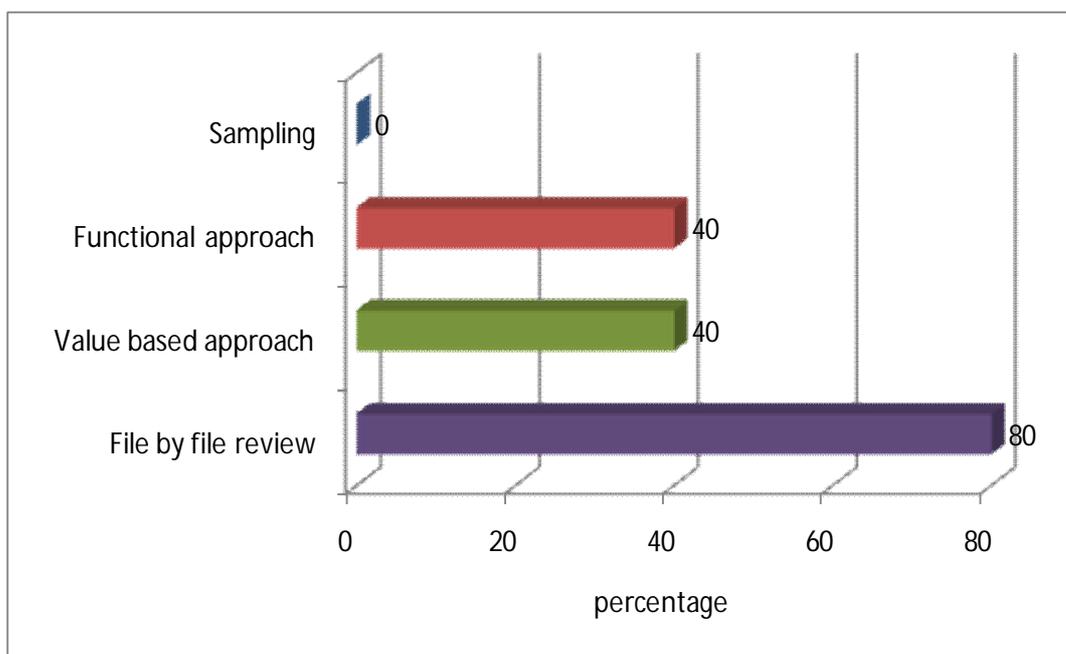


Figure 25: Criteria used when conducting appraisals (N=5)

Figure 25 shows that the most commonly used criteria used when conducting appraisals in government registries were file by file reviews as cited by four (80%), followed by a value based and functional approach as indicated by two (40%) respondents respectively. The sampling method was not cited, indicating that the method was not used when

conducting appraisals. Five (100%) respondents further noted that they assisted registry staff in developing records retention schedules and provided assistance on disposing of records with no continuing value.

Respondents were asked on the disposition methods they advised registry staff to use for sensitive records. The responses were: shredding used by three, burning in ordinary fires employed by two, and recycling and incineration utilized by one. When asked about the methods they advised registry staff to use for the disposition of non-sensitive records, shredding was used by four respondents, recycling was cited by three, incineration and burning was utilized by one each respectively. Five (100%) respondents indicated that they advised registry staff to consider security precautions when disposing of records. Respondents indicated “when transferring records to disposition facilities” and “when disposing of confidential records” as situations registry staff were advised to consider when disposing of records.

When asked about the implementation of advice, two (40%) noted that registry personnel implemented the advice relating to the management of their records provided by the National Archives staff, while three (60%) said they did not. Two (40%) respondents who noted that registry personnel implemented the records management advice were asked if the advice enhanced public accountability. Respondents noted that the advice:

- facilitated easy access and retrieval of records which enhanced timely decision-making as a prerequisite for accountability;
- improved service delivery;
- provided accurate and reliable information; and
- facilitated good governance.

Three (60%) respondents who noted that the registry personnel did not implement the records management advice were asked to explain the reasons for non-implementation of advice. Table 27 summarizes their multiple responses.

Table 27: Reasons for non-implementation of advice provided to registry personnel (N=5)

Reasons for non-implementation of advice	Yes		No	
	frequency	%	frequency	%
Lack of trained registry staff	3	60.0	2	40.0
Lack of support from senior officers	3	60.0	2	40.0
Low priority accorded to records management	3	60.0	2	40.0
Lack of regular follow ups on records management practices	3	60.0	2	40.0
Inadequacies in existing records and archives legislation	2	40.0	3	60.0

Table 27 indicates that the main reasons for non-implementation of records management advice provided to registry personnel were lack of trained registry staff as cited by three, lack of support from senior officers as cited by three, low priority accorded to records management as cited by three, lack of regular follow ups on records management practices as cited by three and inadequacies in existing records and archives legislation as cited by two.

5.2.4.2 Data from registry personnel

Registry personnel were asked to provide data on the professional records management advice they received from the National Archives staff. Respondents were asked if they were aware of the existence of the National Archives of Tanzania. The 115 (95.8%) respondents noted that they were aware of the existence of the National Archives of Tanzania, whereas only five (4.2%) respondents noted that they were not aware. When asked if they received professional records management advice from the National Archives staff, 98 (81.7%) noted that they received professional records management advice, while 22 (18.3%) noted that they did not. Respondents were asked to indicate the areas of professional records advice provided by the National Archives of Tanzania. They provided multiple responses as summarized in Figure 26.

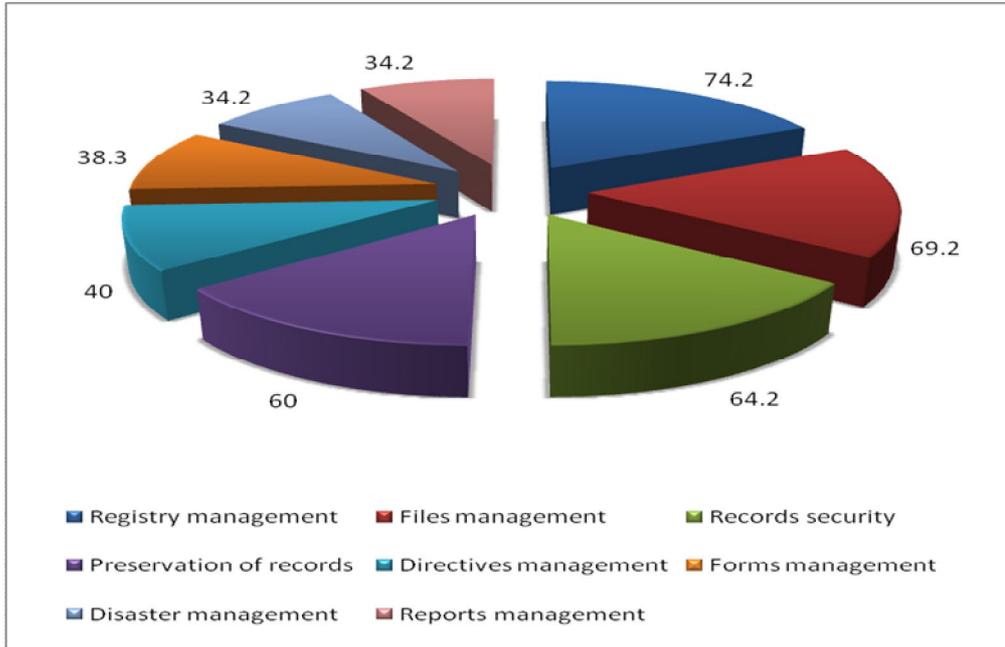


Figure 26: Areas of professional records management advice identified by the registry personnel (N=120)

When asked about the means they used to contact the National Archives staff when seeking professional records management advice, respondents cited multiple responses as summarized in Figure 27.

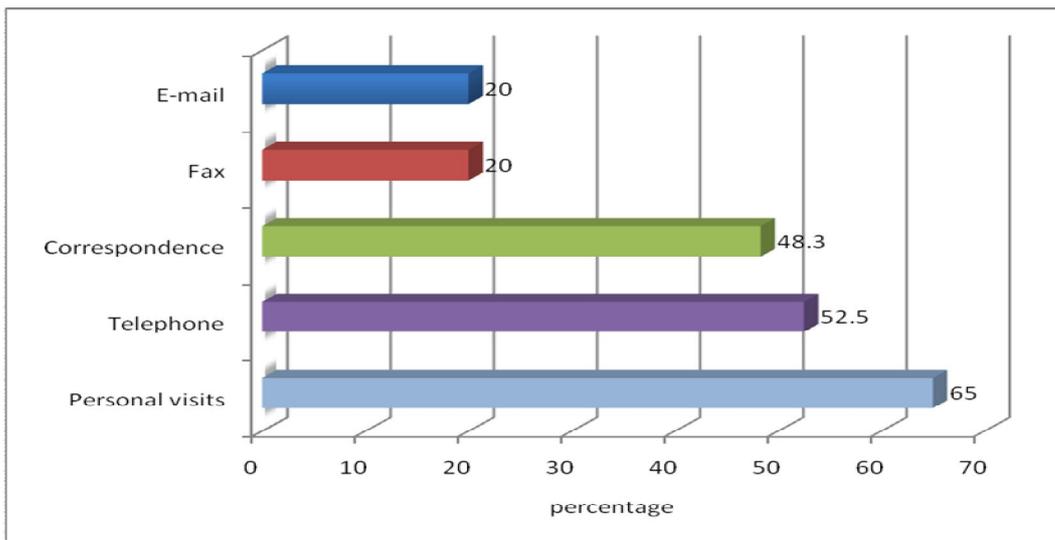


Figure 27: Means used to contact National Archives staff (N=120)

Figure 27 shows that the most cited means used by the registry personnel to contact the National Archives staff was personal visits 78 (65%), followed by telephone 63 (52.5%). Other means used include correspondence 58 (48.3%), fax 24 (20%) and e-mail 24 (20%).

Respondents were further asked if they faced any problems when seeking professional records management advice from the National Archives staff. Seventy five (62.5%) stated that they faced problems when seeking advice, while 45 (37.5%) noted that they did not. When asked to indicate the problems faced, respondents stated the following: delays in responding 37 (49.3%), uncooperative staff 20 (26.7%) and non-response 18 (24%). During interviews registry personnel felt that they were considered as lower grade employees who had not receive training in records management, thus contacting the National Archives personnel was really difficult.

5.2.4.3 Data from senior ministerial officials

Senior ministerial officials were also asked if they collaborated with the National Archives of Tanzania to enhance recordkeeping in their ministries. Twenty four (92.3%) respondents noted that they collaborated with the National Archives of Tanzania, while two (7.7%) said they did not. Senior ministerial officials indicated the delays in response when they sent queries on records management advice to the National Archives. Senior ministerial officials cited that delays in response were due to a shortage of staff in the National Archives of Tanzania.

5.2.5 The role of records and archives legislation in managing public sector records

The fifth research question sought to identify the role of Records and Archives Management Act No. 3 of 2002. The Act established that the Records and Archives Management Department (RAMD) must provide for the proper administration and better management of public records.

5.2.5.1 Responsibilities of the Director of the National Archives of Tanzania

National Archives personnel indicated that the Act stated the major responsibilities of the Director of the National Archives of Tanzania. When asked to indicate the

responsibilities of the Director of the National Archives of Tanzania with regard to the management of public sector records, respondents noted the following:

- examine public records and advise on their care;
- conduct records surveys and appraisals;
- require the transfer to his custody, public records with archival value;
- advise on preparation of records retention schedules;
- advise on records disposition; and
- provide records management training.

The findings of the study shows that section 10 of the Act makes the Director RAMD responsible for the coordination of recordkeeping work in public offices, and in particular for:

- providing professional assistance, advice and guidance on the establishment and management of filing systems;
- establishing and ensuring compliance with standards for the management of public records;
- making arrangements for the necessary training of records staff in public offices;
- drawing up general retention and disposal schedules for approval and issue by the Ministry; and
- agreeing with the heads of public offices on retention and disposal schedules relating to records specific to each office for approval and issue by the Minister.

5.2.5.2 Responsibilities of the records creating unit

Respondents were further asked if the Records and Archives Management Act stated the responsibilities of records creating units in managing their records. All respondents noted that the Act stated the responsibilities of the records creating unit. Respondents noted that part III sections 9 and 10 of the Act stated the responsibility of heads of public and parastatal offices for records. Section 9 stated that heads of public offices shall be responsible for creating and maintaining adequate documentation of the functions and activities of their respective public offices through the establishment of good recordkeeping practices, including:

- creating and managing current records within-appropriate filing systems;
- drafting retention and disposal schedules relating to records specific to each public office, with the assistance of the Director of the Department;
- implementing retention and disposal schedules;
- transferring semi-current records into the custody of the Director, except in so far as they may remain classified as confidential or secret on grounds of:
 - national security;
 - maintenance of public order;
 - safeguarding the revenue; or
 - protection of personal privacy,
- appointing a qualified officer who shall be a coordinator of records management activities in the department or ministry.

Whereas, section 10 of the Act stated that heads of public offices shall be responsible for co-operation with the Director in the management of semi-current records and in particular for:

- maintaining the integrity of all semi-current records;
- approving access by third parties, other than authorized personnel of the Department and of the public office which created them or their successor in function;
- maintaining semi-current records; and
- implementing retention and disposal schedules relating to semi-current records and transferring records of enduring value into the custody of the Director or to such other place of deposit.

5.2.5.3 Continuity of records care

Respondents noted that the Records and Archives Management Act stressed the continuity of records care during their entire life cycle through Part III, Sections 9, 10, 11, 12 and 13 of the Act. Respondents noted that the Act established partnerships between records creating units and the Director of the National Archives of Tanzania in managing records during their entire life cycle. When asked if the Act covered the

management of both paper and non-paper records, respondents noted that the Act covered the management of paper records only. One respondent noted that the management of electronic records such as electronic mail which resulted from government business had its own circular.

Further, all respondents noted the Records and Archives Management Act did not give the Director of the National Archives of Tanzania authority to collect and disseminate information on technological development relating to records management in public agencies.

5.2.5.4 Revision, strengths and weaknesses of the Records and Archives Management Act

All respondents also noted that the Act has not yet been revised since its enactment in 2002. When asked about the strength of the Act, all respondents noted that the Act had strengths in relation to the management of public records. When asked to state the strengths, they highlighted the following:

- the Act established the Records and Archives Management Department (RAMD) in order to provide for the proper administration and better management of public records and archives;
- the Act provided a guide to proper records management throughout the records life cycle;
- the Act set responsibilities of the Director, responsibilities of public offices; and
- the Act emphasized access to public records.

When asked about the weaknesses of the Act, the respondents noted that despite the fact that the Act adopted a good number of critical and basic records management principles it however failed to cater for the management of electronic records. Asked about the statements to be introduced in the current Act to enhance the management of public records, respondents stated that the management of electronic records and access to public records needed to be strengthened by the Act.

5.2.5.5 Challenges faced using the Act

When asked about the challenges faced using the Records and Archives Management Act, all respondents indicated that they faced challenges using the Act to manage public records in the Tanzania public service. Table 28 summarizes the multiple responses made when respondents were asked to indicate the challenges they faced.

Table 28: Challenges faced using the Act (N=5)

Challenges faced using the Act	Yes		No	
	frequency	%	frequency	%
Inadequate professional staff to implement the provisions of the Act	3	60	2	40
Insufficient government funding	3	60	2	40
Insufficient recognition of records management in the public service	3	60	2	40
Inadequate cooperation from government officers	2	40	3	60
No clear records management strategic direction	1	20	4	80

Table 28 shows that the challenges faced by the National Archives personnel using the Records and Archives Management Act were: inadequate professional staff to implement the Act, cited by three (60%), insufficient government funding, cited by three (60%), insufficient recognition of records management in the public service, cited by three (60%), inadequate cooperation from government officers, cited by two (40%) and no clear records management strategic direction, cited by one (20%).

5.2.6 Factors that contribute to the current records management practices in the government ministries

The sixth research question investigated the factors that contributed to the current records management practices in the government ministries in Tanzania. Data were sought from the interview schedule with senior ministerial officials and the National Archives personnel and observation checklist.

5.2.6.1 Data from senior ministerial officials

Senior ministerial officials were asked about the factors that contributed to the current records management practices in the government ministries and the challenges they faced in managing records in the ministries. Twenty six (100%) respondents further noted that they faced challenges in managing records in their ministries. The respondents identified a number of challenges, noting that these challenges were the main factors contributing to the current state of recordkeeping in the ministries. The challenges identified are summarized in Table 29.

Table 29: Challenges faced in managing records in the government ministries (N=26)

Challenges faced in managing records	Yes		No	
	frequency	%	frequency	%
Lack of records management policy	22	84.6	4	15.4
Inadequate trained registry staff	22	84.6	4	15.4
Inappropriate storage supplies and equipment	19	73.1	7	26.9
Inadequate funding	18	69.2	8	30.8
Lack of senior management support	5	19.2	21	80.8

Table 29 shows the challenges faced in managing records in the government ministries including lack of records management policy 22 (84.6%), inadequate trained registry staff 22 (84.6%), inappropriate storage supplies and equipment 19 (69.2%). Lack of senior management support was cited by five (19.2%).

Under the “other” category, senior ministerial officials indicated that the National Archives did not have enough personnel to monitor or carry out inspections, thus making it difficult to provide records management assistance to all government registries. One senior official stated that they sent a query to the National Archives asking for professional records management advice, but it took more than two months to receive a response from National Archives staff.

Respondents were further asked if they had taken any steps to address the challenges faced in managing records. Twenty five (96.2%) respondents indicated that the ministries have taken steps to address the challenges. Table 30 summarizes the results when the respondents were asked about the steps taken.

Table 30: Steps taken to address the challenges faced in managing records (N=26)

Steps taken to address the challenges	Number indicating steps	Percentage
Training of registry staff	22	84.6
Adopting computerization	14	53.8
Enhancing contacts with the Tanzania National Archives	13	50.0
Seeking senior management support	13	50.0
Increased registry funding	8	30.8
Marketing records management	3	11.5

Table 30 shows that the most cited step taken to address the challenges faced in managing records was the training of registry staff as indicated by 22 (84.6%), while the least cited step was marketing records management as stated by 3 (11.5%).

5.2.6.2 Data from National Archives personnel

The National Archives personnel noted the factors which contributed to the current state of the records management. These included the negative attitudes and lack of awareness of the importance of managing records by some of the senior staff, plus little status accorded to registry personnel as most of the registry staff were once cleaners or messengers and were eventually promoted to records managers. All five (100%) respondents further noted the lack of records management policy. The overall records management policy for the public service was still at the draft stage. Thus, none of the ministries surveyed had a records management policy to ensure effective management of records.

5.2.6.3 Data from observation checklist

Through the use of an observation checklist, the researcher was able to identify a number of factors that contributed to the current state of the records management

practices in the government ministries including: records appraisal which had not been carried out, which led to the congestion of files in the registries and in some ministries records were stored on the floor. Through observation the researcher also revealed that the records disposal was not carried out, heavily congested offices and store rooms were an indication that not many transfers of records had taken place in the last few years. Other factors include inadequate records preservation, such as broken windows in some registries where records were being stored on the floor and destroyed by rain. Further, the existence of very few computers in some registries indicated the non-existence of electronic records management.

Another factor which has contributed to current records management practices was the lack of training for registry personnel in the government ministries. The result is that the profile of the records management function is low and the activity is accorded a low priority in the allocation of resources. Further, the researcher spent about four hours at one registry and on several occasions observed one registry member who had just transferred to the registry (as noted by other registry personnel). The staff member was supposed to enter details of the employee on a database. The person was observed working on the only computer which existed in that registry and instead of entering data in the computer, was observed listening to loud music. The person was also observed exercising authority over access to the computer by not allowing anyone to sit at that table. Registry personnel stated that the case was also common to other government registries. They further said that government registries were regarded as a dumping ground for problematic/non-performance employees.

5.2.7 Levels of skills and training of registry personnel in the government ministries

Staff responsible for records management should have the appropriate skills and knowledge needed to achieve the aims of the records management programme. The seventh research question sought data on levels of skills and training of registry personnel in the government ministries in Tanzania. The survey of registry personnel, interviews with senior ministerial officials and the Tanzania Public Service College staff covered this research question.

5.2.7.1 Data from registry personnel

Items 117-123 of the questionnaire for registry personnel sought data on levels of skills and training in records management. Registry personnel were asked if they had received training in records management. Eighty (66.7%) respondents indicated that they had received training in records management while 40 (33.3%) had not. Respondents who noted that they received training in records management were asked to indicate the level of professional training in records management received, the results are summarized in Figure 28.

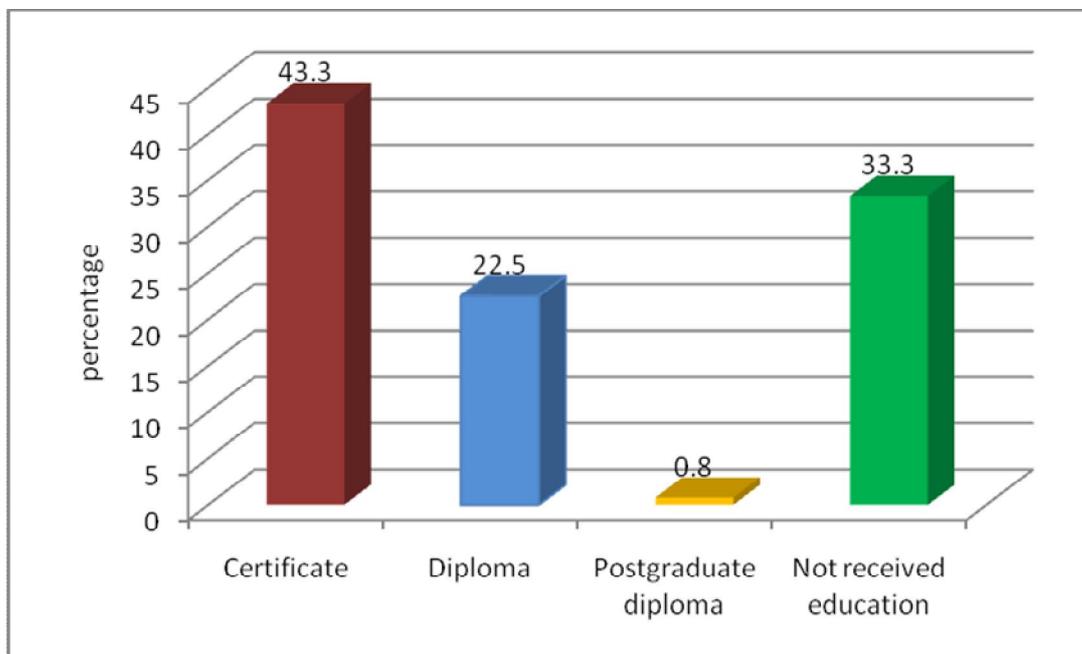


Figure 28: The level of professional training in records management received by registry personnel (N=120)

Figure 28 shows that the majority of registry personnel had received training at certificate level as indicated by 52 (43.3%) respondents, while 27 (22.5%) received training at diploma level, and one (0.8%) received training at postgraduate diploma level. Forty (33.3%) had not received training in records management. Respondents were further asked whether the ministries ran courses to update knowledge and skills, 88 (73.3%) respondents noted that the ministries ran courses to update knowledge and skills.

When asked if they had attended any records management course ran by the ministry in the last five years. Only 55 (45.8%) respondents noted that they had attended records management courses while 65 (54.2%) had not. Respondents indicated that they had not attended any training in records management, not even a short course. These respondents stated that they were once cleaners, messengers and typists and promoted to work in the registries. One of the respondents told the researcher, while she was distributing the questionnaires, that she was not sure if she would be able to fill in the questionnaire because she did not have any knowledge of records management. Respondents further said that they based their work on experience.

In another instance when distributing questionnaires, registry supervisors had to identify registry personnel who had received training at certificate or diploma level to fill in the questionnaires. Registry supervisors said that those who had not received training in records management would not be able to respond to some questions. In such instances, the researcher decided to conduct interviews with registry personnel in order to include both those who had received training in records management and those who had not.

Fifty five (45.8%) respondents who indicated that they had attended records management courses ran by the ministries were asked to indicate the year, nature and institution that ran courses. Respondents indicated the courses attended from 2003 to 2007 as presented below:

- registry management;
- basic records management;
- records management vocational qualification;
- special records management;
- effective records management;
- modern records management;
- higher records management;
- information and electronic records management; and
- management programme for supervisory and clerical officers.

Respondents indicated Tanzania Public Service College (TPSC), National Archives of Tanzania, Eastern and Southern Africa Management Institute (ESAMI), and Global Management Centre as the institutions which ran short courses for registry personnel. Registry personnel were further asked to identify areas in which they had the greatest need for additional training in records management. Respondents indicated multiple responses as summarized in Table 31.

Table 31: Areas for additional training in records management (N=120)

Areas for additional training in records management	Yes		No	
	frequency	%	frequency	%
Computer applications in records management	108	90.0	12	10.0
Managing electronic records during their life cycle	104	86.7	16	13.3
Computer skills	82	68.3	38	31.7
Managing paper records during their entire life cycle	78	65.0	42	35.0
Role of archival institutions in managing public records	75	62.5	45	37.5
Changing role of registry	57	47.5	63	52.5
User needs analysis	51	42.5	69	57.5

Table 31 shows that the most cited area identified for additional training was computer applications in records management 108 (90%), followed by managing electronic records during their life cycle 104 (86.7%). Eighty two (68.3%) respondents further indicated additional training in computer skills, 78 (65%) indicated managing paper records during their entire life cycle, 75 (62.5%) indicated training on the role of archival institutions in managing public records, 57 (47.5%) respondents indicated the changing role of registry, whereas the least cited need was user needs analysis, with a score of 51 (42.5%). Respondents were further asked to identify the method which would be useful in meeting their training needs in records management. Table 32 summarizes their multiple responses.

Table 32: Methods to address registry personnel training needs in records management (N=120)

Methods to address training needs in records management	Number indicating method	Percentage
Training in records/archives schools and colleges	116	96.7
Seminars and workshops	108	90.0
On the job training	79	65.8
Internships	52	43.3
Publications in records management	50	41.7
Use of consultants	49	40.8

Table 32 shows that the most cited method to be used in meeting registry personnel training needs was training in records/archives schools and colleges, as indicated by 116 (96.7%) respondents, while the least cited method was the use of consultants as cited by 49 (40.8%) respondents.

5.2.7.2 Data from senior ministerial officials

Senior ministerial officials were interviewed to provide data on levels of skills and training of registry personnel. Items 21-23 of the interview schedule for senior ministerial officials sought to determine if ministries had a training needs assessment programme for registry personnel, if ministries ran courses to update the knowledge and skills of registry personnel and if they had a training policy for registry personnel. Twenty three (88.5%) noted that they had a training needs assessment programme for registry personnel, while three (11.5%) noted that they did not. Twenty five (96.2%) answered that they ran courses to update the knowledge and skills of registry personnel, while one (3.8%) said they did not. Two (7.7%) further stated that they had a training policy for registry personnel, while 24 (92.3%) said that they did not.

5.2.7.3 Data from Tanzania Public Service College staff

Three (60%) of five targeted staff members from the records management department of the Tanzania Public Service College were interviewed to provide data on the training of registry personnel in government ministries. Respondents indicated that their college

provides training in records management. When asked about the courses offered in the college, respondent stated that the college offered a two year diploma course, a one year certificate course and foundation level courses. All respondents indicated that the college ran short courses in records management to update knowledge and skills of registry personnel. The courses indicated were:

- higher records management;
- modern records management skills;
- electronic records management;
- office management;
- registry management; and
- leadership skills.

When asked about the areas that the courses covered, they provided the following course contents:

- principles of records and archives management;
- preservation and conservation of information materials;
- office procedure and management practice;
- communication skills;
- information in society;
- civics and public service ethics;
- introduction to computers;
- registry management;
- customer care and interpersonal skills;
- principles and practice of management;
- managing land records;
- managing medical records;
- electronic records management;
- managing legal records;
- retention and disposal schedules; and
- baseline survey and registry procedures.

Respondents were further asked if the introduction of PSRP measures had influenced training in records management. Respondents highlighted the fact that the Tanzania Public Service College was a product and part of the ongoing PSRP. Respondents noted that the College was established to provide a comprehensive training facility for public service due to the changing needs of the public sector resulting from the reforms. The College was established to fill the existing training gaps in the public sector. Respondents stated that given the fact that records are the backbone of all institutions; the College has an obligation to ensure a constant supply of qualified staff in the public service.

5.2.8 The Public Service Reform Programme and the current records management practices in government ministries

The eighth research question sought to identify the extent to which the introduction of the public service reform programme influenced the current records management practices in the government ministries. Items 124 – 134 of the questionnaire for registry personnel, items 8 - 20 of interview schedule for senior ministerial officials, and items 50 – 60 of the interview schedule for National Archives personnel covered this research question.

5.2.8.1 Data from the registry personnel

Registry personnel were asked if the introduction of the PSRP influenced recordkeeping practices in the government ministries. Sixty seven (55.8%) respondents showed that the introduction of the PSRP influenced the recordkeeping practices, while 53 (44.2%) replied in the negative. When asked to explain ways in which the introduction of the PSRP had influenced recordkeeping practices, respondents provided multiple responses:

- facilitated decongestion and restructuring of records;
- introduced the new keyword filing system;
- enhanced proper recordkeeping; and
- facilitated the introduction of records management courses at certificate and diploma levels.

The 53 (44.2%) respondents, who replied in the negative stated that they did not see any influence made by the PSRP on the current recordkeeping practices. When asked

whether the current recordkeeping supported the PSRP, 94 (78.3%) respondents noted that the current recordkeeping did support the PRSP, while 26 (21.7%) said it did not. Asked about the type of records that supported the public service reform objectives, respondents provided the following multiple responses as summarized in Figure 29.

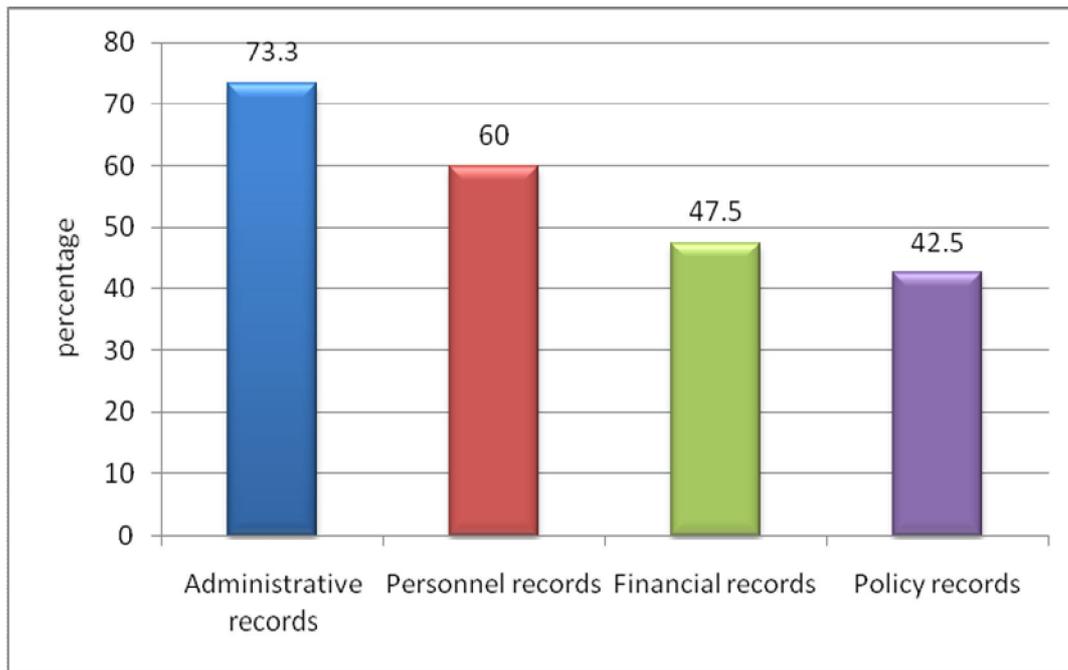


Figure 29: Types of records that support the public service reform objectives (N=120)

Figure 29 shows that the most cited type of records that supported the public service reform objectives was administrative records as indicated by 88 (73.3%), while the least cited was policy records as indicated by 51 (42.5%) respondents.

Respondents were further asked if they considered records management as the key to fostering accountability. The 112 (93.3%) respondents noted records management as the key to fostering accountability, while eight (6.7%) replied in the negative. Respondents provided multiple responses on how records management was a key to fostering accountability including:

- every individual/organization depends on records. Without the records the public might not have its rights;

- records are created in an organization to support and manage work, to record why, when, where, in what capacity and by whom particular actions were carried out;
- records served as evidence that an event or transaction occurred;
- records facilitated the flow of work;
- records are used for references of all activities carried out in the offices;
- records are key to the operation of the organization;
- all activities depend on the availability of records, one cannot hold someone accountable without having good recordkeeping;
- without records one cannot trace various activities carried out in the office;
- proper access and well managed records serve as a basis for proper and timely decision-making processes;
- records supported all communication and decision-making and enables staff to recall and prove the details of what was done and what was decided;
- proper records management facilitated easy retrieval of records when needed and protected loss of information; and
- well managed records enhanced transparency and public awareness.

When asked whether the current records management practices undermined transparency in their ministries, 19 (15.8%) said “yes”, while 101 (84.2%) said “no”. Respondents who said the current records management practices undermined transparency, provided the following reasons:

- lack of access to records: public demand access to their files, however the office did not allow public access to records;
- ministries were supposed to serve the public as such they were supposed to avail information in a transparent way; and
- difficulties in locating files: time retrieval required was five minutes, however it may take up to four hours to locate the file, or some files were on issue to officers who were not in their offices, thus undermining transparency.

Eighty four (70%) respondents further stated that although records management was essential to fostering accountability, the current records management undermined accountability in their ministries. Respondents who noted that the current recordkeeping undermined accountability were asked to provide reasons. The answers from the respondents included:

- poor working conditions hinder proper recordkeeping;
- lack of ethics in records management;
- delays by action officers in dealing with files;
- bureaucratic working conditions; and
- delayed decision-making due to poorly managed records, leads to difficulties in meeting citizens needs.

5.2.8.2 Data from senior ministerial officials

Senior ministerial officials were also asked if the introduction of the PSRP influenced current recordkeeping practices. Twenty (76.9%) said "yes", while six (23.1%) said "no". Respondents who said "yes" provided the following reasons:

- records management was made one of the components of the PSRP;
- The PSRP, phase one, established records management courses at certificate and diploma levels at the Tanzania Public Service College. This facilitated the training of registry staff;
- Since the introduction of the PSRP, a decongestion exercise had taken place in some ministries;
- The PSRP emphasized electronic records management in some ministries;
- The PSRP introduced a keyword filing system;
- The PSRP facilitated proper records management in some ministries since the introduction of a keyword filing system; and
- The PSRP facilitated some improvements in the provision of services to the public, since records were easily located and retrieved.

Further, six (23%) respondents noted that the current recordkeeping practices supported the PSRP objectives, while 20 (77%) said it did not. Respondents who said the current records management supported the PSRP objectives noted the following:

- current records management enhanced public service delivery, which was one of the objectives of the PSRP;
- current records management enhanced public accountability; and
- systematic records management enhanced timely decision making.

Respondents who said that current recordkeeping practices did not support the PSRP objectives noted that:

- records management practices in some ministries were still very weak;
- the old and poor recordkeeping practices and systems did not support the PSRP objectives;
- there was a lack of adequate supplies and equipment in the recordkeeping section;
- most of the registries did not have computers to perform their duties more effectively;
- registry personnel were not trained to meet the requirements of the PSRP; and
- records management section needed to be equipped with people with right skills to support the public sector reform objectives.

When asked whether records management was key to fostering accountability, 25 (96.2%) respondents of 26 answered in the affirmative, and they provided multiple responses:

- records are important for decision-making;
- proper decisions and public accountability cannot be achieved if records were poorly managed;
- proper keeping of records facilitated the proper work in the ministries;
- records are kept and used for evaluating the level/quality of service delivered to the society;

- records are the backbone of every activity of the organization;
- one cannot hold someone accountable if records are poorly managed;
- records are tools for reference. Well kept records provide adequate reference in the ministry;
- auditors needed a track of information from the past and present to advise on decision-making. This can only happen if records were well managed;
- proper recordkeeping depended upon having the right information/records at the right time; and
- well managed records facilitated the public service delivery.

Ten (38.5%) respondents noted that the current recordkeeping practices undermined transparency, while sixteen (61.5%) said the current recordkeeping practices did not undermine transparency. Eight (30.8%) said current recordkeeping undermined accountability, while 18 (69.2%) said it did not undermine accountability. Respondents indicated that confidentiality was still very high in the public sector, to such an extent that public servants were not allowed to disclose some important information to the public.

5.2.8.3 Data from National Archives personnel

Respondents from the National Archives noted that the introduction of the PSRP influenced recordkeeping practices. When asked to explain the ways in which the introduction of the PSRP influenced recordkeeping practices, they provided multiple reasons:

- records management was a sub-component of the PSRP;
- the installation of modern records and archives management systems and procedures in some ministries enhanced efficiency and effectiveness of the registry operations;
- since the reform advocated accountability and service delivery, it had become necessary to improve recordkeeping practices;
- introduction of new keyword filing system;

- introduction of Tanzania Public Service College and training programme on records management for short courses, certificate and diploma courses; and
- decongestion and restructuring of records management systems in some ministries.

Respondents further noted that the current recordkeeping practices supported the public sector reform objectives. When asked how the current records management supported public sector reform objectives, respondents provided the following reasons:

- it has enhanced information flow in the public - a prerequisite for attaining public sector reform programme objectives; and
- improved service delivery by making public records and information available when needed.

All respondents further considered records management as being key to fostering accountability. The reasons provided were:

- well managed records provided evidence of the activities;
- proper records management facilitated holding officials accountable for their actions;
- without proper recordkeeping there will be no accountability since information required for decision-making will not be available, or if available will be inaccurate; and
- well managed records facilitated timely decision-making.

Further, all respondents indicated that the current recordkeeping systems did not undermine transparency and accountability in the ministries. These responses were contrary to what was stated by the registry personnel.

5.3 Recommendations by respondents

Registry personnel, National Archives personnel and senior ministerial officials were asked to provide recommendations to address the issues identified which affected records management practices in the government ministries.

5.3.1 Recommendations by registry personnel

Item 134 of the questionnaire for registry personnel required them to provide additional information to address the records management issues in the government ministries and suggest ways which would improve the current recordkeeping practices and enhance accountability in the public sector. Registry personnel provided the following recommendations:

- motivation of registry staff in the form of training to update skills and knowledge;
- enhancing records management training for registry personnel from certificate to degree levels;
- training in the form of workshops and seminars in order to enhance performance, skills and knowledge;
- training in electronic records management in order to cope with the advancement of science and technology;
- recognition of registry personnel;
- improving the working environment;
- having a records centre for storage of semi-current records;
- sensitization of all senior ministerial officials on the importance of records and records managers;
- provision of modern equipment and supplies for the storage of records;
- computerize registry operations to facilitate the flow of work in the registries;
- forming a records management committee;
- appointing a director for records management to all ministries; and
- provision of short visits to other registries outside the country to learn their registry operations.

5.3.2 Recommendations by senior ministerial officials

Item 30 of the interview schedule for senior ministerial officials required them to provide recommendations to address the issues identified which affected the recordkeeping practices in the government ministries and suggest ways which would enhance the management of recordkeeping practices. Respondents provide the following recommendations:

- train registry staff in order to equip them with adequate skills and knowledge;
- establish a records management policy which will guide the registry management in the ministry;
- computerize registry operations to facilitate the flow of work in the registries, as computerization will reduce cases of missing files or misallocation of files;
- provide adequate and modern registry equipment and supplies;
- establish a capacity building plan to improve registry assistants capacity;
- provide education and training in records management at university level;
- develop a scheme of service for registry personnel;
- motivate registry personnel;
- develop electronic records management systems;
- increase registry funding;
- train staff in electronic records management;
- establish records centres to reduce the congestion of records in the registries; and
- enhance safety and health of registry personnel through the provision of dust coats and masks.

5.3.3 Recommendations by National Archives personnel

Item 61 of the interview schedule for National Archivists required them to provide recommendations to address the issues identified which affected the recordkeeping practices in the government ministries and suggest ways which would enhance the management of recordkeeping practices. Respondents provided the following recommendations:

- government should allocate a dedicated budget in order to enhance the implementation of the records management programme;
- provide a tailor-made training programme for RAMD staff or secondment of staff to various institutions overseas where electronic records management principles and practices are already established;
- revise the existing records and archives management legislation;
- comply with the newly installed records management practices;
- increase the number of trained staff and their remuneration in public offices; and

- monitor and evaluate records management practices in the government ministries.

5.4 Summary

This chapter dealt with the analysis and presentation of the data collected from registry personnel of the government ministries, senior ministerial officials, National Archives personnel and Tanzania Public Service College (TPSC) staff. Some of the major findings are presented below. They are grouped according to the research questions of the study.

5.4.1 Activities and strategies used in the management of public records

- all ministries had a mission statement;
- most government ministries operated with centralized registry systems;
- there was an absence of a registry mission statement for registry sections;
- there was a registry procedures manual in all the surveyed ministries;
- the registry department was not allocated its own budget;
- the registry works under the budget of the directorate of administration and personnel;
- inadequacies in registry funding resulted in an inability to provide adequate registry supplies and equipment, and train registry staff;
- all ministries had a mail management programme which involved receiving, sorting, opening, classifying, filing and delivery of mail to action officers;
- most registries used steel cabinets, wooden shelves and wooden cabinets to store current records;
- all ministries had tools to control the movement of mail, including file movement cards, file movement registers and daily lists of wanted files;
- all respondents indicated the nature of security classification of mail in registries citing top secret, secret, confidential, restricted and open;
- all ministries had guidelines for the identification of current records, semi-current records and non-current records;
- space was cited as a major problem faced in storing records;

- registry personnel indicated that they had a records inventory covering current, semi-current and non-current records;
- respondents indicated the absence of a records centre for storage of semi-current records resulting to the congestion of records in most registries; and
- registry personnel indicated the absence of a disaster management plan and security control for the records.

5.4.2 Current means and processes employed to make information contained in records accessible

- registry personnel indicated the absence of a policy guiding access to public records; and
- registry personnel noted problems they faced in providing access to information including, limited knowledge of registry operations, action officers retaining files, poor registry layout, bulky files, registry staff lacking training, torn and dusty files, registry staff not understanding users' needs and the mixing-up of active and inactive files.

5.4.3 The extent of computer applications in the management of electronic records

- registry personnel showed the existence of computers in the registries;
- few computers in registries were used to create records;
- word processing was the commonly used method to create records;
- passwords were used to ensure security classification of electronic records;
- deleting and formatting were the methods used for the disposal of electronic records;
- registry personnel faced challenges in managing electronic records including a lack of computer skills, capturing metadata, hardware and software dependency, changing technology and preservation of data;
- National Archives personnel had not taken any survey to determine the number of electronic records created in the ministries; and
- National Archives personnel collaborated with other government IT professionals to develop a programme for managing electronic records.

5.4.4 Provision of professional records management advice by staff of the National Archives of Tanzania

- the majority of registry personnel were aware of the existence of the National Archives of Tanzania;
- National Archives of Tanzania provided records management advice to the registry personnel;
- registry personnel did not implement the records management advice provided by the National Archives staff;
- records surveys were irregularly conducted in the government registries as shown by the varied responses from the National Archives personnel; and
- National Archives personnel noted challenges in the management of records including inadequacies in the existing records legislation, lack of adequate staff, and lack of adequate IT training.

5.4.5 The role of records and archives legislation in managing public sector records

- the Records and Management Act outlined the major responsibilities of the Director of the National Archives and records creating unit;
- National Archives personnel noted challenges using the Records and Archives Management Act including inadequate professional staff to implement the provisions of the Act, insufficient government funding, inadequate cooperation from government officers, and insufficient recognition of records management in the public service; and
- Records and Archives Management Act did not cover the management of electronic records.

5.4.6 Factors that contributed to the current records management practices in the government ministries

- lack of records management policy for the management of public records;
- senior ministerial officials were aware of inadequately trained registry staff, inappropriate storage supplies and equipment;
- the National Archives did not have enough manpower to monitor or carry out inspections in all ministries; and

- National Archives personnel noted that the factors contributing to the current state of records management include the negative attitudes and lack of awareness of the importance of managing records by some of the senior ministerial officials.

5.4.7 Levels of skills and training of registry personnel in the government ministries

- the majority of registry personnel received training at certificate level;
- senior ministerial officials stated that they had a training needs assessment programme for registry personnel;
- ministries ran courses to update the knowledge and skills of registry personnel;
- few registry personnel had attended courses to update their knowledge and skills;
- registry personnel indicated areas of greatest need for additional training in records management including computer applications in records management, managing electronic records during their life cycle, computer skills, and managing paper records during their entire life cycle; and
- Tanzania Public Service College provided training in records management for registry personnel;

5.4.8 The public service reform programme and the current records management practices in government ministries

- the Tanzania Public Service College was a product and part of the ongoing PSRP;
- The PSRP facilitated the introduction of records management courses at certificate and diploma levels;
- The PSRP facilitated decongestion and restructuring of records in some ministries, introduced the new keyword filing system, and enhanced proper recordkeeping;
- records management was considered a key to fostering accountability; and
- registry personnel noted that the current records management practices undermined accountability.

The next chapter interprets the data that was presented in this chapter. The main trends and patterns in the data are discussed with reference to the research questions outlined in section 1.4.1 of Chapter One.

CHAPTER SIX: INTERPRETATION OF THE RESULTS

6.0 Introduction

This chapter provides an interpretation of the research findings as presented in Chapter Five. Data interpretation is the process by which a researcher adds his/her own meaning to the collected and analyzed data, and compares that meaning with the views of others (Blaxter, Hughes and Tight 2006:219; Kalof, Dan and Dietz 2008:93). Confirmatory or supportive results can be extremely useful in advancing general understanding (Blaxter, Hughes and Tight 2006:220). According to Leedy and Omrod (2005:276) interpreting data means: relating the findings to the original research problem and to the specific research questions; relating the findings to pre-existing literature, concepts, theories and research studies; determining whether the findings have partial significance as well as statistical significance; and identifying the limitations of the study. Polit and Beck (2004:52) stated that the interpretation of the findings must take into account all available evidence about the study's reliability and validity.

The purpose of the study was to examine current records management practices in the government ministries of Tanzania in order to establish the extent to which they foster accountability in the Public Service Reform Programme. The research questions of the study were:

1. What are the activities and strategies used in the management of public records in the government ministries in Tanzania?
2. What current means and processes are employed to make public records accessible?
3. What is the extent of computer applications in the management of electronic records in Tanzania?
4. What roles do the National Archives of Tanzania play in fostering the management of public records in the ministries of Tanzania?
5. What is the role of records and archives legislation in the management of public records in the ministries in Tanzania?
6. What are the factors that contributed to the current records management practices in the ministries in Tanzania?

7. What are the levels of skills and training of records managers in the ministries of Tanzania?
8. How did the introduction of the Public Service Reform Programme influence the current records management practices in government ministries of Tanzania?
9. What recommendations on records management issues as they relate to fostering accountability in the PSRP can be made?

6.1 Activities and strategies used in the management of public records

The objective in managing public records is to make these records serve the purpose for which they were created as cheaply and effectively as possible and, once they have served that purpose, to dispose of them properly. To achieve this, it is necessary to pay attention to the handling of the records from the time that they are created until the time that they are disposed of or transferred to a records centre or archives. Interpretation of the data on activities and strategies used in the management of public records is discussed under the following sub-headings:

- mission statement;
- registry, registry procedures manual and registry budget;
- records management audit exercise;
- records creation and use;
- mail management;
- forms management;
- records storage;
- disaster management and security control;
- records inventory and appraisal; and
- records retention scheduling and disposition.

6.1.1 Mission statement

Every organization needs a purpose that states what it is and a vision that describes what it wants to be. This purpose and vision come together in the mission statement. A mission statement then becomes the starting point for the development of business goals,

and goals are the basis for setting measurable project objectives and corresponding metrics (Marshall 2007).

A mission statement is a declaration of purpose that explains the role of an organization. The mission statement is the organization's reason for being, a proclamation of why it exists, a clarification of who it serves, and an expression of what it hopes to achieve in the future. A carefully crafted mission statement accurately describes the business and inspires the people who contribute to its success (Marshall 2007). According to Mannon (2004) a mission statement should be short and succinct - no more than a paragraph long. It is a general statement from which all the administrative documents created by an organization must grow. It should accurately explain why the organization exists and what it hopes to achieve in the future.

The findings of the present study showed the existence of mission statements in the government ministries as indicated by 105 (87.5%) registry personnel. Fifteen (12.5%) indicated that their ministries did not have a mission statement. The findings showed that these respondents were not aware of the existence of the mission statements which existed in their ministries. The findings were confirmed by 26 (100%) senior ministerial officials who also indicated the existence of mission statements in their ministries. Senior ministerial officials further identified the role of records management in the attainment of ministries mission, vision and core values (see Figure 2).

In Tanzania the ministries' mission, vision and core values were formulated in the process of developing strategic plans. The plans emphasized the need for a strong focus on service delivery improvements. For instance, in the strategic plan for President's Office-Public Service Management, it was stated that the outputs expected under the records management component of the PSRP included: the creation of records management policies, guidelines and standards; permanent records preserved, stored and made available to the public; registries restructured and decongested for eight independent departments and thirty eight local governments; retention and disposal schedules in place for eleven ministries and eight independent departments; semi-current

records stored at records centres; and personnel records managed at Ministries, Departments and Agencies (MDAs). The target set was that MDAs be able to retrieve a file within half an hour (URT 2004c).

Ebben (2007) said that a mission statement should answer three questions; what does the organization do? how does the organization do its work and for whom does it do its work? Meshanko (1997) noted that a mission statement should constitute a purpose statement, the business statement and values. The purpose statement clearly states what an organization seeks to accomplish: Why does the organization exist? What is the ultimate result of its work? The business statement outlines the activities or programmes the organization chooses in order to pursue its purpose. Specifically, it must answer, what activities are to be done to accomplish the organization's purpose? Values are beliefs that the organization's members hold in common and endeavour to put into practice. The values guide the members of the organization in performing their work.

The findings of the present study further indicated the absence of registry mission statements in all ministries that were surveyed. Registry personnel stated that they were guided by registry procedures manuals and registry supervisors in conducting their work. The lack of a registry mission statement would have a negative impact on the registry operations, as it would be difficult in dealing with various aspects of records management. According to Ngulube and Tafor (2006:62) mission statements educate the public about the objectives and values of the records, and serve as the basis for internal planning and budgeting. Without a mission statement, it is extremely hard to effectively execute an organization's core programmes. The failure to clearly state and communicate the organization's mission could have harmful consequences, including: organization members can waste time "barking up the wrong tree;" the organization may not think broadly enough about different possibilities if its mission statement is unclear or overly narrow; and the organization may not realize when it is time to go out of business (Meshanko 1997). Thus, having a mission statement would bring the values and expectations of the organization to the forefront, making strategic decisions easier and keeping the goals of the organization in mind.

6.1.2 Registry

The term registry is used to refer to a records office or any unit that creates and maintains current files. The essential functions of a records office are (IRMT 1999a; URT 2007e):

- to receive, record and distribute incoming and internally created mail of all kinds such as letters, memoranda and faxes;
- to open and index files, attach relevant papers and pass the files to action officers;
- to build up and control the files upon which users depend for information about the conduct of government business;
- to know the location of all officially registered files in their care and be able to produce them quickly, by means of effective indexing, classification and tracking procedures;
- to provide storage, repository and reference services for all officially registered files and other documentation in their care;
- to record and arrange for the efficient and timely dispatch of all correspondence produced by the officers they serve; and
- to review and dispose of all outdated files or other records in accordance with retention periods as agreed between the records and archives institution, the ministry or department concerned and other relevant officials.

Registries have been the nucleus of active records management accounting for the classification, filing, storage, equipment and access of records and have either been centralized, decentralized or combined, depending on the particular needs of the government department (Kenosi 1999:122). Registries, if not properly controlled, may lose vital records of the organization.

In Tanzania the responsibility for the management of registries is shared between the Public Service Department and MDAs. The Public Service Department is responsible for all professional and technical matters relating to the delivery of effective and efficient registry services (URT 2007e). Ministries are responsible for all matters regarding the welfare, discipline and training of registry staff. The head of the registry has immediate

responsibility for day to day control of the registry. The head of the registry manages the staff, monitors and controls the workflow and registry systems to ensure an efficient service. The head liaises with the Director of Records and Archives Management (DRAM) through the Director of Administration and Personnel (DAP) of the responsible ministry on any technical records management or procedural matters (URT 2007e).

The findings of the present study indicated that most government registries had centralized records control in their ministries as indicated by 104 (86.7%) registry personnel. The centralized registry facilitated efficient management of public records since all records were located at one particular unit. Further, the utilization of resources can be more efficient in centralized environments due to its characteristics of reduced duplication and more centralized control of records. The findings of the study were similar to those in Kenosi's (1999:122) study which pointed out that the systematic development of centralized registries in Botswana greatly reduced duplication in government, it contributed to the better use of space and kept records together, which leads to well defined series, sub-series and the satisfactory security of records.

6.1.3 Records management policy

Records management programmes operate within the framework of policies, rules and procedures that provide guidance to practice. The purpose of policies, rules and procedures is to provide an environment conducive to proper records management. According to ISO 15489-1 (2001) the objective of the policy should be the creation and management of authentic, reliable and useable records, capable of supporting business functions and activities for as long as they are required.

The findings of the present study indicated the absence of a finalized records management policy, which was still in a draft format. The absence of a records management policy would have a negative impact on fostering accountability in the public sector, as it would be difficult to demonstrate an organization's commitments to meeting its legal requirements and complying with records management standards.

Manyambula (2009:30) mentioned that at present a records management policy for the Government of Tanzania is being prepared by the Records and Archives Management Department (RAMD). The policy will explain the practices that need to be in place to provide guidance to the MDAs on all aspects of records management.

Similarly, a study by Kemoni (2007) revealed the absence of a records management policy in the government ministries in Kenya. He argued that the lack of a records management policy would have implications for public service delivery, for instance registry personnel require the support of senior management for adequate financing, accessing education and training opportunities and marketing records management as a resource in meeting the respective ministry's strategic plans. Further, a study by Mnjama and Wamukoya (2007:279) pointed out that one of the challenges to the management of both paper and electronic records in the ESARBICA region was the absence of organizational policies and procedures to guide the management of both paper and electronic records. The authors emphasized that the management of paper and electronic records must be supported by clear policies, procedures and guidelines if they are to retain their evidential values that are needed for accountable and transparent governance. According to Cook (1993) records management policies and programmes are critical in enabling organizations to:

- allocate resources on the basis of principles and directions laid down by the policy;
- assist in establishing control over records management activities, in particular by putting regulatory policies that are required for coordination, sharing of records, standardization, creation and maintenance of all types of records;
- assist in improving chances of locating accountability, defining organizational responsibilities and spearheading change in the records management processes; and
- stimulating an integrated approach to records management, or motivating coordination among existing records units and the effective creation and use of professional and technological capabilities.

6.1.4 Registry procedures manual

A registry procedures manual provides offices with procedures based on best practices for the management of records. The manual should be designed to inform all personnel of the services that the records management programme provides and instruct staff on proper methods used throughout the records management programme (Robek, Brown and Stephens 1995). It provides guidelines for registry offices in defining their internal records management procedures and thereby serves as a framework for establishing consistent and reliable recordkeeping systems.

The findings of the present study revealed the existence of a registry procedures manual and desk instructions for registry staff and records users. In order to ensure that there was a robust information service that formed the basis of an accountable administration, the Government of Tanzania initiated the records management project in 1997. One of the tangible successes of the project was the production of a registry procedures manual. The President's Office-Public Service Management in conjunction with the Records and Archives Management Department (RAMD) produced the registry procedures manual in September 2003 (IRMT 2007). The manual was updated in January 2007. The manual was developed in the wake of mapping current and emerging best practices and the introduction of a keyword filing system where file headings reflect functions instead of a hierarchical system in which file headings reflect themes (URT 2007e).

The manual describes the importance of managing records from their creation to eventual disposal and the management responsibilities for registries. The manual outlined that registries are concerned with files in the earlier operational phases of their lives during which the files are used for the purposes for which they were created. It is important however that registries know not only how and when to pass files on to the subsequent stages of their life cycle but that they understand the significance of those stages. The RAMD has the responsibility of managing all phases of the life cycle of records (URT 2007e).

In conjunction with the registry procedures manual the President's Office-Public Service Management (PO-PSM) issued the desk instructions manual in April 2009. The manual was produced in order to direct registry staff and records users on issues to consider when working on files or dealing with official records and information. The desk instructions manual aimed at ensuring compliance and sustainability of records management practices, with the ultimate goal of enabling availability of records to the right person, at the right time and at the least possible cost (URT 2009). The manual instructed the registry staff on filing in the incoming correspondence register, assigning the file reference, filing mail, opening a new file, dealing with returned files and mail dispatch, sending files to the records centre and records file movement. Records users were also instructed on a number of issues including informing the registry supervisor of any recordkeeping problem that they may encounter and being ready to cooperate with them to find solutions; dealing with files promptly and returning them to registry when they are no longer required for various actions (URT 2009).

The findings of the present study were different from Kemoni's (2007:162) study which indicated the absence of a registry procedures manual in most of the government registries in Kenya. Kemoni (2007:286) asserted that the lack of records management manuals, applicable across government ministries has implications for service delivery, since registry personnel lacked the necessary guidelines for managing records during the continuum of activities that facilitate the management of records throughout the life cycle.

6.1.5 Registry budget

Funding is key to formulating and implementing effective and efficient records and archival services. The existence of progressive and comprehensive legislation is not likely to bring about any positive changes in the management of public records unless resources to implement the laws are made available to archival institutions (Ngulube and Tafor 2006:63).

The findings of the present study showed that registries were not allocated their own budgets. The findings showed that the funding for the registry which came from the administration department was inadequate as indicated by 22 (85%) of the senior ministerial officials. The absence of specific budgets allocated to registries suggested that records management activities in the government ministries were given a low priority. Without the appropriate funding to undertake various records management activities, there would likely not be any appropriate changes to the current records management practices in the public sector. Some of the records management activities with financial implications included enacting records management policies and preparing manuals, training registry personnel, developing and implementing a disaster management programme, environmental control and monitoring and appraisal and disposition programmes (Kemoni 2007:291).

A study by Wamukoya (2000:26) revealed that the issue of inadequate financial resources was one reason very few archival institutions had been able to play an active role in the management of current and semi-current records which were held in ministries and departments. Similarly, Kitalu's (2001) study stated that the inadequate allocation of funds was one among the many problems affecting records management at the Ministry of Education and Culture in Tanzania. In many cases, these institutions lacked adequate human and financial resource capacity to effectively play a pro-active role in the management of records while the records were in their current and semi-current stages. Mnjama and Wamukoya's (2007:279) study which further argued that the main impediment to the management of paper and electronic records was the absence of dedicated budgets for records management.

A study by Kemoni (2007:165) showed that government registries in Kenya were not allocated their own budgets, but relied on various votes to fund their activities. He observed that the lack of adequate funding for registries would have negative implications for public service delivery and attainment of the MDGs. Similarly, a study by Burns, Ferris and Liatsopoulos (2009:15) pointed out that nearly all the problems facing records management in Africa have their root in a lack of funding. For instance,

Mazikana (2009:38) observed that records and archives management in east and Southern Africa have not been able to attract the substantive funding required to make the difference partly because the link has not been established between recordkeeping and national development issues such as poverty reduction, infrastructure development and environmental protection.

6.1.6 Records management auditing exercise and performance measurement in registries

According to ISO 15489-1 (2001:17) compliance monitoring and auditing should be regularly undertaken to ensure that the records systems procedures and processes are being implemented according to the organizational policies and requirements and meet the anticipated outcomes. ACARM (2007) pointed out that a records audit must provide an objective assessment of an organization's record and information keeping practices and procedures. It is the first and most important step in gaining control of records and information. Auditing ensures efficiency of a records management system at the creation, distribution, maintenance and use, appraisal and disposition phases (Kemoni 2007:163). It can also be a useful tool in assessing the level of knowledge of records management in an organization.

The findings of the present study showed that records management practices were audited for compliance with records management standards in the creation, maintenance and use, appraisal and disposal as indicated by 67 (55.8%) registry personnel, while 53 (44.2%) noted that they were not. The Records and Archives Management Department (RAMD) is expected to carry out the records management audits in the government ministries. The findings of the study concurred with the report of the monitoring and evaluation studies prepared by the President's Office-Public Service Management (PO-PSM). A sample of 19 MDAs was assessed on a range of performance measurements. The evaluation was intended to assess the extent to which the records management reforms undertaken from 1997 to 2003 had improved the quality of records management. The study focuses on the key attributes of records management namely: accuracy, timeliness, process/physical state of records and satisfaction (IRMT 2007:24).

A follow up evaluation was conducted in November 2006 by IRMT as part of an assessment of the performance of the records management component of the Public Service Reform Programme conducted on behalf of donors. IRMT (2007:25) established that a significant finding was that in nearly all registries visited, files and boxes were heaped, often haphazardly, on the floor and all available work surfaces. In one registry, records boxes were seen piled in columns, six boxes high, on top of filing cabinets. In these conditions, with limited space and no procedures for removing inactive records, it was not possible to operate an efficient records management system.

The findings of the present study indicated that the registry personnel identified the need for conducting performance measurement of registry services in order to identify problems at an early stage, monitor performance trends, demonstrate achievement of objectives, and raise the profile of the registry. Other needs for conducting performance measurement of registry services include indicating how well resources had been used, providing a source of publicity about achievements and supporting increases in resources. According to Jones (2003:4) performance measurements are essentially an assessment of efficiency and effectiveness of a given set of resources against a stated or expected outcome. Performance measurement within records management programmes are important to ensure that the programme is running in the optimum way, but this alone is not enough without considering how the records management programme contributes to the performance of the organization as a whole (Jones 2003:4).

6.1.7 Records creation and use

According to Wamukoya (2000:27) if records are to meet the requirements for accountability and good governance, their management must cover the whole extent of their existence that is from creation to disposition. The overall purpose of creating, using and managing records is to enable the organization to carry out their current business functions and activities to demonstrate compliance with legal requirements; to account for the actions; as evidence of transactions undertaken; and to provide information about activities (Smith 2007:33; Williams 2006:16).

The findings of the present study showed that most of the records in the government ministries were created and maintained in paper format. Similarly, IRMT (2007:24) stated that the government ministries still depended on paper based records and paper filing systems managed by central registries to support much of their day to day activities. IRMT (2007) further pointed out that in registries, correspondence, memoranda, policy documents, meeting papers, internal reports and other documents generated and received by registry officers in the course of their normal public service duties were still placed on the traditional registry file. Wamukoya (2000:28) pointed out that in many African countries and the majority of ESARBICA countries in particular, records have been created and maintained in paper format. He further added that records managers and archivists in the region had been accustomed to working with paper records so much so that there had been a tendency to perceive the records and archives profession in the context of a paper based environment.

The findings of the present study showed that in creating and using records, registry personnel performed the following duties (see Figure 5) receiving and creating files, file indexing, file storage, file distribution, file classification, tracking file use, closing files, and studying user needs. Appropriate controls should be built into filing systems to capture and identify accurately information required by an organization. Filing systems are at the heart of information storage and retrieval activities. The findings of the present study showed that the government registries used keyword filing systems. A keyword list is a controlled vocabulary to establish the choice of words used in classifying papers or index files. The keyword filing systems were introduced in the implementation of the PSRP objectives.

6.1.8 Mail management

One of the means of conducting government business is by using mail, as it provides evidence of government transactions and makes public officers accountable for their actions. Mail management involves receiving, screening, sorting, opening, routing, controlling, and the distribution of incoming mail and the collection, preparation and dispatching of outgoing mail. The findings of the present study showed the existence of

mail management programmes in the government ministries. The findings of the study revealed that mail management programmes involves only paper based mail as electronic mail did not form part of the programme. Respondents indicated that their mail management programme consisted of receiving, sorting, opening, filing of mail, controlling mail movement, classifying mail, delivery of mail to action officers, security grading and previewing mail.

The quality and completeness of the control books are key factors in the success of the records management system. The control books used in the government registries include: incoming mail registers, outgoing mail registers, file movement books, dispatch books and "bring up" diary (IRMT and Techtop Consult (Tanzania) Ltd. 2006). The findings of the present study showed that registry personnel recorded received mail in an incoming mail register. The reasons given by respondents indicating the need for recording mail in an incoming mail register, included (see Table 8) providing evidence of received mail; attending to complaints about delays due to lack of action; tracing letters when the subject is not stated; and discouraging dishonest registry staff from removing or destroying mail.

The findings of the present study further showed the nature of the security classification of records in the government registries (see Figure 7). The findings of the present study showed that the most cited nature of security classification was confidential classification, while the least cited was restricted classification. Kemoni (2007:308) stated that security grading is a key aspect of registry work. According to Reed (2005:123), records should be allocated a security ranking, such as confidential or business, to protect their status when they are actively being used to undertake business. Agere, Lemieux and Mazikana (1999:24) pointed out that the higher that one goes up into the ministry, the more likely that there would be highly confidential matters to be dealt with. The main requirement for dealing with the confidential matters is to make sure that they are easily distinguishable and that their confidentiality is protected.

6.1.9 Forms management

Forms management is another records management function that results in the creation of records. Forms are an effective means of collecting information for repetitive and standardized business uses and are a major business document used for gathering, processing and distributing information. Forms occupy a large portion of the records produced in most organizations. The review and analysis of forms can prevent duplication of information, prevent duplication of forms, improve the quality of the forms and ensure that extraneous information is not collected and stored (Tayfun and Gibson 1996:3).

The findings of the present study indicated the existence of a forms management programme as stated by 68 (56.7%) registry personnel. Registry personnel indicate that the objectives of forms management programmes were to determine that forms are up to date, to ensure instructions for use are clear, to ensure availability of information where and when needed, and to specify most economical methods of production. The forms which were used to control and track the movement of mail in the registries included: file diaries, file transit sheets, file movement slips, file transit ladders and file census.

The findings of the present study were different to Kemoni's (2007:186) which indicated that all government ministries in Kenya did not have a forms management programme. He stated that although forms were used in the government ministries, there were no procedures for their management. He further emphasized that when forms are not managed properly, clients could not be assisted as the forms would be unavailable. According to Penn, Pennix and Coulson (1994:157) forms can enhance the flow of work through an office or an entire organization; increase operational efficiency and effectiveness; and reduce costs. Shepherd and Yeo (2003:106) stated that a form usually serves a double purpose: it gives effect to a transaction and also collects data about the parties or commodities involved.

6.1.10 Records storage

Once information has been processed, distributed and used, it must then be stored for future use. Good and orderly management of records, especially the efficient management of all records storage areas, is an efficient method of ensuring the survival of the material. ISO 15489-1 (2001:9) pointed out that an appropriate storage environment and media, physical protective materials, handling procedures and storage systems should be considered when designing the records system. The storage environment can have a significant effect on the long-term preservation of records and the information they contain.

6.1.10.1 Records storage programme

According to Penn, Pennix and Coulson (1994:230) in establishing a records storage programme, four things must be determined:

- what is to be stored: what media of records? What levels of secrecy or confidentiality? What is the volume?;
- how it must be stored: in a special environment, at what level of humidity, and temperature?;
- what level of service will be provided; and
- where it will be stored? In purpose built records centre? The archives? Commercial storage? The basement?

The findings of the present study indicated the existence of a records storage programme (see Figure 10). The findings of the present study further indicated that most registries used steel cabinets, wooden shelves and wooden cabinets to store current records while some registries stored current records on the floor (see Table 14). Space was cited as a major problem faced in storing records. A similar observation was made by Kitalu (2001:53) who indicated the lack of space as a major problem in the Ministry of Education and Culture in Tanzania. Kitalu (2001:53) observed that despite the fact that the ministry had three rooms for records storage, these rooms were too small to accommodate the ever-increasing current, semi-current and non-current records. The findings of the study also indicated other problems including torn and dusty files, torn

file covers, loss of files, loss of file folios and unauthorized access. The problems identified above point to poor housekeeping and inadequate supervision of the registries. Similarly, unauthorized access to registries indicates poor management of the registries.

The findings of the present study further indicated the need for written guidelines for the identification of current, semi-current and non-current records. However, due to space problems most of the public offices accommodate both closed and current records in the same storage area. The findings showed that ministries did not have a records centre for the storage of semi-current records, resulting in the congestion of records in most registries. The findings of the present study suggested that the lack of storage facilities in most government ministries created difficulties in retrieving and using records with accuracy and timeliness. With the lack of a records storage system, the capacity to make good quality decisions would be adversely affected, thus affecting the accountability in the implementation of the PSRP in the government ministries.

The findings of the study were similar to Kenosi's (1999) study who reported serious problems regarding the management of semi-current records in Botswana. He observed that it was common to find untidy and shabby stores of masses of inactive files in most ministries and departments. Similarly, Akussah (2002) observed an alarming situation in some of the government registries in Ghana, particularly in the store rooms where records were stored with non-record materials such as bottles, lorry tyres and old type writers. He advised that drawer cabinets, even though not cost effective as far as space utilization is concerned, secure and protect records against theft, physical damage from humans, animals and insects, and against some aspects of the local environment such as dust and other forms of pollution.

Mnjama's (2004:47) survey conducted in Kenya and Botswana with visits to Tanzania, Ghana, The Gambia, and Sierra Leone identified some of the problems related to records storage (see Section 1.1) in Chapter One. Mnjama (2004:48) established further that the worst area of neglect of records was in the management of semi-current records. Closed files were stored on top of filing cabinets, in basements, corridors and garages.

He further pointed out that the only way of creating some space in the already occupied areas is to re-appraise some of the collections that had been occupying valuable space and yet were of little value. A study by Nengomasha (2009:116) revealed the absence of a records centre for the storage of semi-current and non-current records in Namibia. Nengomasha (2009:117) reported that the lack of storage space for paper records had resulted in congestion and inappropriate storage for semi-current and non-current records.

6.1.10.2 Controlling temperature and relative humidity in a records storage area

The maintenance of proper temperature and relative humidity (RH) in archives and records storage areas is very important and it is of critical importance in the long term preservation of documentary materials because inappropriate temperature and RH contribute significantly to the deterioration of materials (Ngulube 2007b:46). The findings of the present study showed that registry personnel controlled temperature and relative humidity in the records storage area. Respondents noted the use of fans to ensure air circulation, air conditioners, dehumidifiers and dehydration agents (see Figure 12). Monitoring the levels of climatic elements in the storage environment is a good thing but it is always better if the results of the monitoring guide the custodian as to how to control such elements in the environment (Akussah 2002:160).

The present study revealed that respondents only indicated that they controlled temperature and relative humidity but they did not take any periodic readings. The lack of periodic readings means that records in the government registries are in danger of deterioration. Deterioration of records would make records unavailable for use by registry staff, action officers and the public, this would affect the reforming of the public service. According to Dean (2002) the higher the temperature, the more rapidly materials will deteriorate because heat accelerates the chemical reactions that cause deterioration. Conversely, the lower the temperature the longer the materials will last. However, as most archival materials must coexist with humans, there is clearly a practical limit to how much the temperature can be lowered and maintained. If

temperature can be closely controlled, it should have a practical range of 20°C to 21°C(68°F to 70°F), consistently maintained in all areas of archives facility.

Humidity is present in the air, and the term relative humidity (RH) refers to the given percentage of water vapour in the air at a given temperature. When temperature is high, air can absorb and contain a great deal of moisture, but when temperature is low, the moisture is deposited from the air on to surfaces. High humidity can cause mould to develop, especially when linked to poor air circulation. High humidity also provides a hospitable environment for insects, which must have moisture in order to survive and flourish. A range of 35% to 40% RH is acceptable and achievable in tropical climates with the right equipment, but failing this, RH should be lowered as much as possible through natural means, perhaps by increasing the rate of air circulation in the building (Dean 2002:3).

6.1.10.3 Light in a records storage area

Light accelerates the deterioration of records and archival materials by acting as a catalyst in their oxidation (Ngulube 2005b:162). Materials are at their most vulnerable when exposed to light on long-term display or when stored under strong constant light, for example in front of a window. Fluorescent lights also emit ultraviolet waves that cause the deterioration of materials. Respondents indicated the need to control light in the storage area. Registry personnel used fluorescent tube lights to control light in the records storage areas. The findings of the study further showed that registry personnel did not take light level readings. Similarly, the lack of monitoring and controlling the light level readings in the records storage area would have adverse effect in the records leading to their deterioration, thus making records unavailable for use by registry staff and action officers. This situation would also affect the implementation of public service reforms. A study by Ngulube (2003a:294) stated that archival institutions in South Africa did not have reliable ways of ensuring that records were stored in areas with the required amount of UV waves because they did not take light level readings at all.

Dean (2002:2) pointed out that light levels should be monitored in all areas housing collections. Blinds, shutters, curtains and/or ultraviolet filters might be used to reduce visible and ultraviolet light in all areas housing collections. Materials particularly at risk from light damage, such as photographs, newspapers, or manuscript inks should be identified, and their exposure to visible and ultraviolet light should be minimized. Wilson (1995:2) advised that in situations where budget constraints do not allow the ultimate in lighting control, the first choice is incandescent lamps, with as low a wattage as consistent with reading comfort, or the next choice would be fluorescent lamps with the smallest ultraviolet output.

6.1.11 Disaster management and security control

Disaster management and security control are vital to the preservation and protection of records and archives. Any one item lost in a disaster may not be recovered, so it is imperative that there should be arrangements in place to mitigate the consequences of disaster. Records and archives are vulnerable to a variety of disasters such as insects, rodents, mould, humidity, power outages, leaking roof and pipes, sprinkler discharges, bomb threats and acts of war and terrorism. Ngulube (2003b:8) argued that security and protection of collections included all activities that institutions engage in to discourage crime and prevent damage to holdings. Thus, disaster management and security control are fundamental to ensuring access to, and preservation of documentary materials into the future.

The findings of the present study indicated the absence of a written disaster management plan and security control of their records. The findings of the study showed that 34 (28.3%) registry personnel noted the existence of written disaster preparedness plans, however, these respondents failed to identify the aspects covered, an indication that written disaster preparedness plans did not exist in the government ministries. Similarly, Akussah (2002:162) pointed out that most of the government registries in Ghana did not have any idea about disaster preparedness, the situation which indicated that some records might not survive at all to become archives given the vulnerability of the Ghanaian society to some specific disasters.

The findings of the present study further concur with Ngulube's (2007b:47) study which stated that despite the fact that a disaster preparedness plan and security control allows an organization to plan and make decisions about emergency response and recovery, archival institutions in South Africa did not make it part of the preservation strategy. In his study Ngulube (2007b:47) stated that only four archival institutions had written disaster preparedness plans. Of the four archival institutions, only one institution had a plan covering natural disasters such as floods.

The lack of disaster management and security control in records and archives repositories may result in losing valuable holdings in the government ministries. This would have implications in fostering accountability in the ongoing public sector reform. It is important therefore that the records system address disaster management and security measures to ensure that risks are identified and mitigated. Integrity should be demonstrably maintained during and after recovery from disaster (ISO 15489-1, 2001:9). Mansell (2003:14) argued that good plans make an incident much easier to manage and helps individuals to make decisions quickly and assess situations effectively and efficiently. Plans minimize risk, maximize the speed of recovery and help the organization to get back into business quickly (Mansell 2003:14). Thus, having a disaster plan means the records system has implemented action to prevent disasters from occurring and has prepared, by developing the necessary procedures, to effectively respond to and recover from a disaster when it does occur, thereby reducing the impact on the records and staff.

6.1.12 Records inventory and appraisal

The first step in most new records management programmes is the records inventory. The purpose of an inventory is to provide information for the analysis of current and past recordkeeping practices. Such analysis usually lays the foundation for the development of records retention and disposition schedules, new file classification plans and the identification of both records with permanent value and records which may be destroyed. Records appraisal, on the other hand, is the process by which archivists determine the administrative, legal and fiscal value (primary value), and the historical

and long-term research value (secondary value) of records. Once the value of a record series has been determined, a realistic retention period can be assigned to it. Appraisal can take place at any point during a record series life cycle, but is most frequently done when the records become inactive.

The findings of the study showed that 89 (74.2%) registry personnel indicated they conducted records inventories, while 31 (25.8%) said they did not. Respondents indicated that the purpose of an inventory in the government ministries was to identify all records series, to determine extent of records use, to devise retention schedules, to identify and resolve recordkeeping problems, to identify user's information needs and to establish format. Although, respondents indicated that they conducted inventories, a follow up observation showed that the majority of registries did not conduct inventories. The absence of records inventories in the government registries would have a negative effect on the implementation of reform objectives. For instance, it would be difficult to know the volume of records created, their location, preservation status and problems faced in providing access. It would also be difficult to establish their status, that is, those records in the current, semi-current and non-current status, and identify those that were due for appraisal and disposition (Kemoni 2007:319).

6.1.13 Records retention and disposition schedules

A records retention and disposition schedule is that component of an organization's records management programme that establishes the period of time for which public records must be maintained. Records retention and disposition schedules are critical to every records management programme. Records management systems should be capable of facilitating and implementing decisions on the retention or disposition of records.

The findings of the present study showed that retention and disposition schedules were developed but not implemented. The Government of Tanzania has developed retention and disposal schedules for generic records and a few specific records for 26 ministries. The manual provides guidance on the practical steps to be taken on appraisal and

development of records retention schedules in the registry offices (URT 2005). Although, 88 (73.3%) respondents stated that they conducted appraisals, and file by file reviews and valued based approach were cited as the criteria used to conduct appraisal, a follow up observation revealed that records appraisal and disposal were not undertaken in the government registries leading to congestion of records in most ministries. For instance, IRMT and Tectop Consult (Tanzania) Ltd. (2006) stressed that there was a need to develop procedures for routine appraisal and disposal of records. Although RAMD had issued the records retention/disposal schedules, mainly for paper files, there was limited awareness of the schedules and many ministries need practical and professional support to appraise their old records. The RAMD needs to establish a programme for the regular review and updating of schedules. The absence of records appraisal, retention and disposal schedules was revealed in the poor management of current and semi-current records. This situation would adversely affect the government operations and reforming of the public service.

A study by Garaba (2005:11) reported that the West has dominated the development of archival theory and practice but its appraisal methodologies need careful scrutiny before being applied in Africa. He emphasized further that, although the existing models of appraisal may be used in the appraisal of records, they are not always suitable to African conditions where there is a different tradition of documentation. In that light, there is a need to develop models that are suited to local conditions such as limited resources and low staff capacity. Mnjama (2006:50) observed that the traditional methods, which involve records surveys, compilation of retention schedules, sorting, appraisal, arrangement and listing, might not work effectively. He stated that these processes cannot be undertaken with limited resources and with a records manager working alone or with a small staff of inexperienced clerks to gain control over records accumulated over long periods. He further argued that if the backlog accumulation is to be processed and registries decongested, new approaches to managing backlog accumulations need to be developed.

The National Archivists need to work with government agencies to determine the length of time records should be retained for the purposes of government business, for administrative, legal or fiscal reasons. Once records are no longer needed by their creating agencies, archivists must make final decisions about the disposition of records; that is, whether or not records merit continued maintenance and preservation in archives (Marshall 2006:10). The disposal of public records is governed by law and public records cannot be disposed of without proper authorization, even if they are of little or no value. The delay in authorizing the disposal of records may lead to the accumulation of records (Mnjama 2006:49).

6.2 Access to information contained in public records

Access to public document statutes have been identified under different names, such as access to government information or public documents, or freedom of information. But the result is the same - they all grant to the citizen in one form or another statutory right of access to documents held by government bodies (Riley 2000:29). One of the pillars of accountability and transparency in a democratic state is the extent to which people have access to information to assist them in evaluating whether the government is transparent or not.

The findings of the present study revealed the absence of a policy guiding access to public records in Tanzania. For instance, the Records and Archives Management Act No. 3 of 2002 was established to provide the proper administration and better management of public records and archives throughout their life-cycle. Part IV, section 16 of the Records and Archives Management Act No. 3 of 2002 stipulated a thirty year rule for accessing public records. The Act explained that public records in the National Archives, under the control of the Director may be available for public inspection after the expiration of a period of thirty years from their creation.

Under these circumstances, the public is denied their right of access to information contained in records that are less than 30 years old. The absence of explicit records management policies has also affected the records management practices and access to

information in Tanzania (Ndenje-Sichalwe and Ngulube 2009:13). The lack of public access to government held information suggests that individuals may fail to better understand the role of government and the decisions being made on the implementation of the reforms. According to Mnjama (2005:465) if the nations of ESARBICA region are to become more democratic and accountable to their citizens, there is a dire need for them to formulate laws and policies that guarantee nationals the right of access to vast quantities of government held information. There is therefore a need to review archival legislation in the region and specifically those areas of archival legislation which restricts access to information.

Tanzania is not the only country that has problems of lack of access to information contained in records. There are countries with access to information legislation which still face a number of problems in providing access to information. For instance, Ngoepe and Van der Walt's (2009:127) study stated that although the government bodies in South Africa are guided by the Promotion of Access to Information Act (PAIA), of the 21 government departments surveyed, only eleven departments were able to deal with the requests in terms of the PAIA.

Ten departments were unable to grant access due to the following reasons: lack of guidelines with regard to requests in terms of the PAIA; poor recordkeeping systems; miscommunication between the legal service unit and the records management unit as to whom should take the lead in terms of implementing the PAIA in the departments; and the legal service failing to advise in time on whether access to records could be granted. Similarly, Sebina (2009:148) established that PAIA has been adopted into a poor records management environment which hinders practical direct access to the records and information held by departments. Moloi and Mutula (2007:290) stated that government held information is being regarded as a public resource and all citizens have the right to access such information and to demand accountability, transparency and good governance.

6.3 The extent of computer applications in the management of electronic records

According to Mnjama and Wamukoya (2007:277) the emergence of e-government has resulted in the creation of electronic records and the information they contain is indeed a valuable asset that must be managed and protected. The authors further observed that the new technologies provide great potential for improving efficiency and the provision of services, but electronic records, as the evidence base upon which governments depend, must continue to be protected and preserved. The challenge is that since they are machine-readable, unlike paper records, the preservation and restoration methodology based on them is radically different.

The findings of the present study showed that 63 (52.5%) registry personnel had computers in their registries, while 57 (47.5%) did not. Of the 63, only 35 (55.5%) registry personnel showed that their computers were networked, 25 (71.4%) used a local area network, and 10 (28.5%) used a wide area network. Further, the findings of the study showed that only 34 (53.9%) registry personnel used computers to create records. The findings indicated that the most cited classes of electronic records identified by the registry personnel included mail, official speeches and minutes, reports, policy documents and workshop/conference papers. The least cited classes of electronic records included business plans and country profiles.

The findings of the present study showed that the most cited formats used in creating electronic records as identified by registry personnel was word processing (see Figure 19). The findings of the study were similar to those of Mutiti (2001:58) who undertook a regional assessment of the technological infrastructure and needs in the ESARBICA region. The study revealed that the most common application of computers in the ESARBICA region was in the area of word processing. Similarly, Moloji and Mutula (2007:295) highlighted that in Botswana a considerable number of electronic records were being generated within the government in several forms such as word processed documents, spreadsheets, databases and e-mail. However, government departments and ministries did not seem to have a framework for managing electronic records, resulting in the danger that the electronic records generated might not be retained and preserved

as electronic archives. The findings of the present study were also similar to Nengomasha's (2009:114) study which showed that the public service of Namibia had a weak legal and regulatory environment for the effective management of records. She argued that the tradition of poor management of paper records was being transferred to the electronic environment hampering effective management of electronic records.

The electronic records created in the government ministries in Tanzania could also face the same problem since the National Archives personnel identified that they had not undertaken a survey to determine the number of electronic records being created in the ministries. The findings of the study concurred with Wato's (2006:76) study which reported that the National Archives in the ESARBICA region had not carried out a survey on the status of e-records created by government bodies in member countries and had no capacity to preserve electronic records due to a lack of specialized storage facilities, skills and controlled environment. Since the mandate of a nation's archival institution is to manage the records of its parent institution, the government electronic records also need as much attention as paper records (Katuu 2000:35; Moloji and Mutula 2007:295; Mutiti 2001:60; Wamukoya 2000:29). However, Wamukoya and Mutula (2005b:72) asserted that government authorities often have little knowledge about the management of electronic records. The authors stated that officials are unsure as to whether the electronic information they create and receive constitutes official records and if so how they should deal with them.

The problems experienced in the management of electronic records continue to grow as technology changes. For instance, Keakopa (2008:10) ascertained that the technological advances and in particular changes in software and hardware pose serious threats to the continuing accessibility and use of this information. She insisted that while it had been suggested that solutions such as migration, refreshing and emulation can ensure the records and information remain accessible, its reliability and authenticity is not guaranteed as some data may be lost during upgrading of systems. IRMT (2009b:12) further emphasized that the opportunities and challenges presented by electronic records will not change, but records professionals can take advantage of the opportunities and

mitigate the risks by the effective implementation of electronic records management programmes and the creation of reasonable and clear policies, procedures and guidelines for creating and managing records in all media.

The findings of the current study revealed the challenges faced by registry personnel in managing electronic records. Respondents identified the lack of computer skills, security of data, changing technology, preservation of data, hardware and software dependency and capturing metadata. Other challenges identified include the authenticity of electronic records, legal admissibility of electronic records, and lack of policy (see Figure 22). The lack of skills and competencies among archives and records management personnel in the area of electronic records management, suggested the inability to play an active role in designing and implementing electronic records management systems (IRMT 2008). Although the management information systems (MIS) component of the PSRP was introduced with the aim of developing policy and legal framework for the management of increasing electronic records and a strategy for implementing the framework, and supporting the public servants in acquiring competencies in information technology use and management so that they can understand, plan and manage MIS developments in their organizations, the levels of skills and competencies among records management personnel was still low.

Further, the findings of the present study revealed that a lack of policy was one of the challenges faced in the management of electronic records. The absence of policy presents a danger of losing access to records stored in electronic format. Manyambula (2009:33) indicated that the current situation of managing electronic records is haphazard since there are no standards to guide MDAs on the creation, retrieval, security and other records management issues relating to management of electronic records. A study by Moloi (2009) identified the absence of policy for the management of electronic records in Botswana. Moloi (2009:113) underscored the fact that the absence of policies and procedures suggests that electronic records may not be captured and managed in a systematic fashion. Similarly, Keakopa (2007:71) identified the lack of relevant policies for recordkeeping in Botswana and Namibia. The absence of policies and procedures

may compromise the long term preservation and availability of e-records as evidence of business transactions as well as the accessibility of electronic records for public consumption as electronic archives. Moloi (2009:113) argued that the reason for the absence of e-records management policies in Africa relates to the fact that ICT and e-records management are relatively new developments in the continent and governments are just starting to adapt to the use of the new technology.

Katuu (2000:35) revealed that the policies should address the mandate of the institution with regard to such records, a definition of electronic records, and the different types of electronic records. Katuu (2000:35) emphasized that the policies should specifically address the following issues:

- the management of electronic mail;
- the creation and use of data files (which includes files created using statistical and database management programs);
- the creation and use of text or word processed documents;
- the judicial use of electronic records (that is addressing the issues and conditions under which electronic records can be admitted in courts as evidence);
- security of electronic records, which includes standards for physical access and environmental requirements for their storage and preservation as well as the requirements for maintaining their functionality over time; and
- the destruction of electronic records.

The findings of the current study further identified the lack of skills as one of the challenges faced by National Archives and registry personnel in managing electronic records in the government ministries of Tanzania. The lack of skills in the management of electronic records leads to the inability of personnel to play an active role in designing and implementing electronic records management systems (IRMT 2008). The findings of the study were similar to those of Moloi (2009:113) who indicated the inadequacy of staff and the lack of skills for managing electronic records in the government of Botswana. Moloi (2009:115) stated that with regard to training in computers among records personnel the highest qualification was basic competence in computers. Moloi

(2009:115) observed further that this kind of training cannot be adequate for the management of electronic records. There is a need for records managers to acquire IT skills in order to be able to develop an effective e-records management system. Mutiti (2001) pointed out that in most cases the responsibility of managing electronic records is left to IT specialists because archivists and records managers are not fully conversant with their roles in national electronic records management programmes.

6.4 Provision of professional records management advice by staff of the National Archives of Tanzania

An essential part of accountability is to assign to the National Archives a legislated responsibility for the management of public records throughout their life cycle. In Tanzania, the repositioning of records management under the President's Office accompanied by the creation of a fully fledged department responsible for the management of all types of public records implied not only that the management of public records is under one organization but also the importance and recognition of the value of all types of records for government business and the possibility of records management functions being adequately resourced (Katundu 2002:80).

The findings of the present study indicated that the National Archivists are engaged in implementing the provisions of the Records and Archives Management Act, providing advice on records disposition, records management consultancy, preparation of records retention schedules, conducting training programme for registry staff and monitoring and evaluation. The activities indicated by the National Archivists were similar to those identified by the National Archives of India. According to Gautum (2005:6) the National Archives of India is involved in records management activities by holding workshops, training of departmental records officers, appraisal of non-current records and transfer of records of enduring value to the National Archives of India. In addition, surveys and inspection of records rooms, preparation of retention schedules and guidelines regarding classification and declassification of records and proper management of departmental record rooms is regularly implemented.

The findings of the current study revealed that all National Archives personnel provided professional records management advice to registry personnel in government ministries. The areas of professional records management advice (see Figure 23) include records maintenance and use, appraisal and disposition, registry management, records preservation, records distribution, registry layout and design, registry automation and records security. Furthermore, 115 (95.8%) registry personnel indicated that they were aware of the existence of the National Archives of Tanzania, and 98 (81.7%) noted that they received professional records management advice, while 22 (18.3%) did not.

Registry personnel cited registry management, file management and records security and records preservation as areas of professional records management advice provided by registry personnel. The management of directives, reports, forms and disaster management were cited by a few respondents as being areas where no professional advice had been received. The findings of the present study concurred with Kemoni and Ngulube's (2007:127) study which showed that the National Archivists in Kenya indicated the areas of professional records management to registry personnel in government departments include: designing and implementing registry management policies and procedures, conducting records surveys and appraisals, preparing records retention schedules and records disposition and, finally, providing records management training to registry personnel and heads of departments.

Although the National Archives personnel provided records management advice to the registry personnel, the findings of the study indicated the non-implementation of advice relating to the management of their records. The reasons for non-implementation of advice by the registry personnel (see Table 27) include lack of trained registry personnel, lack of support from senior officers, low priority accorded to records management, lack of a regular follow up on records management practices, and inadequacies in existing records and archives legislation. Public servants need to serve the public with efficiency, effectiveness and with the highest standard of courtesy and integrity, the non-implementation of records management advice by the registry personnel could have a serious impact on the management of records and can contribute to a lowering of the

general standard of services offered to the public. The problems of non-implementation of records management advice provided to registry personnel were once common in Kenya as indicated by Kemoni and Ngulube (2007). Kemoni and Ngulube (2007:132) revealed that a lack of support from senior management was one among many reasons for non-compliance with records management advice provided to registry personnel.

Similarly, Mnjama (2003b:93) established that in many instances the advisory role of the Kenya National Archives has been ignored in various ministries and departments. Mnjama (2003b:94) pointed out further that the reasons which have hindered the development of an effective and efficient records management programme in many Kenyan public institutions are within the public institutions themselves and the Kenya National Archives' failure to effectively play its role as the main adviser to the government on the management of public records.

Conducting records surveys is essential. Records surveys help the National Archives to manage records created by government throughout their life cycle and to develop sustainable records management programmes. In other words, record surveys are keys to establishing, maintaining and improving records management systems (Ngulube and Tafor 2006:62). The findings of the present study showed that all National Archives personnel stated that they conducted records surveys. Respondents identified issues covered in the records survey including: quantity of records, storage facilities, media used for records storage, study of the existing recordkeeping systems; security of records; incidents of lost files; retrieval systems, pending letters; filing accuracy assessments; registry physical state assessments; and registry control tools assessments. However, the findings of the present study showed that National Archives personnel provided varied responses on the frequency of conducting records surveys in the government ministries (see Figure 24). The varied responses from the National Archives staff suggested that the records surveys are conducted irregularly in the government registries. Conducting records surveys irregularly would bring about records management problems, as it would be difficult to monitor and evaluate various records management activities in the government ministries and hence brought about negative implications in fostering

accountability in reforming the public service. Similarly, Ngulube and Tafor (2006:62) stated that due to a lack of qualified staff the National Archival institutions in the ESARBICA region, staff were not carrying out an effective programme of inspection and monitoring or providing regular guidance to government agencies.

Barata, Kutzner and Wamukoya (2001:38) pointed out that one of the main obstacles to achieving consistency in the management of records is the fact that much of the management cadre consists of politically appointed officials who are not aware of the importance of sound recordkeeping and registry administration. The authors continued further that these individuals did not rise through the ranks of the civil service and thus do not have basic procedures ingrained in them. Similarly, Kaima (1999:52) revealed that many government departments in the Pacific were faced with the problems of lack of management support and in particular, a lack of understanding of records management by senior officers. Kaima (1999:52) emphasized that management needs to be made aware of the importance of records management to ensure that organizations and government departments bring in some form of funding to reflect recognition of the work of archives and records in the region.

Senior ministerial officials also indicated that they collaborated with the National Archives of Tanzania to enhance recordkeeping in their ministries. However, senior ministerial officials stated that the National Archives did not have enough manpower to monitor or carry out regular visits, thus making it difficult to solve records management problems in all government registries. Mazikana (1997:148) established that only in a few countries do National Archives carry out regular visits to ministries and departments to undertake surveys. There were cases where time-expired records were not disposed of because of a lack of capacity in the National Archives. Due to shortages of staff, archival institutions have been unable to appraise closed records in ministries and departments, resulting in huge accumulations of closed records (Mazikana 1997:148; Mnjama 2006:49). Similarly, Nengomasha (2006:206) noted that due to shortages of staff in the archival institutions, the National Archives of Namibia was unable to carry out proactive routine visits to all government registries in Namibia. Mnjama (2006:49)

further underscored the fact that a shortage of staff resulted in the inability to offer advice on better recordkeeping practices at the point of records creation. He continued further that many institutions have no trained professional records managers and as such records are not filed systematically, which becomes a major problem when records are due for transfer to archival institutions, as each file will have to be appraised individually to determine its value.

Further, Mnjama (2006:49) pointed out that inadequate funding has also been a contributing factor in the accumulation of vast quantities of records in the region. Without adequate funding, it has been impossible for many archival institutions, the majority of which are located in capital cities, to visit outlying stations to inspect, appraise and advise on effective recordkeeping requirements. Similarly, Ngoepe and Van der Walt (2009:142) cited shortages of staff in the National Archives and Records Service of South Africa as the cause of delays in issuing a disposal authority to governmental bodies. The authors noted that only one official was responsible for the approval of file plans of all government bodies and only one official was responsible for the issuing of disposal authority.

6.5 The role of records and archives legislation in managing public sector records

An effective records and archives management thrives on a strong statutory base, appropriate placement within the structure of government and sufficient resources and expertise to perform its responsibilities (Loh, Van Rafelghem and Graham 2007:3). Archival legislation plays a crucial role in the management of public sector records as it provides the legal framework under which the National Archives operates. The legislative instruments in general give the National Archives the authority to deal with the records and archives of public entities such as central government, local government and parastatals. The degree of authority and control differs from country to country, ranging from giving advice to the right to inspect records and issue instructions for their proper management and handling (Mazikana 1997:144).

The findings of the present study confirmed the existence of records and archives legislation. In order to legitimize the operations of the National Archives in the management of records in Tanzania, the National Records and Archives Management Act had been passed in 2002. The findings indicated that the Act stated the major responsibilities of the Director of the National Archives of Tanzania and the records creating units. Similarly, the provisions in the Public Records and Archives Administration Act of 1997 in Ghana mandate the Director of PRAAD to develop and implement sound records management policies and to institute standards and guidelines to be adhered to by government agencies. The Director has also been given the power to ensure compliance, and heads of public institutions to establish good recordkeeping practices. Whereas, in Kenya the provisions in the Public Archives and Documentation Service Act have given the Director of Kenya National Archives and Documentation Services (KNADS) or officers under him/her a mandate to examine public records and advise on their care, preservation and custody.

The findings of the current study indicated that despite the fact that the Records and Archives Management Act of 2002 adopted a good number of critical and basic records management principles it failed to cater for the management of electronic records. Similarly, Mnjama (2005:465) indicated that archival legislation in most countries in the ESARBICA region failed to address issues relating to electronic records. Parer (2000:4) stated that the guidelines outlined within the RAMP report had assisted archivists in the development of archival legislation. Most countries have promulgated records and archival legislation which provide the legal framework under which National Archives institutions operate and which control and preserve the archival heritage (Mazikana 1997:144). The management of electronic records has emerged as a major issue for governments and record managers. Archival legislation needs to provide adequately for such records and outline how to deal with electronic records creation, accessibility and disposal. Parer, a project coordinator and report compiler on archival legislation for Commonwealth countries, observed that a number of archival issues had gained prominence since the 1985 RAMP report calling for a review of legislation as it was

drafted in the past (Parer 2000:5). The primary reasons for reviewing and updating archival legislation has been to accommodate the changes brought about by:

- electronic records management, which has emerged as a major issue and one that is usually not addressed in previous Acts;
- recordkeeping principles and the records continuum model as articulated in Australia and the need for archivists to address recordkeeping across the whole of that continuum;
- integration of FOI, privacy and archives legislation to accommodate the sharing of information across organizations; and
- rapid administrative change resulting from modern management practice and the need for stricter accountability (Parer 2000:5).

6.6 Levels of skills and training of registry staff in the government ministries

A sound education at the point of entry to the profession, competency-based training for continuing professional development and involvement in research based inquiry and knowledge creation all have essential roles in developing and sustaining well rounded records professionals, to the greater benefit of the profession as a whole (Anderson 2007:94). The archives and records management profession, in common with other professional work groups, requires a complex knowledge base of theory and intellectual technique to underpin its special expertise (Shepherd 2006b:10).

The findings of the present study showed that 80 (66.7%) registry personnel had received training in records management, while 40 (33.3%) had not. The findings of the present study further showed that the majority of registry staff member had received education and training at certificate level and only one registry personnel had received a postgraduate diploma. Very few had received training at diploma level (see Figure 28). The findings of the study were supported by Lyaruu's (2005:89) study who revealed the lack of professionalism in records management as the most fundamental problem plaguing registries in most government ministries and departments in Tanzania.

According to Manyambula (2009:26) one of the factors which contributed to the poor records management in Tanzania was the lack of training in records management. Most of the registries were staffed by officers who had received little or no records management training. Office attendants, messengers and gardeners had been promoted and worked as registry personnel in some cases. Ngulube (2001:157) emphasized that training of records managers should be governed by guidelines that identify the standards upon which education and training institutions develop curricula for their learning programmes. Mazikana (2009:50) pointed out that very few archival and records management schools prepare records managers for the front end of records management. Mazikana (2009:50) stated that most curricula focuses on the management of semi-current records or on the point at which records are being off-loaded from the records creating institutions to the records centres of the archival institution.

The findings of the present study further revealed that few registry personnel had attended records management courses run by their ministries as indicated by 55 (45.8%) who had, and 65 (54.2%) who had not. Registry personnel indicated that they attended the following records management courses between 2003 to 2007: registry management, basic records management, records management vocational qualification, special records management, effective records management, modern records management, higher records management, information and electronic records management, and the management programme for supervisory and clerical officers. Tanzania Public Service College, National Archives of Tanzania, Eastern and Southern Africa Management Institute (ESAMI) and the Global Management Centre were cited as institutions which ran short courses for registry personnel. Lyaruu (2005:97) observed that due to the low priority given to registries by the administration and because of the lack of funds allocated to records management, the majority of registry personnel never attained further training in records management. The lack of training to update knowledge and skills of registry personnel would have negative implications in fostering accountability in the public service. Registry personnel need to receive continuous training in order to develop the right attitudes and knowledge in methods and procedures of managing records.

Lack of training in records management is also one of the problems facing the public sector records management in Namibia. Nengomasha (2006:206) noted that government registries were staffed by Grade 10, an equivalent of three years of secondary school education, a level which is too low for the competencies and skills required for managing records. She revealed further that the action officers have very little regard for the registry clerks resulting in them setting up their own ring binder systems for storing paper documents in their offices, or store information on their computers, or assigning their filing to private secretaries, who have no training in this respect. Similarly, Mazikana (1997:147) established that the morale of registry staff was reported to be quite low in most countries and they operated without recognition and lacked some of the basic necessities. The low status of registries and registry staff leaves them exposed to senior officers who openly flout and violate established procedures for handling records. Mazikana (1997:147) suggested an urgent need to upgrade the status of registries and to train and motivate the staff. Similarly, Nengomasha (2006:207) drew the conclusion that there is the need for proper training of records management personnel so that action officers have enough confidence in them to manage their records.

Although registry personnel indicated that they had received training in records management, they further identified the need for additional training in records management in order to develop their knowledge and skills for effective and efficient management of records. Computer applications in records management, managing electronic records during their life cycle and computer skills were among the areas identified by respondents (see Table 31). Emphasizing training in the electronic environment, International Records Management Trust and The World Bank (2003) Global Forum Electronic discussion recommended that national and international agencies review educational programmes to ensure their relevance in the electronic age, for instance, ensuring that training addresses information technology policies and strategies as well as the management of electronic and paper based records. Similarly, McLeod, Hare and Johare (2004) recommended the provision of education and training at the appropriate level of detail and in the appropriate areas of the subject, commensurate with roles and responsibilities so that these people can discharge, both

effectively and efficiently, their responsibilities for managing records in the electronic environment.

6.7 The Public Service Reform Programme and the current records management practices in government ministries

The Public Service Reform Programme (PSRP) aimed at transforming the public service into an efficient, effective, and outcome based institution offering an improved service delivery. In Tanzania, as part of the nation's Development Vision 2025, there was a requirement to build the capacity of the public sector to enhance its accountability to the public and to ensure that all service delivery institutions provided a correct information analysis to fulfil their responsibility to society (IRMT 2007). The government recognized the need to incorporate records management in the design of information and communication technology systems so that they were capable of managing, protecting and providing reliable information over time (IRMT 2007).

The findings of the present study showed that 67 (55.8%) registry personnel indicated that the introduction of the PSRP influenced the recordkeeping practices in the government ministries, while 53 (44.2%) indicated that they did not see any influence. The 67 (55.8%) registry personnel indicated that the introduction of the PSRP facilitated decongestion and restructuring of records systems in some ministries, introduced the new keyword filing system, enhanced proper recordkeeping and facilitated the introduction of records management courses at certificate and diploma levels. In Kenya, Kemoni and Ngulube (2007:130) revealed that the government was carrying out a public sector reform programme and records management was identified as being one of the critical factors that would determine the success of the reform programme. The Kenya National Archives and Documentation Service (KNADS) was keen to provide records management advice to government departments in the successful implementation of public sector reforms.

The findings of the study further showed that the current recordkeeping practices supported the PSRP as indicated by 94 (78.3%) registry personnel. On the contrary, the

20 (77%) senior ministerial officials stated that the current records management did not support the PSRP objectives. Poor records management practices in some ministries, a lack of adequate supplies and equipment in the registries and a lack of training to meet the requirements of the PSRP were among reasons cited by senior ministerial officials. The findings from senior ministerial officials were contrary to Mazikana (2009:45) who established that in Tanzania, records management being one of the components of the PSRP, records and archives management had benefited immensely. He pointed out that in other countries, there are many opportunities that have been missed particularly in linking records management and the PSRP. The reform of the public service has been slow in some countries either because of the absence of information or because records are not managed in such a way as to be easily retrieved for use. For instance, in Zimbabwe and Zambia, records management was not made a component of the reform programme and as a result, the countries suffered in the implementation of the reform objectives.

The findings of the study further confirmed that records management was key to fostering accountability in the public service reform programme as indicated by 112 (93.3%) registry personnel. However, the majority of respondents 84 (70%), stated that although records management was key to fostering accountability in reforming the public service, the current state of records management undermined accountability in their ministries. Respondents stated that poor records management practices, poor working conditions of the registry personnel, lack of ethics in records management, lack of well trained registry personnel, and delays by action officers in dealing with files were cited as among the major problems which undermined accountability in reforming the public service. Installation of performance management systems and enhancing performance results and accountability in the public service as stated in Phase One and Two (see Section 2.6.3.1 and 2.6.3.2), would be difficult if records were not well managed and easily accessed. Proper management of public records as a strategic resource is important towards achieving the expected results of the PSRP (Manyambula 2009:34). The effective creation, maintenance, use, and preservation of records would make a particularly valuable contribution to these reforms and in so doing promote good

governance. The environment in which records are managed must be supported by an infrastructure of policies, standards and practices, systems and technologies, and people that are dedicated to ensuring the authenticity, availability and accessibility of records for as long as they are required for business and accountability purposes (Sebina 2006:3).

The findings of the study showed that administrative records were the most cited type of records that supported the public service reform objectives as indicated by 88 (73.3%), while the least cited was policy records as indicated by 51 (42.5%) respondents (see Figure 29). According to Mutula and Wamukoya (2009:335) in east and southern Africa public sector reform programme have focused on enhancing good governance, transparency and accountability in public administration, the financial sector, human resources and the legal sector. The choice of these sectors was in recognition of the fact that the absence of reliable, accurate, complete and timely information in records often undermined decision-making and caused inefficient service delivery. Secondly, that dysfunctional records management undermined legal and judicial reform, resulting in decisions being made without adequate information about cases. The lack of adequate information created scope for corruption and collusion among court officials including lawyers. Thirdly, that weak financial recordkeeping systems resulted in unauthorized spending, fraud and embezzlement of public funds (The World Bank and International Records Management Trust 2005).

6.8 Summary

This chapter presented an interpretation of the findings in the light of records management, public service reform programme and literature that either differ or relate to the findings of the study. The discussion in this chapter reconsidered the results that were presented in Chapter Five and provided their implications for this study. The interpretation of the study findings covered the results of all the research questions as indicated in Chapter One Section 1.4.1.

Chapter Six has shown that although records management is key to fostering accountability in reforming the public service, the current state of records management

practices undermined accountability in the government ministries. The study established that although there have been some measures to link and improve records management practices with the public service reform programme in Tanzania, there were still weaknesses in the management of public records in the government ministries. Based on the findings of the study, Chapter Six highlighted problems that exist in the records management practices in Tanzania including, inadequate registry supplies and equipment, lack of records retention and disposition schedules, lack of senior management support, lack of adequate manpower from the National Archives and lack of a records management policy that would define organizational responsibilities and spearhead change in the records management practices.

The success of the PSRP as discussed in Chapter One and Two, depends on many factors, the most important of which is a proper and organized method of managing the public records. The records management problems identified above would have an adverse effect in fostering accountability in reforming the public service. With the current state of recordkeeping practices, it would be virtually impossible to determine individual responsibilities and to hold them accountable for their actions. Inadequate records management practices in the government ministries can contribute to the failure to make records serve as an authoritative source of information to support the implementation of the PSRP objectives. It can further contribute to the failure to make records serve as an instrument of accountability by being unable to provide essential evidence of decisions and activities which have been undertaken. Further, with the poor state of records management practices, policy making would be of an *ad hoc* nature. No satisfactory answers can be provided to questions such as: what do the organization have to produce and how? what means are available for doing this and how can they be used? what agreements have been made and what commitments have been taken on and how did these come to be? which products and services could the organization offer and do these products and services meet the criteria that have been set? (Thomassen 2001:375).

The next chapter is a summary of the results, conclusions and recommendations and areas for further research.

CHAPTER SEVEN: SUMMARY OF STUDY FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

7.0 Introduction

On the basis of the data presented and interpreted in the two previous chapters, this chapter restates the purpose of the study and the research questions of the study and provides the summary of findings. The chapter provides conclusions and recommendations based on the findings of the study and the research experience gained during the conduct of the project.

7.1 Research purpose and research questions

The purpose of the study was to examine the current records management practices in the government ministries of Tanzania in order to establish the extent to which they fostered accountability in public service reform programme. In order to fulfill the purpose of the study, the following research questions guided the study:

1. What are the activities and strategies used in the management of public records in the government ministries in Tanzania?
2. What current means and processes are employed to make public records accessible?
3. What is the extent of computer applications in the management of electronic records in Tanzania?
4. What roles do the National Archives of Tanzania play in fostering the management of public records in the ministries of Tanzania?
5. What is the role of records and archives legislation in the management of public records in the ministries in Tanzania?
6. What factors contributed to the current records management practices in the ministries in Tanzania?
7. What are the levels of skills and training of records managers in the ministries of Tanzania?
8. How did the introduction of the Public Service Reform Programme influence the current records management practices in government ministries of Tanzania?

9. What recommendations on records management issues as they relate to fostering accountability in the PSRP can be made?

7.2 Summary of the findings

This section presents a summary of the research findings based on the research questions of the study.

7.2.1 The activities and strategies used in the management of public records

- The findings of the study show that all ministries had a mission statement. Senior ministerial officials indicated that records management was essential in the attainment of the ministry's vision, mission and core values;
- Most government ministries operated with centralized registry systems. Respondents stated that the centralized registries facilitated the efficient management of public records since all records were located at one particular point;
- The findings of the study show the existence of a registry procedures manual in all the surveyed ministries. The majority of respondents indicated that they usually used registry procedures manuals as guides when creating records;
- Respondents noted that the manual described in detail the procedures and forms to be used when dealing with incoming correspondence, filing papers, creating a new file, recording the existence of a new file, controlling file movement, handling files returned to the registry, handling outgoing mail, storing files, handling closed files and maintaining the system;
- The findings of the study show that the registry department was not allocated its own budget. The funding of the registry depended upon the budget for the directorate of administration and personnel;
- Respondents stated that inadequacies of registry funding resulted in an inability to provide adequate registry supplies and equipment, and train registry staff;
- All ministries had a mail management programme which entailed receiving, sorting, opening, classifying, filing and delivery of mail to action officers;

- The findings show that all ministries had tools to control the movement of mails, including file movement cards, file movement registers and daily lists of wanted files, however the file movement register was the most widely used tool to control and track the movement of files in the ministries;
- Respondents indicated that they had security classification of mail in registries citing the categories as top secret, secret, confidential, restricted and open. Respondents noted that the classification helped to protect confidential information, loss of information and protect the interests of the ministry;
- The majority of respondents stated that they had a forms management programme. Forms were used as the control tools to track the movement of mail in the registries. Control tools used included: file diaries, file transit sheets, file movement slips, file transit ladders and a file census.
- The findings of the study show that all ministries had guidelines for identification of current records, semi-current records and non-current records;
- With regard to equipment for records storage, the findings of the study show that equipment used did not sufficiently cater for records storage;
- The majority of respondents cited space as a major problem faced in storing records;
- The findings of the study indicate the absence of a records centre for storage of semi-current records resulting in the congestion of records in most registries;
- The findings of the study show that despite the fact that respondents were aware of the likely disasters that may affect records, government ministries lacked written disaster management plans and security control for the records in the ministries; and
- The findings of the study show the absence of records retention and disposition schedules in most registries.

7.2.2 Access to information contained in public records

- Registry personnel revealed that they used face-to-face interviews to determine the information needs of clients;

- The findings of the study indicate the absence of a policy guiding access to public records; and
- Registry personnel identified the problems they faced in providing access to information, including limited knowledge of registry operations, action officers retaining files, poor registry layout, bulky files, registry staff lacking training, torn and dusty files and registry staff not understanding user needs.

7.2.3 The extent of computer applications in the management of electronic records

- Registry personnel reported the existence of computers in the registries;
- The findings of the study show few computers in registries were used to create records;
- Word processing was the commonly used method to create records;
- The finding of the study show that passwords were the most commonly used method to ensure security classification of electronic records;
- Registry personnel faced challenges in managing electronic records including a lack of computer skills, capturing metadata, hardware and software dependency, changing technology and preservation of data;
- National Archives personnel indicated the existence of electronic records management programmes for the public sector and registry personnel were trained on the management of electronic records;
- National Archives personnel had not done any surveys to determine the number of electronic records created in the ministries;
- National Archives personnel collaborated with other government IT professionals such as COSEKE, IRMT and GTZ to develop programmes for managing electronic records; and
- National Archives personnel stated the lack of adequate IT training, lack of adequate financial resources, lack of adequate staff, inadequacy of existing records and archives legislation and the poor definition of the role of system administrators and records managers as the challenges faced in managing electronic records.

7.2.4 The provision of professional records management advice by staff of the National Archives of Tanzania

- The majority of registry personnel were aware of the existence of the National Archives of Tanzania;
- Personal visits and telephoning were the most cited means used by the registry personnel to contact the National Archives staff;
- The National Archives of Tanzania provided records management advice to the registry personnel in the government ministries;
- The areas of professional records management advice provided by National archivists include records security, registry automation, registry layout and design, records preservation, registry management, records appraisal and disposition, records maintenance and use, and records distribution;
- The findings of the study show that registry personnel did not implement the records management advice provided by the National Archives staff;
- The reasons for non-implementation of advice were a lack of trained registry staff, lack of support from senior ministerial officers, low priority accorded to records management, lack of regular follow ups on records management practices, inadequacies in existing records and archives legislation;
- Although the National Archives personnel indicated that they conducted surveys, the findings of the study show that the records surveys were irregularly conducted in the government registries as shown by the varied responses from the National archive staff;
- National Archives personnel noted challenges in the management of records including inadequacies in the existing records legislation, lack of adequate staff, and lack of adequate IT training;
- Delays in responding, uncooperative staff and non-response were the problems faced by registry personnel when seeking records management advice from the National Archives staff; and
- The findings of the study showed that the delays in response were due to the shortage of staff in the National Archives of Tanzania.

7.2.5 The role of records and archives legislation in managing public sector records

- The Records and Archives Management Act states the major responsibilities of the Director of the National Archives and records creating unit;
- Respondents indicated that the Act did not give the Director of the National Archives of Tanzania authority to collect and disseminate information on technological development relating to records management in public agencies;
- All respondents indicated the areas of strength as well as weakness of the Act in relation to the management of public records;
- The findings of the study show that the Records and Archives Management Act did not cover the management of electronic records; and
- National Archives personnel noted challenges using the Records and Archives Management Act, including inadequate professional staff to implement the provisions of the Act, insufficient government funding, inadequate cooperation from government officers, and insufficient recognition of records management in the public service.

7.2.6 The factors that contributed to the current records management practices in the government ministries

- The findings of the study show a lack of records management policy for the management of public records;
- Inadequately trained registry staff and inappropriate storage equipment and supplies were among the factors identified by senior ministerial officials;
- National Archives did not have adequate staff to monitor and carry out inspections in all ministries; and
- National Archives personnel noted that the factors contributing to the current state of the records management included the negative attitudes and lack of awareness of the importance of managing records by some of the senior ministerial officials.

7.2.7 Levels of skills and training of registry personnel

- The levels of skills and training of registry personnel was relatively low;
- Senior ministerial officials stated that they had a training needs assessment programme for registry personnel;
- The findings of the study show that the majority of registry personnel had not attended courses to update their knowledge and skills;
- Registry personnel indicated areas of greatest need for additional training in records management included computer applications in records management, managing electronic records during their life cycle, computer skills, and managing paper records during their entire life cycle;
- Training in records and archives management by schools and colleges, through seminars and workshops were identified as the methods to be used in meeting registry personnel training needs; and
- The Tanzania Public Service College conducted education and training in records management at certificate and diploma level and short courses.

7.2.8 The Public Service Reform Programme and the current records management practices in government ministries

- The PSRP facilitated the introduction of a records management course at certificate and diploma level at the Tanzania Public Service College;
- The PSRP facilitated the decongestion and restructuring of records in some ministries, introduced the new keyword filing system, and enhanced proper recordkeeping;
- Senior ministerial officials and some registry personnel indicated that the current records management does not support the public service reform objectives;
- Administrative records, personnel records and financial records supported the public service reform objectives; and
- Although records management was considered essential to fostering accountability in the PSRP, the findings of the study show that the current state

of records management practices in the government ministries undermined accountability.

7.3 Conclusions

In this section the conclusions of the study based on the findings are provided. An attempt was made to link what the research generated and the meaning that can be attached to the findings (Hair, Bush and Ortinau 2003:636). The conclusions were drawn according to the order in which the research questions were stated in Chapter One, section 1.4.1. In drawing conclusions, only the major findings that directly addressed the research questions were included.

7.3.1 Conclusions on activities and strategies used in the management of public records

The study established that records in the government ministries in Tanzania are not properly managed to foster accountability in the implementation of public service reforms. The findings of the study indicated the lack of registry mission statements. Further, the majority of government registries in Tanzania did not undertake records appraisal and disposal resulting in heavy congestion of records and poor retrieval of information. A lack of records appraisal and disposition schedules compromised registry storage space and led to a mix-up of current, semi-current and non-current records in the record storage area. With a mix-up of records, access and retrieval of records would be difficult and this could seriously impair the government's ability to be accountable, make decisions and deliver services to the public.

The PSRP emphasized enhancing the performance of the public service in order to enable it to deliver quality services that would lead to higher rates of economic growth and poverty reduction. A performing public service can be evaluated by its effectiveness in public service delivery and accountability. Public service delivery and accountability depends on proper records management from the point of creation to their final disposition. It can be concluded that fostering accountability in reforming the public sector would be difficult since records were not properly managed. Reforms that are not informed by reliable information are likely to be unsustainable, unjustifiable and lacking

transparency. Thus, the lack of proper records management may compromise the ability of the government to undertake the effective reforms of the public sector.

The findings of the study indicated that registry sections were not allocated their own budgets. It can be concluded that inadequate funding was a contributing factor to the lack of proper management of records in the government registries and the inability of registries to purchase registry supplies and equipment. The findings of the study further showed that disaster preparedness and security control of records and archives did not form a significant part of the records management activities in the government ministries. A lack of written disaster management plans and security control measures could subject records to sudden and unexpected disasters that could otherwise have been avoided. Such omissions could lead to the loss of irreplaceable and vital records of the government ministries. The loss of records through disasters could leave organizations and nations without identity, the situation could negatively affect the implementation of the PSRP objectives.

7.3.2 Conclusions on the access to information contained in public records

Findings on the current means and processes employed to make information contained in records accessible indicated the absence of a policy guiding access to public records in the government ministries. The absence of a policy implies that the public is denied their right to access government held information. For instance, registry personnel identified problems they faced in providing access to information which included, limited knowledge of registry operations, action officers retaining files, poor registry layout, bulky files, registry staff lacking training, torn and dusty files and registry staff not understanding user needs (see Table 21).

It can be concluded that in the absence of a policy guiding access to information, ensuring accountability and transparency would be difficult. Citizens have a right to review the records created and held by governments to ensure that actions taken, and decisions made on their behalf are made in the best interests of the citizenry, and if not those responsible should be made to account. The lack of public access to information

suggests that the public may fail to understand the role of government and the decisions being made on the implementation of the reforms. The thirty years rule for the records which were transferred to the National Archives as per the Records and Archives Management Act of 2002 further denied the people's right to information.

7.3.3 Conclusions on the extent of computer applications in the management of electronic records

The findings of the study showed the existence of computers in the registries, but few computers were used to create records. The findings indicated that although electronic storage, retrieval and dissemination of information is becoming the norm in most governments in Africa and worldwide, paper based records were given prominence over electronic records in the government ministries of Tanzania. In addition to that, the National Archives had not undertaken any survey to determine the number of electronic records created in the ministries; the situation suggests that electronic records created in the ministries were in danger of being lost since they were not adequately managed.

Further, National Archives personnel did not have adequate skills in managing electronic records. It can be concluded that with inadequate IT training, lack of adequate financial resources, lack of adequate staff, inadequacy of existing records and archives legislation the proper management of electronic records in the government ministries would be difficult. Further, although the PSRP stressed e-records and e-government, the poor status of records management in the public sector makes it virtually impossible to carry out the electronic records management programme in the government ministries.

7.3.4 Conclusions on the provision of professional records management advice by staff of the National Archives of Tanzania

The study established that there was non-implementation of records management advice provided to the registry personnel. The records management advice provided by National Archives to government ministries facilitated proper management of records. The records management advice provided by National Archives to government departments is important, since recordkeeping facilitates effective management of

recorded information throughout its life cycle, and may lead to both socio-political and economic development (Kemoni and Ngulube 2007:122).

The non-implementation of advice implies the inefficient and ineffective management of public records throughout their life cycle; a situation which would adversely affect implementation of the reform objectives. Preserving the records with archival value would also be difficult. Ngoepe and Van der Walt (2009:118) pointed out that if records are not managed properly in the office of origin, the product transferred to the archives repository will also be poor. Thus, government ministries should ensure that they implement and maintain a systematic approach to managing records from their point of creation to their ultimate disposition.

The findings of the study show that records management surveys were irregularly conducted by the National Archives personnel. The situation suggests that knowing what records exist, which records need to be captured into recordkeeping systems, how long they need to be kept and where they should be located would be difficult. Thus, planning for a range of records management activities in the ministries including records retention and disposal scheduling and procedures, vital records protection and rationalization of the storage and management of current records would also be affected which in turn compromised the provision of access to information and holding officials accountable for their actions. This situation would have negative implications in fostering accountability in the PSRP.

7.3.5 Conclusions on the role of records and archives legislation in managing public sector records

The findings of the study indicated that the Records and Archives Management Act of 2002 provided the detailed responsibilities of the Director of the National Archives and records creating unit. The National Archives personnel indicated that one of the strengths of the Act was the establishment of the Records and Archives Management Department (RAMD) to provide for the proper administration and better management of public records and archives.

It can be concluded that the Act has strength since it recognizes the importance of managing public records as an evidence base for government and as an instrument for accountability. Although the Act adopted a good number of critical and basic records management principles, the Act failed to cater for the management of electronic records. The non-coverage of electronic records in the Act implies that the electronic records created in the government ministries were vulnerable to being lost or becoming inaccessible, leading on ineffective implementation of the reforms.

7.3.6 Conclusions on the factors that contributed to the current records management practices in the government ministries

The findings of the study showed that registry personnel, senior ministerial officials and National Archives personnel indicated a number of factors contributing to the current state of records management practices in the government ministries. One of the factors identified was the lack of records management policy. A lack of records management policy in the government ministries would have a negative impact on ensuring efficient records management systems that foster accountability in the provision of service to the public.

Other factors that contributed to the current records management practices in the ministries included inadequate trained registry staff, inappropriate storage supplies and equipment and lack of senior management support. The inadequate number of staff from the National Archives to monitor or carry out inspections in all ministries would affect the records management practices in the ministries. This would have negative implications in fostering accountability in the PSRP. The negative attitudes and lack of awareness of the importance of managing records by some of the senior ministerial officials suggested the low priority accorded to records management activities in the government ministries, thus affecting the attainment of the intended results of the PSRP.

7.3.7 Conclusions on levels of skills and training of registry personnel in the government ministries

The findings of the study showed that the levels of skills and training of registry personnel were relatively low. The majority of registry personnel had received training at certificate level (see Figure 28). The findings of the study indicated the lack of records management training to update knowledge and skills of registry personnel. The situation implies that records management practices in the government ministries were accorded low priority in the allocation of resources. A lack of records management training further contributed to the poor current state of records management practice in the government ministries.

Registry personnel play a key role in managing government records as evidence in supporting national development, government services to citizens, citizens' rights, and the preservation of the national historical memory. Without competent and qualified staff, the maintenance of minimum professional standards in the management of records cannot be guaranteed (Ngulube and Tafor 2006:62). Lack of records management knowledge and skills for registry personnel may have a serious impact on fostering accountability in the public service reforms, for instance the provision of services to the public and holding officials accountable for their action would be difficult. The study established that although senior ministerial officials stated that they had a training needs assessment programme for registry personnel, the majority of registry personnel had not attended courses to update their knowledge and skills.

7.3.8 Conclusions on public service reform programme and the current records management practices in government ministries

Sixty seven (55.8%) registry personnel indicated that the introduction of the PSRP influenced the recordkeeping practices in the government ministries. The introduction of the PSRP facilitated the introduction of a records management course at the certificate and diploma levels at the Tanzania Public Service College. The PSRP further facilitated decongestion and restructuring of records, introduced the new keyword filing systems and enhanced proper recordkeeping.

The study established that the PSRP has resulted in some efforts to reform the records management systems in the government ministries. Although records management was considered as essential to fostering accountability, the current records management practices in the government ministries was still weak, and therefore reforming the public service would be difficult. For instance, respondents identified the following weaknesses; poor working conditions for the registry personnel, lack of ethics in records management, lack of well trained and competent registry personnel, and delays by action officers in dealing with files. These were among the major problems which undermining accountability in the government ministries.

7.3.9 Overall conclusions on the research problem

The aim of the study was to examine current records management practices in some government ministries of Tanzania in order to establish the extent to which they fostered accountability in the public service reform programme. The study established that although the introduction of the public service reform programme has resulted in some efforts in reforming the records management practices in the government ministries, current records management in some government ministries was still weak. The findings of the study indicated a number of challenges which the government registries were facing in the management of public records. These challenges include: inadequate registry funding, lack of written disaster management plans and security control measures, lack of records management policy, lack of policy for guiding access to public records, lack of disposition schedules which hampered registry storage space and led to congestion of records in the registries, and the mixing up of current, semi-current and non-current records. In these conditions, it was not possible to operate an efficient records management system that would foster accountability in reforming the public service.

The government ministries should restructure records management systems in order to improve the efficiency of government operations and foster accountability in the PSRP. The restructuring should include enacting records management policies in order to accommodate the changes brought about by technology to enhance the proper

management of records and effective implementation of the PSRP. There is also a need to strengthen the legal and regulatory framework, the provision of resources, to seek support from senior management and compliance with records management standards in the creation, maintenance and use, appraisal and disposal in order to ensure that records are properly managed.

7.4 Recommendations

The study identified various factors which affected records management practices in the government ministries. The study therefore makes recommendations to address the records management issues identified by the study in order to foster accountability in the PSRP. The recommendations made address each of the research questions of the study.

7.4.1 Recommendations on the activities and strategies used in the management of public records

The study recommends that the government should allocate a dedicated budget for registries. A budget should make provision for registry supplies and equipment and ensure that staff be sent for formal education and training in records management. Further, the study recommends that disaster plans and security measures be prepared for all government registries. Disaster plans should be well researched and tailored to fit the specific needs of each institution as suggested by Ngulube (2003a:346). The plans should include planned responses to both internal and external disasters and be reviewed with all registry personnel. Registry personnel should also be trained in emergency management. The study suggested further that all government ministries should form disaster management committees, whose responsibilities would include establishing the types of disasters likely to affect records, risk assessment and preparation and implementation of a disaster management plan as noted by Kemoni (2007:400). The plans would have the possibility of reducing the disruption of normal operations, minimizing the economic impact of the disasters, raising awareness of the importance of being prepared for disasters, providing for the training of personnel in emergency procedures and providing for the rapid and smooth restoration of services.

In order to foster accountability in the PSRP, the restructuring of records management systems is crucial. The restructuring would help to improve the efficiency of government operations. The National Archives should develop the records retention and disposal schedules and records should be disposed of regularly in order to create more space for the current records. Further, in order to ensure proper creation and maintenance of records that would foster accountability in the implementation of the reforms, the government ministries need to internalize the records management reforms in order to achieve the maximum results they were intended to do.

7.4.2 Recommendations on the access to information contained in public records

Efficient access to information can only be secured when the records are properly managed. The study recommends that there should be an effective records management system to ensure an access to information. Effective service delivery and public accountability, as advocated by the PSRP depends on well managed records and access to information. For instance, Sebina (2006:272) ascertained that proper records management ensures not only that information will be available for as long as the activity requires, but also ensures that government activities will create records as part of their administration.

Access to information legislation would provide citizens with a statutory right to know and make the government more accountable to the people being governed. The study recommends the need to improve recordkeeping practices and make government services more accessible to citizens. Tanzania needs to enact Freedom of Information legislation, abolish the 30 year closure period of the records and do away with the Official Secrets Act and other legislation which limits citizens' access to information. The National Archives in collaboration with the President's Office-Public Service Management should facilitate the establishment of policies and procedures designed to assist records creating units to create and manage records which are authentic, reliable and accessible, thus fostering accountability in the PSRP.

7.4.3 Recommendations on the extent of computer applications in the management of electronic records

The study recommends the need for an integrated system for the management of both paper and electronic records. This will ensure the reliability, integrity, authenticity and long-term preservation of electronic records in support of the requirements of good government and for fostering accountability. Further the study recommends that an integrated approach be implemented to the management of records, as advocated by the International Records Management Trust (1999a) in order to incorporate records in both paper and electronic formats. With the integrated approach the records management practices would be undertaken within an integrated structure, thus enhancing proper records management and effective implementation of the reform objectives.

The study further recommends that National Archives personnel should undertake a survey to determine the number of electronic records created in the government ministries. National Archives personnel need to work closely with information technology specialists to ensure the creation of trustworthy and authentic records that would support government operations. For instance, McLeod, Hare and Johare (2004) pointed out that electronic records management not only requires the involvement of key players in recordkeeping, such as managers and archivists, but also IT personnel and administrators under a common shared responsibility to establish a credible electronic records programme to ensure that appropriate, authentic and reliable records are created and captured and their integrity maintained. In order to ensure that electronic records are well managed there is a need to improve the level of skills among the National Archives and registry personnel.

The study further recommends the need to develop policies that will ensure that records, in whatever format, are properly maintained and remain accessible over time. For instance, the National Archives and Records Service of South Africa has developed policies to regulate the creation of electronic records in governmental bodies to ensure sound records management and the potential for archival preservation. The policy guidelines for managing electronic records in government bodies covers areas such as

statutory and regulatory frameworks for electronic records, what electronic records are, why electronic records should be managed and electronic records management principles. Other areas include managing electronic records residing in different types of systems and the responsibilities of governmental bodies regarding the management of electronic records (National Archives and Records Service of South Africa 2006).

7.4.4 Recommendations on the provision of professional records management advice by staff of the National Archives of Tanzania

National Archives are responsible for providing professional records management advice to government agencies on the creation, maintenance, use, and disposition of government records. The study recommends that the professional records management advice should be provided on a regular and continuing basis in order to improve the records management practices, thus fostering accountability in the PSRP. The National Archives should work closely with the President's Office-Public Service Management to organize training for senior ministerial officials in order to create awareness regarding the importance of managing records as a strategic resource and its effectiveness in fostering accountability in the implementation of the public service reform programme. In order to foster accountability in the implementation of the reform objectives, senior management support is vital. Proper allocation of funds, training of registry personnel and the provision of adequate registry equipment and supplies depends on the support of senior management on records management practices in the government ministries.

The study further recommends that the National Archives personnel should conduct records surveys regularly to gather all available information about existing records in the ministries and to determine their value, thus fostering accountability in reforming the public service. An effective records management programme must begin with a records survey and must be supported by well defined policies and procedures, a well designed infrastructure, adequate resources and a team of well qualified and competent staff as noted by Mnjama (2004:50). A clearly defined records survey programme would facilitate the National Archives to effectively monitor and improve records management practices in the government ministries.

The findings of the study showed that an inadequate staff complement at the National Archives affected the provision of records management advice in the ministries. The government should train and employ more staff with higher levels of training in records and archives management in order to facilitate the proper provision of advice and supervision of registry personnel in the government ministries. Problems of delays in responding, uncooperative staff and non-response would be solved by having an adequate number of staff at the National Archives, this would foster accountability in the PSRP.

7.4.5 Recommendations on the role of records and archives legislation in managing public sector records

The findings of the study showed that the greatest weakness that was stated by the respondents was the failure of the records and archives legislation to address issues relating to electronic records. It is recommended that the Act needs to be revised to address the issues relating to the management of electronic records. Where necessary, new policies, procedures and guidelines should be designed to meet the specific needs of the records created or received electronically in the government ministries, thus enhancing accountability in the implementation of the PSRP. For instance, Wato (2006:72) recommended that the only way for records creating units to start taking care of electronic records as part of the wider records management programme and to preserve them like vital paper counterparts for administrative, legal, historical and research value is to revise the legislation to ensure that electronic records are treated as official records that are admissible as evidence in a court of law. Further, there is a need to review the policy regarding the public accessibility of thirty years to a shorter period.

7.4.6 Recommendations on the level of skills and training of registry personnel

The findings of the study revealed that the majority of registry personnel have received training in records management at certificate level. The study recommends the need for proper provision of a higher level of training in records management at diploma and degree levels. The study further recommends that the registry personnel should be provided with training through short courses, workshops and seminars in records

management in order to update their knowledge and skills and enhance the effective management of records in order to foster accountability in the PSRP.

The study recommends the setting up of standards and guidelines on the training of registry personnel in order to enhance the status and training of the records managers. In the setting up of records management standards in the country, benchmarks with well established institutions in records management need to be adopted. Ngulube (2001:156) emphasized that the proper management of records hinges on records managers with the necessary skills and knowledge to deal with the records at every stage of their use by society. In the process of training, standards and guidelines would have to be looked at to ensure that registry personnel received training according to the set standards. Having received training according to the standards and guidelines set would help to ensure that procedures and products of the training programme met certain requirements and remained consistent (Ngulube 2001:159). This would ensure that public records are effectively managed, thus fostering accountability in reforming the public service.

7.5 Significance and the contribution of the study

The current research has implications for the wider body of theory in records and archives management. Despite the ongoing debate that the records life cycle is no longer applicable to the management of records, the theory provides the greatest potential for the effective management of recorded information particularly where records are held in paper format. The current study investigated the management of records throughout the records life cycle from creation to their ultimate disposition. The study revealed that records in some government ministries were not well managed to foster accountability in the implementation of public service reforms of Tanzania. This study further shows that the use of mixed methods approach helped the researcher fit together the insights provided by quantitative and qualitative approaches in answering the research questions.

The study contributes to the existing body of knowledge with regard to the topic in question by integrating records management practices and their implementation in the public service reform programme. For this reason the contribution of this study is

original. This study is important because in Africa, and Tanzania in particular, there are a number of public service reform programmes that have been launched, which aim at improving the quality of life for the citizens, and creating new government machinery to establish efficient and effective management systems. Thus, the findings of the present study may be of use to records and archives management scholars, educators, researchers and students undertaking studies into records management practices and public service reform programmes within and outside Tanzania.

The current study provided empirical evidence on the importance of managing public records throughout the records life cycle and suggested means for improving government accountability in the public service by strengthening effective records management systems in Tanzania. The findings of the study would help to create awareness among the top management regarding the importance of managing records as a strategic resource and its effectiveness in fostering accountability in the implementation of the public service reform programme. Being aware of the importance of managing records as a strategic resource could facilitate the establishment of policies, procedures and guidelines for managing public records.

The current study recommended the integrated approach for the management of records as advocated by the International Records Management Trust (1999a) in order to incorporate records in both paper and electronic formats. With the integrated approach the work between records managers, records centre manager and archivists would be undertaken within an integrated structure, with no rigid boundaries to limit professional collaboration and development.

7.6 Suggestions for further research

The present study investigated the current records management practices and the extent to which they fostered accountability in the public service reform programme of Tanzania. The study identified several issues which could be the subject of further investigation by other researchers in the field. The following discussion highlights some of the areas that require investigation by future researchers.

The present study was limited to the 20 government ministries in Tanzania. It is recommended that further research should be conducted to investigate the current records management practices of Parliament, the Judiciary and Local Government Authorities in Tanzania in order to establish the current state of records management and the extent to which they foster accountability in the implementation of the PSRP.

The present study investigated the extent of computer applications in the management of electronic records in the government registries. It is recommended that an exploratory study be conducted to establish the levels of e-records readiness and e-government in the public sector in Tanzania. The study could be appropriate and topical as most governments strive to implement e-government technology in order to improve service delivery and enhance the relationship between the government and the public. Most governments recognize the need to use information and communication technologies (ICTs) to facilitate the effective information flow and efficient service delivery. Thus, issues to be considered in a further study include legal and regulatory frameworks, the physical infrastructure, procedures for collecting, processing, storing and disseminating e-records, the staffing and training levels and the issues relating to the long term storage and accessibility of electronic records.

In investigating the training of records management professionals, this study was confined to registry personnel in the government ministries only, it is recommended that further research should be conducted to investigate the training of National Archives personnel in order to establish their levels of education and how they impact on the management of records in the government ministries. The study would justify the need for the National Archives personnel to be equipped with professional skills in records management in order to provide professional records management advice to the registry personnel.

The present study investigated how current records management is key to fostering accountability in the public sector of Tanzania. It is recommended that further studies should be conducted to establish the role of records management in addressing

corruption, fraud and maladministration in the public sector of Tanzania. The study could be appropriate and justified by the view that the lack of proper records management could be directly linked to the persistence of corruption, fraud and maladministration. Records provide verifiable evidence on fraud that can lead investigators to the root of corruption (Mnjama 2004:47). Thus, the study could investigate how to combat corruption and fraud in government settings through efficient records management systems.

The current study assessed the performance of records management activities within the public sector of Tanzania. It is recommended that further research should be conducted to assess records management performance in the public sector using international standards such as ISO 15489 Information and Documentation-Records Management, General International Standard Archival Description (ISAD(G)), ISO/DIS 11799 Document Storage Requirements for Archive and Library Materials and ISO 11108: 1996 Information and Documentation-Paper for Archival Documents, to mention a few. The study could contribute to the identification of gaps between best practices captured in the standards and what is happening in reality in relation to records management programmes, procedures and processes in the public sector. The study could provide directions for further effective improvement of the records management practices.

7.7 In conclusion

The study investigated current records management and the PRSP in Tanzania. Its purpose was to examine current records management practices in some government ministries of Tanzania in order to establish the extent to which the fostering of accountability in the public service reform programme has been achieved. The study established that the effective implementation of the PSRP depended largely on many factors, the most important of which is the proper and well organized methods of managing public records. However, records in some government ministries of Tanzania were not properly managed to foster accountability in the implementation of the PSRP. To foster accountability, it is essential for government ministries to ensure that records are properly managed at every stage of the records life cycle, so that the information

contained can provide evidence of transactions and facilitate the effective implementation of the public service reform programme. Recommendations based on the findings of the study were made and areas for further research were identified.

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LIST OF APPENDICES

Appendix 1: Participants in pre-testing the instruments

Name	Occupation
Prof. J. Msuya	Professor, Information Studies Programme, UDSM
Dr. A. Nkebukwa	Lecturer Information Studies Programme, and Librarian UDSM
Ms. M. Materu-Behitsa	Assistant Lecturer, Information Studies Programme, and Assistant Librarian, UDSM
Ms. K. Katunzi-Mollel	Assistant Lecturer Information Studies Programme, and Assistant Librarian, UDSM
Mr. E. Elia	Assistant Lecturer Information Studies Programme, and Assistant Librarian, UDSM
Ms. R. Chande-Mallya	Assistant Librarian and Acting Director Muhimbili University College of Health and Allied Sciences
Ms. M. Ruzegea	Assistant Librarian, University College of Health and Allied Sciences
Mr. M. Manyambula	National Archivist and Assistant Director, (RAMD) National Archives of Tanzania

Appendix 2: Questionnaire for registry personnel from the government ministries

Dear Sir/Madam,

I am a PhD candidate in the Department of Information Studies programme, at the University of KwaZulu-Natal, South Africa. I am seeking your assistance in my research project. As part of the degree requirement, I am conducting a study entitled "**The significance of records management to fostering accountability in public sector reform programme of Tanzania**".

The study seeks to examine current recordkeeping practices in government ministries of Tanzania in order to establish the extent to which they foster accountability in public sector reform programme. The study is designed to collect data on the strategies used to manage public records during their entire life-cycle, the extent to which the National Archives of Tanzania has assisted registry personnel to effectively manage public records and the extent to which existing records and archives legislation facilitates the management of public records in Tanzania.

Further, the study aimed at establishing the extent of computer applications in registry management and the resultant challenges, the levels of skills and training of registry staff in the ministries. The findings of the study will be shared with registry staff, senior officers in the government ministries in charge of records management and those who formulate policy and National Archives of Tanzania staff. It is hoped that the recommendations of the study will be used to guide the development of recordkeeping practices in government ministries.

You have been identified as one of the study respondents. The purpose of writing is to request you to spare some time and fill the attached questionnaire. Please be assured that all the information provided will be kept confidential and will be used only for this study. Please follow the instructions when filling it. I should be grateful if you would complete and return it by 31 April 2008. Should you have any queries about the study, please do not hesitate to contact me at the University of Dar es Salaam, Information Studies Programme, P. O. Box 35092 Dar es Salaam, Tanzania.

Cell phone: 0787589696. E-mail: esther@libis.udsm.ac.tz

Thanking you in advance for your time and cooperation.

Yours faithfully,

Esther Ndenje-Sichalwe

Instructions for filling in the questionnaire

- a. Please tick appropriate answer(s) from the choices provided for each question
- b. Use spaces provided to write your answers to the questions.
- c. Please do not leave blank spaces. If the question does not apply please indicate "N/A"
- d. In case of detailed answers, use a separate piece of paper and indicate the question number you are referring to.

BACKGROUND INFORMATION

Ministry
Address
Telephone
Email
Website
Current designation

Section 1: Mission statement and registry

1. Does your ministry have a mission statement?
 - a. Yes []
 - b. No []

2. If yes, state the mission statement of the ministry
.....
.....

3. Is the records control centralized or decentralized?
 - a. Centralized []
 - b. Decentralized []

4. How does it affect the management of public records in the ministry?
.....
.....

5. Do you have a registry procedures manual?
 - a. Yes []
 - b. No []

6. If yes, which of the following indicates the need for a registry procedures manual?
 - a. Outline procedures and practices for records from creation to disposition []
 - b. Ensures records security []
 - c. Ensures records accessibility []
 - d. Ensures records retrieval efficiency []
 - e. Ensures preservation of records with long term value []
 - f. Ensure records of no value are disposed []
 - g. Enhances service delivery []
 - h. Other, please specify []
.....
.....

7. Are the records management practices in your ministry audited for compliance with standards?
 - a. Yes []
 - b. No, go to question 10 []

8. If yes, which of the following reflects the purpose of the records management audit exercise?

- a. Establish efficiency of records creation systems []
- b. Establish efficiency of records distribution systems []
- c. Establish efficiency of records maintenance and use systems []
- d. Determine efficiency of records appraisal and disposition systems []
- e. Other, please specify

.....
.....

9. Do you have an internal records management audit checklist?

- a. Yes []
- b. No []

10. If yes, which of the following areas are covered in your internal records management audit checklist?

- a. Records creation []
- b. Records distribution []
- c. Records maintenance and use []
- d. Records appraisal []
- e. Records disposition []
- f. Records preservation []
- g. Staff training []
- h. Staff responsibilities []
- i. Registries resources []
- j. Other, please specify

.....
.....

Section 2: Records creation and use

11. Which of the following indicates the duties you perform? (please tick all the applicable options)

- a. Receiving and creating files []
- b. File classification []
- c. File indexing []
- d. File storage []
- e. File distribution []
- f. Tracking file use []
- g. Closing files []
- h. Studying users needs []
- i. Other, please specify

.....
.....

12. Does your office have a list of activities that constitute the basis for records creation?

- a. Yes []
- b. No []

13. Which of the following explains the criteria used to create files? (please tick all the applicable options)

- a. Precedent (established procedures) []
- b. Colleagues advice []
- c. Registry supervisor instructions []
- d. Records management literature []
- e. Own initiative []
- f. Other, please specify []

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14. Which of the following information do you include when creating files? (please tick all the applicable options)

- a. Unique identifier number []
- b. Date []
- c. Content []
- d. Source []
- e. Physical form []
- f. Links to related records []
- g. Other, please specify []

.....
.....

Section 3: Mail management

15. Do you have a mail management programme?

- a. Yes []
- b. No []

16. If yes, which of the following activities constitute your mail management programme? (Please tick all the applicable options)

- a. Receiving mail []
- b. Sorting of mail []
- c. Opening mail []
- d. Classifying mail []
- e. Filing mail []
- f. Delivery of mail to action officers []
- g. Control of mail movement []
- h. Security grading of mail []
- i. Other, please specify []

.....
.....

17. Which of the following indicates the type of incoming mail received in the registry? (Please tick all the applicable options)

- a. Officially addressed registered mail []
- b. Personally addressed mail []
- c. Officially addressed mail []

d. Other, please specify

.....
.....

18. Which of the following actions do you take when opening incoming mail? (Please tick all the applicable options)

- a. Check address on envelope []
- b. Date-stamping []
- c. Extrac mail []
- d. Account for all enclosures (if attached) []
- e. Other, please specify

.....
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19. Do you record received mail in an incoming mail register?

- a. Yes []
- b. No []

20. If yes, which of the following indicates the need for recording received mail in an incoming mail register? (Please tick all the applicable options)

- a. Provide evidence of received mail []
- b. Discouraging dishonest registry staff from removing or destroying mail []
- c. Attend to complaints of delay due to lack of action []
- d. Trace letters whose subject is not stated []
- e. Trace wrongly filled mail []
- f. Other, please specify

.....
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21. Which of the following information is recorded in the incoming mail register?(Please tick all the applicable options)

- a. Senders name []
- b. Senders address []
- c. Senders designation []
- d. Mail subject []
- e. Mail reference number []
- f. File reference on which mail is filled []
- g. Other, please specify

.....
.....

22. Do you have procedures for circulating mail to action officers?

- a. Yes []
- b. No []

23. If yes, which of the following indicates the reasons for mail circulation to action officers? (Please tick all the applicable options)

- a. Have immediate knowledge of mail received []
- b. When action officer requests to see mail []
- c. When requested as a "Bring Up Action" []
- d. Give instructions on necessary action []
- e. Other, please specify

.....

24. Which of the following means do you use to circulate mail to action officers? (Please tick all the applicable options)

- a. Distinctive folder []
- b. Attached to clipboard []
- c. Other, please specify

.....

25. Do you have tools to control the movement of mail?

- a. Yes []
- b. No []

26. If yes, which of the following tools you use to control the movement of mail? (Please tick all the applicable options)

- a. File movement card []
- b. File movement register []
- c. Systematic searches []
- d. Daily list of wanted files []
- e. Other, please specify

.....

27. Do you indicate the security classification of mail in your registry?

- a. Yes []
- b. No []

28. If yes, which of the following indicates the security classification of mail in your registry? (Please tick all the applicable options)

- a. Top secret []
- b. Secret []
- c. Confidential []
- d. Restricted []
- e. Open []
- f. Other, please specify

.....

29. Which of the following indicates the need for security classification of mail in your registry?(Please tick all the applicable options)

- a. Protect confidential information []

- b. Protect loss of information []
- c. Protect the interests of your ministry []
- d. Other, please specify

.....

30. Do you have procedures for managing outgoing mail?

- a. Yes []
- b. No []

31. If yes, which of the following indicates the actions taken on outgoing mail? (Please tick all the applicable options)

- a. Mail signed by action officers []
- b. Mail is date stamped []
- c. Correct reference number indicated []
- d. Subject clearly indicated []
- e. Correct address indicated []
- f. Postal expenses entered in the postal register []
- g. Mail entered in the dispatch book []
- h. Copy of mail filled []
- i. Other, please specify

.....

32. Do you enter mail in the outgoing mail register?

- a. Yes []
- b. No []

33. If yes, which of the following information is recorded in the outgoing mail register? (Please tick all the applicable options)

- a. Date of letter []
- b. File reference number []
- c. Subject []
- d. To whom letter is sent []
- e. Other, please specify

.....

Section 4: Forms management (control tools)

34. Do you have a forms management programme?

- a. Yes []
- b. No []

35. If yes, which of the following explains the need for a forms management programme in your ministry?

- a. Enhance the flow of work
 Yes [] No [] Uncertain []

- b. Increase operational efficiency and effectiveness
Yes [] No [] Uncertain []
- c. Reduce cost
Yes [] No [] Uncertain []
- d. Organize, collect and transmit information
Yes [] No [] Uncertain []
- e. Other, please specify

.....

36. Which of the following indicates the objectives of your forms management programme?
 (Please tick all the applicable options)

- a. Determine forms are up to date []
- b. Enhance information processing []
- c. Ensure instructions for use are clear []
- d. Specify most economical method of production []
- e. Ensure their availability when and where needed []
- f. Other, please specify

.....

37. Does your forms management programme incorporate forms control?

- a. Yes []
- b. No []

38. If yes, which of the following constitutes the forms control programme?(Please tick all the applicable options)

- a. Forms analysis []
- b. Design and production []
- c. Reproduction, stocking and control []
- d. Other, please specify

.....

39. Do you have a checklist for forms design?

- a. Yes []
- b. No []

40. If yes, which of the following statements is true or false?

- a. Each form is given a title to distinguish it
Yes [] No [] Uncertain []
- b. Each form is given a serial number
Yes [] No [] Uncertain []
- c. Instructions for completing form are given
Yes [] No [] Uncertain []
- d. Form is arranged in a logical order
Yes [] No [] Uncertain []
- e. Sufficient space to enter information is provided

Yes [] No [] Uncertain []

f. Other, please specify

.....
.....

Section 5: Records storage

41. Do you have a records storage programme

- a. Yes []
- b. No []

42. Which of the following statements are true or false regarding your records storage programme?

- a. Considers records to be stored true [] false []
- b. Considers the records medium true [] false []
- c. Considers levels of security true [] false []
- d. Considers levels of confidentiality true [] false []
- e. Considers environmental conditions true [] false []
- f. Considers levels of service to be provided true [] false []
- g. Design and layout appropriate true [] false []
- h. Purpose built true [] false []

43. Does your office have written guidelines for the identification of

- a. Current records Yes [] No []
- b. Semi-current records Yes [] No []
- c. Non-current records Yes [] No []

44. Which of the following do you mainly use to store current records? (please tick all the applicable options)

- a. Wooden racks []
- b. Steel cabinets []
- c. Cupboards []
- d. Shelves []
- e. Floor []
- f. Other, please specify

.....
.....

45. Where do you keep your semi-current records?

- a. In the shelves together with current records []
- b. In the shelves separate from current records []
- c. In a separate room designed for such use []
- d. In a separate room not designated for such use []
- e. On the floor []
- f. Other, please specify

.....
.....

46. Where do you keep your non-current records?

- a. In the shelves together with semi-current records and current records

- b. In the shelves separate from semi-current records and current records []
- c. In a separate room not designated for such use []
- d. On the floor []
- e. Other, please specify []

.....

47. Does the equipment used sufficiently cater for records storage?

- a. Yes []
- b. No []

48. If no, which of the following problems do you face in storing records? (please tick all the applicable options)

- a. Torn and dusty files []
- b. Unauthorized access []
- c. Loss of files []
- d. Loss of file folios []
- e. Torn file covers []
- f. Space []
- g. Other, please specify

.....

49. Do you control temperature and relative humidity in the record storage area?

- a. Yes []
- b. No, go to question 51 []

50. If yes, which of the following do you use to control temperature and relative humidity in the records storage area? (please tick all the applicable options)

- a. Fans to ensure good air circulation []
- b. Use of dehydrating agents []
- c. Use of dehumidifiers []
- d. Air conditioning []
- e. Other, please specify

.....

51. Do you control light in the records storage area?

- a. Yes []
- b. No []

52. If yes, which of the following do you use to control light in the record storage area? (please tick all the applicable option)

- a. Providing windows with blinds and curtains []
- b. Use of incandescent lights []
- c. Air conditioning []

- d. Fitting fluorescent tube lights []
- e. Other, please specify

.....

53. Have you experienced pest infestations in the records storage area?

- a. Yes []
- b. No []

54. If yes, which of the following pests have you experienced in the record storage area?
 (Please tick all the applicable options)

- a. Termites []
- b. Booklice []
- c. Bookworms []
- d. Rats []
- e. Cockroaches []
- f. Other, please specify

.....

55. Do you control pest infestations in the record storage area?

- a. Yes []
- b. No []

56. If yes, which of the following do you use to control pest infestations in the record storage area?(Please tick all the applicable options)

- a. Thorough vacuuming of the record storage area []
- b. Removing debris regularly []
- c. Regular inspection of the record storage area []
- d. Use of insect repellent chemicals []
- e. Use of fumigation []
- f. Use of traps for rats []
- g. Sealing all cracks in walls []
- h. Other, please specify

.....

57. Do you control fungi infestation in the record storage area?

- a. Yes []
- b. No []

58. If yes, which of the following do you use to control fungi infestation in the record storage area?(Please tick all the applicable options)

- a. Regulating temperature and relative humidity []
- b. Maintaining air circulation in the record storage area []
- c. Sterilizing record room using chemicals []
- d. Regular inspection of the record storage area []
- e. Regular cleaning of the record storage area []

f. Other, please specify

.....
.....

Section 6: Disaster management and security control

59. Is there written disaster preparedness plan for your ministry?

- a. Yes []
- b. No []

60. If yes, please choose the aspects that it covers from the list below

- a. It deals with safe evacuation of people []
- b. It deals with the records []
- c. It describe emergency procedures []
- d. It outlines disaster response []
- e. It lists emergency supplies []

61. Is there a written recovery plan for your ministry?

- a. Yes []
- b. No []

62. If yes, please choose the aspects that it covers from the list below

- a. Damage assessment []
- b. Salvage procedures []
- c. It outlines disaster response []
- d. It describe emergency procedures []
- e. It lists emergency supplies []

63. Which of the following natural disasters that are covered by your plan?

- a. Floods []
- b. Earthquakes []
- c. Moulds []
- d. Insects []
- e. Other, please specify

.....
.....

64. Choose from the list the human-made disasters covered by your plan

- a. Fire []
- b. Bomb threats []
- c. Vandalism []
- d. Other, please specify

.....
.....

65. When was your disaster preparedness plan last tested?

- a. This year []
- b. Last year []
- c. Within the two years []

- d. Never []
- e. Other, please specify

.....

66. When was your disaster recovery plan last tested?

- a. This year []
- b. Last year []
- c. Within the two years []
- d. Never []
- e. Other, please specify

.....

67. Is there a disaster planning team in place?

- a. Yes []
- b. No []

68. Have you been instructed in emergency planning?

- a. Yes []
- b. No []

69. If yes, please explain

.....

70. Have you been instructed in emergency recovery procedures?

- a. Yes []
- b. No []

71. If yes, please explain

.....

Section 7: Records inventory

72. Do you have a records inventory?

- a. Yes []
- b. No []

73. If yes, which of the following indicates the purpose of the records inventory? (please tick all the applicable options)

- a. Identify all records series []
- b. Determine extent of records use []
- c. Devise retention schedules []
- d. Identify user's information needs []
- e. Establish record format []
- f. Identify and resolve recordkeeping problems []
- g. Raise the profile of records management []

h. Other, please specify

.....
.....

74. Which of the following are covered in the records inventory?

- a. Current records []
- b. Semi-current records []
- c. Non-current records []
- d. Current, semi-current and non-current records []
- e. Other, please specify

.....
.....

75. Which of the following methods are used in conducting records inventory? (Please tick all the applicable options)

- a. Questionnaire []
- b. Physical checking []
- c. Committee []
- d. Other, please specify

.....
.....

76. Do you use a records inventory checklist when conducting a records inventory?

- a. Yes []
- b. No []

77. If yes, which of the following information is included in the records inventory checklist when conducting a records inventory? (Please tick all the applicable options)

- a. Volume of records []
- b. Format in which information is recorded []
- c. Creation and distribution paths []
- d. Filing systems []
- e. Storage systems []
- f. Types of forms, reports and directives []
- g. Legal retention periods []
- h. Vital records programme []
- i. Manuals, policies and procedure []
- j. Other, please specify

.....
.....

Section 8: Records appraisal and retention scheduling

78. Do you conduct records appraisal?

- a. Yes []
- b. No []

79. If yes, which of the following statements reflect the purpose of appraisal?

Section 9: Records disposition

84. Do you have a records disposition programme?

- a. Yes []
- b. No []

85. If yes, which of the following indicates the nature of your records disposition programme? (please tick all the applicable options)

- a. Transfer to archives []
- b. Physical destruction of records []
- c. Conversion to another medium []
- d. Other, please specify

.....
.....

86. Which of the following methods do you use for the destruction of confidential records?

- a. Shredding []
- b. Chemical destruction []
- c. Pulping []
- d. Burning []
- e. Other, please specify

.....
.....

87. Do you prepare a records disposition certificate once the records are destroyed?

- a. Yes []
- b. No []

88. If yes, which of the following information is included in the records disposition certificate? (please tick all the applicable options)

- a. Record group []
- b. Record series []
- c. Destruction method []
- d. Date of destruction []
- e. Name of officer carrying out the destruction []
- f. Name of officer witnessing destruction []
- g. Other, please specify

.....
.....

Section 10: Access to information and public records

89. How do you determine the information needs of clients?

- a. Interview (face-to-face) []
- b. Questionnaire []
- c. Informal conversation []
- d. Other, please specify

.....
.....

90. Does your office have guidelines for identifying requirements to make public records accessible to clients?

- a. Yes []
- b. No []

91. Does your office have a policy for guiding access to public records?

- a. Yes []
- b. No []

92. Do you face any problems in providing access to public records?

- a. Yes []
- b. No []

93. If yes, which of the following problems do you face in providing access to public records? (please tick the applicable options)

- a. Registry staff not understanding user needs []
- b. Limited knowledge of registry operations []
- c. Registry staff lacking training []
- d. Action officers retaining files []
- e. Bulky files []
- f. Torn and dusty files []
- g. Poor registry layout []
- h. Mix-up of active and inactive files []
- i. Other, please specify []

.....
.....

94. Which of the following indicates the need for conducting performance measurement of registry services provided to clients? (please tick all the applicable options)

- a. Identify problems at early stage []
- b. Monitor performance trends []
- c. Demonstrate achievement of objectives []
- d. Indicate how well resources have been used []
- e. Provide a source of publicity about achievements []
- f. Support increases/decreases in resources []
- g. Raise the profile of the registry []
- h. Other, please specify []

.....
.....

95. Which of the following aspects do you consider in measuring the quality of service provided by the registry? (please tick all the applicable options)

- a. Time taken to retrieve files []
- b. Time taken to deliver files to action officers []
- c. Levels of user satisfaction []
- d. Efficiency of access and retrieval aids []
- e. Accuracy of registry service []

f. Other, please specify

.....
.....

Section 11: Computer applications and management of electronic records

96. Do you have computers in the registry?

- a. Yes []
- b. No []

97. Are the computers networked?

- a. Yes []
- b. No []

98. If yes, what type of computer network do you have?(Please tick all the applicable options)

- a. Local Area Network []
- b. Wide Area Network []
- c. Other, please specify

.....
.....

99. Are you using computers to create records?

- a. Yes []
- b. No []

100. What classes of electronic records are being created in your ministry? (please tick all the applicable options)

- a. Mail []
- b. Reports/monthly, yearly etc []
- c. Press release/statements []
- d. Official speeches []
- e. Policy documents []
- f. Court proceedings []
- g. Minutes []
- h. Tax invoices []
- i. Business plans []
- j. Workshop/conference papers []
- k. Other, please specify

.....
.....

101. Which of the following formats do you use to create electronic records? (Please tick all the applicable options)

- a. Flat ASCII files []
- b. Text files with markup (e.g., SGML, HTML, XML, etc) []
- c. Word processing format (e.g., MS Word, etc) []
- d. Database format (e.g., Access, FoxPro, etc) []
- e. Spreadsheet format (e.g., Excel, etc) []
- f. Image format (e.g., TIFF, GIF, etc.) []

- g. Audio []
- h. Video/Moving Images []
- i. Other, please specify
-
-

102. What method(s) do you use for the storage of electronic records? (Please tick all the applicable options).

- a. PC hard drive []
- b. Magnetic tape []
- c. CD-ROM []
- d. Optical Disc (Rewritable) []
- e. WORM Optical Disk (Write-once-read-many) []
- f. Contract with third party for storage []
- g. Other, please specify
-
-

103. Which of the following methods do you use to ensure the security of electronic records? (Please tick all the applicable options)

- a. Passwords []
- b. Login procedures []
- c. Access levels []
- d. Firewalls []
- e. Gateway filter software []
- f. Online / offline storage []
- g. Audit trails to track use []
- h. Encryption techniques []
- i. Other, please specify
-
-

104. Do you have procedures for appraisal of electronic records?

- a. Yes []
- b. No []

105. Do you have procedures for the disposal of electronic records?

- a. Yes []
- b. No []

106. If yes, which of the following methods do you use for the disposal of electronic records? (Please tick all the applicable options)

- a. Deleting []
- b. Reformatting []
- c. Re-writing disk []
- d. Crushing disk []

e. Other, please specify

.....
.....

107. Which of the following methods do you use for long-term preservation of electronic records? (Please tick all the applicable options)

- a. Migration to another medium []
- b. Preservation of hardware []
- c. Preservation of software []
- d. Print to paper []
- e. Other, please specify

.....
.....

108. Which of the following explains how computers assist in managing records? (Please tick all the applicable options)

- a. Enhanced storage []
- b. Enhanced retrieval []
- c. Enhanced access []
- d. Enhanced use []
- e. Enhanced security []
- f. Enhanced preservation []
- g. Enhanced communication []
- h. Report generation []
- i. Other, please specify

.....
.....

109. Do you face challenges in managing electronic records?

- a. Yes []
- b. No []

110. If yes, what challenges do you face in managing electronic records? (Please tick all the applicable options)

- a. Capturing metadata []
- b. Hardware and software dependency []
- c. Changing technology []
- d. Authenticity of electronic records []
- e. Legal admissibility of electronic records []
- f. Preservation of data []
- g. Security of data []
- h. Lack of computer skills []
- i. Lack of policy []
- j. Other, please specify

.....
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Section 12: Provision of professional records management advice by the National Archives of Tanzania staff

111. Are you aware of the existence of the National Archives of Tanzania?
a. Yes []
b. No []
112. Do you receive professional records management advice from the National Archives of Tanzania staff?
a. Yes []
b. No []
113. If yes, which of the following indicates areas of professional records management advice given by the National Archives of Tanzania? (Please tick all the applicable options)
- a. Registry management []
 - b. Reports management []
 - c. Forms management []
 - d. Directives management []
 - e. Files management []
 - f. Preservation of records []
 - g. Records security []
 - h. Disaster management []
 - i. Other, please specify
-
.....
114. Which of the following means do you use to contact National Archives staff when seeking professional records management advice? (Please tick all the applicable options)
- a. Personal visits []
 - b. Correspondence []
 - c. Fax []
 - d. Email []
 - e. Telephone []
 - f. Other, please specify
-
.....
115. Do you face any problems when seeking professional records management advice from the National Archives of Tanzania?
a. Yes []
b. No []
116. If yes, which of the following problems do you face when seeking professional records management advice from the National Archives of Tanzania? (Please tick all the applicable options)
- a. Non-response []
 - b. Delays in response []

- c. Uncooperative staff []
- d. Other, please specify

.....

Section 13: Levels of skills and training

117. Have you received training in records management?

- a. Yes []
- b. No []

118. If yes, which of the following choices indicates your level of professional training in records management received? (Please tick all the applicable options)

- a. Advanced diploma []
- b. Diploma []
- c. Certificate []
- d. Other, please specify

.....

119. Does your ministry run courses to update your knowledge and skills in records management?

- a. Yes []
- b. No []

120. If yes, have you attended any records management course run by your ministry in the last five years?

- a. Yes []
- b. No []

121. Please indicate the year, nature and institution that run courses

Year	Nature of records management course	Institution running course
2007		
2006		
2005		
2004		
2003		

122. In what areas do you have the greatest need for additional training in records management? (Please tick all the applicable options)

- a. Managing paper records during their entire life cycle []
- b. Managing electronic records during their life cycle []
- c. Computer skills []
- d. Computer applications in records management []
- e. Changing role of registry []
- f. User need analysis []

- g. Role of archival institutions in managing public records []
- h. Other, please specify

.....

123. Which of the following would be useful in meeting your training needs in records management? (Please tick all the applicable options)

- a. Seminars and workshops []
- b. Internships []
- c. Use of consultants []
- d. Training in records/ archives schools and colleges []
- e. On job training []
- f. Publications in records management []
- g. Other, please specify

.....

Section 14: Public sector reforms and the current recordkeeping practices

124. Does the introduction of public sector reforms influence the current recordkeeping practices?

- a. Yes []
- b. No []

125. If yes, in what way?

.....

126. Do the current recordkeeping practices support the public sector reform programme objectives?

- a. Yes []
- b. No []

127. If yes, which type of records support the public sector reform objectives?

- a. Financial records []
- b. Personnel records []
- c. Administrative records []
- d. Policy records []
- e. Other, please specify

.....

128. Do you consider records management as being key to fostering accountability?

- a. Yes []
- b. No []

129. If yes, please explain

.....

130. Do the current recordkeeping practices undermine transparency in your ministry?
a. Yes []
b. No []

131. If yes, please explain
.....
.....

132. Do the current recordkeeping practices undermine accountability in your ministry?

133. If yes, please explain
.....
.....

134. Please provide any additional information that you feel can improve current recordkeeping practices to enhance public sector accountability?
.....
.....

Thank you very much for your time.

Please return the completed questionnaire to your registry supervisor for collection or to Ms. Esther Ndenje-Sichalwe University of Dar es Salaam, Information Studies Programme, P.O. Box 35092 Dar es Salaam, Tanzania
Telephone: **0787589696**, E-mail: esther@libis.udsm.ac.tz

Appendix 3: Interview schedule for senior ministerial officers

Dear Sir/Madam,

I am a PhD Candidate in the Department of Information Studies Programme at the University of KwaZulu-Natal, South Africa. As part of the degree requirement, I am conducting a study entitled: "**The significance of records management to fostering accountability in public sector reform programme of Tanzania**".

The aim of the study is to examine current recordkeeping practices in government ministries of Tanzania in order to establish the extent to which they foster accountability in public sector reform programme. It is hoped that the study recommendations will be used to guide the development of recordkeeping practices in government ministries.

The purpose of writing is to request you to set aside some time for an interview, which will enable me come up with factual and relevant data, relating to policy issues that affect recordkeeping practices in your ministry in order to establish the extent to which they foster accountability in public sector reform programme. All the information provided will be kept confidential, and used only for the current study. A research permit for this study was sought and obtained, and is hereby attached.

Thanking you in advance for your time and cooperation.

Yours faithfully,

Esther Ndenje-Sichalwe
University of Dar es Salaam
Information Studies Programme
P. O. Box 35092
Dar es Salaam
Tanzania
Cell phone. 0737010702
Email: esther@libis.udsm.ac.tz

BACKGROUND INFORMATION

Ministry
 Designation
 Address
 Telephone
 Email
 Website
 Date of interview
 Place of interview

Section 1: Mission and budget

1. Do you consider records management as being essential in the attainment of your ministry's:

Attribute	Yes	No
Mission		
Vision		
Core values		

2. Give a brief explanation for the reasons for your answer

.....

3. Which of the following indicates how record management is essential in the attainment of your ministry's mission, vision and core values?

- a. Enhances planning process []
- b. Enhance budgeting process []
- c. Enhances human resources management []
- d. Enhances good governance []
- e. Enhances auditing process []
- f. Enhances service delivery []
- g. Other, please specify

.....

4. Is the registry department allocated its own budget?

- a. Yes []
- b. No []

5. Which of the following is true or false about registry funding?

- a. Funding is adequate true [] false []
- b. Has increased over the last five years true [] false []
- c. Has decreased over the last five years true [] false []
- d. Status quo has remained the same true [] false []

6. Do you experience particular problems due to the current state of registry funding?

- a. Yes []
- b. No []

7. If yes, which of the following problems do you encounter due to the current state of registry funding? (please tick all the applicable options)
- a. Inability to purchase appropriate storage equipment []
 - b. Inability to purchase sufficient supplies []
 - c. Inability to educate and train staff []
 - d. Inability to provide adequate registry services []
 - e. Other, please specify

.....

Section 2: Public sector reform programme, training of registry staff

8. Does the introduction of public sector reforms influence the current recordkeeping practices?
- a. Yes []
 - b. No []

9. If yes, in what way?

10. If no, please explain

11. Do the current recordkeeping practices support the public sector reform programme objectives?
- a. Yes []
 - b. No []

12. If yes, how does it support the public sector reform programme objectives?

13. If no, please explain

14. Do you consider records management as being key to fostering accountability in the public sector?
- a. Yes []
 - b. No []

15. If yes, please explain

16. If no, please explain

17. Do current recordkeeping procedures undermine transparency in the ministries?

- a. Yes []
- b. No []

18. If yes, please explain

.....
.....

19. Do current recordkeeping practices undermine accountability in the ministries?

- a. Yes []
- b. No []

20. If yes, please explain

.....
.....

21. Do you have a training needs assessment programme for registry staff?

- a. Yes []
- b. No []

22. Does your ministry run courses to update the knowledge and the skills of registry staff?

- a. Yes []
- b. No []

23. Do you have a training policy for registry staff?

- a. Yes []
- b. No []

Section 3: Collaboration with the National Archives of Tanzania

24. Do you collaborate with the National Archives of Tanzania to enhance recordkeeping in your ministry?

- a. Yes []
- b. No []

25. Do you face any challenges in collaboration with the National Archives of Tanzania to enhance recordkeeping practices in your ministry?

- a. Yes []
- b. No []

26. Do you face any challenges in managing records in your ministry?

- a. Yes []
- b. No []

27. Which of the following factors contribute to the current state of recordkeeping in your ministry?

- a. Lack of records management policy []

- b. Inadequate funding []
- c. Inadequate trained registry staff []
- d. Lack of senior management support []
- e. Inappropriate storage supplies and equipment []
- f. Other, please specify

28. Is the ministry taking any steps to address the challenges?

- a. Yes []
- b. No []

29. If yes, which of the following steps are you taking to address the challenges faced in managing records?

- a. Training registry staff []
- b. Marketing records management []
- c. Enhancing contacts with the Tanzania National archives []
- d. Adopting computerization []
- e. Seeking senior management support []
- f. Increased registry funding []
- g. Other, please specify

.....

30. What recommendation can you suggest to enhance recordkeeping practices in your ministry?

.....

Thank you for your time.

In case of further information relating to the current study, please contact me at the following address: Ms. Esther Ndenje-Sichalwe University of Dar es Salaam, Information Studies Programme, P.O. Box 35092 Dar es Salaam, Tanzania
 Telephone **0737010702**, E-mail: esther@libis.udsm.ac.tz

Appendix 4: Interview schedule for archivists from the National Archives of Tanzania

Dear Sir/Madam,

I am a PhD Candidate in the Department of Information Studies Programme at the University of KwaZulu-Natal, South Africa. As part of the degree requirement, I am conducting a study entitled: "The significance of records management to fostering accountability in public sector reform programme of Tanzania".

The aim of the study is to examine current recordkeeping practices in government ministries of Tanzania in order to establish the extent to which they foster accountability in public sector reform programme. It is hoped that the study recommendations will be used to guide the development of recordkeeping practices in government ministries of Tanzania.

The purpose of writing is to request you to set aside some time for an interview, which will enable me come up with factual and relevant data. All the information provided will be kept confidential, and used only for the current study.

Thanking you in advance for your time and support.

Yours faithfully,

Esther Ndenje-Sichalwe
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Dar es Salaam
Tanzania
Cell phone. 0787589696
Email: esther@libis.udsm.ac.tz

BACKGROUND INFORMATION

Designation
 Address
 Telephone
 Email
 Website
 Date of interview
 Place of interview

Section 1: Provision of records management advice to registry staff

1. Which of the following activities indicates your job description?
- a. Implementing the provisions of the Records and Archives Act Number 3 of 2002
 - b. Conducting records surveys and appraisal []
 - c. Preparation of record retention schedules []
 - d. Providing advice on record disposition []
 - e. Conducting training programme for registry staff []
 - f. Records management consultancy []
 - g. Administration of record centre resources []
 - h. Other, please specify
-

2. Do you provide professional records management advice to registry staff?
- a. Yes []
 - b. No []

3. If yes, which of the following areas of professional records management advice you provide to registry staff in government ministries?
- a. Records creation []
 - b. Records distribution []
 - c. Maintenance and use []
 - d. Appraisal and disposition []
 - e. Registry management []
 - f. Records preservation and conservation []
 - g. Registry layout and design []
 - h. Registry automation []
 - i. Other, please specify
-

4. Which of the following areas does the National archives offer advice to records creating unit? (Please tick all the applicable options)

Advice offered to records creating unit		Yes	No
a.	Functions and activities for which records must be created		
b.	Number of copies per record to be maintained in the system		
c.	Procedures for registering records into the records system		
d.	Maintenance of lists of records		
e.	Construction of classification schedules		

f.	Classifying records		
g.	File creation procedures		
h.	File maintenance procedures		
i.	Use of controlled vocabulary in file retrieval		
j.	Construction of indexes to records in the system		
k.	Regulatory access requirements for records		
l.	Procedures for providing access to records		
m.	Identification of active records in the system		
n.	Storage of active records		
o.	Identification of semi-active records		
p.	Storage of semi-active records		
q.	Selection of records storage equipment		
r.	Inventorizing of records		
s.	Construction of retention schedules		
t.	Identification of records of continuing value		
u.	Transfer procedures of record to archives		
v.	Destruction of records no longer needed by the system		

5. Do you conduct record survey in government ministries?

- a. Yes []
- b. No, go to question 8 []

6. If yes, what issues do you cover when conducting records surveys in government ministries?

.....

7. How frequently do you conduct the records survey?

- a. Once a year []
- b. Twice a year []
- c. Upon request []
- d. Other, please specify

.....

8. Do you conduct records appraisal in government ministries?

- a. Yes []
- b. No, go to question 10 []

9. If yes, which of the following criteria do you use when conducting appraisal in government ministries?

- a. File by file review []
- b. Value based, such as administrative and legal []
- c. Functional []
- d. Sampling []
- e. Other, please specify

.....

10. Do you assist registry staff to develop records retention schedules?
- a. Yes []
 - b. No, go to question 14 []
11. Do you provide assistance to registry staff on how to dispose off records with no continuing value?
- a. Yes []
 - b. No []
12. If yes, which of the following disposition methods do you advise registry staff to use for sensitive records?
- a. Burning in ordinary fire []
 - b. Recycling []
 - c. Incineration []
 - d. Shredding []
 - e. Other, please specify
13. Which of the following methods do you advise registry staff to use for the disposition of non-sensitive records?
- a. Pulping []
 - b. Recycling []
 - c. Incineration []
 - d. Shredding []
 - e. Other, please specify
14. Do you advise registry staff to consider security precautions when disposing of records?
- a. Yes []
 - b. No, go to question 16 []
15. If yes, which of the following indicate situations when registry staff is advised to consider security precautions in disposing of records?
- a. When transferring records to disposition facilities []
 - b. When using private firms to dispose records []
 - c. When disposing off confidential records []
 - d. Other, please specify
 -
 -
16. Do registry staff implement the advice you provide relating to the management of their records?
- a. Yes, go to question 18 []
 - b. No []
17. If no, which of the following explain the reasons for non-implementation of advice provided to registry staff relating to the management of records?
- a. Transfers of registry staff []
 - b. Lack of trained registry staff []
 - c. Lack of support from senior officers []

- d. Low priority accorded to records management []
 - e. Lack of regular follow-ups by the National Archives staff []
 - f. Records and Archives Act does not give creators more responsibility in managing their records []
 - g. Other, please specify
-
-

18. Does the implementation of records management advice to registry staff enhance public accountability?

- a. Yes []
- b. No []

19. If yes, please provide examples of how implementation of recordkeeping advice to staff enhances public accountability.

.....

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Section 2: Management of electronic records

20. Have you undertaken a survey to determine the amount of electronic records created in a given ministry?

- a. Yes []
- b. No []

21. Are the registry staff trained in managing electronic records?

- a. Yes []
- b. No []

22. Do you have an electronic records management programme for public sector records?

- a. Yes []
- b. No []

23. If yes, which of the following areas does it cover?

- a. Management of electronic records during their entire life cycle []
- b. Design and maintenance of electronic records systems []
- c. Transfer of electronic records deemed of archival value []
- d. Identification of records with archival value which should remain with creating agencies []
- e. Other, please specify

.....

.....

24. Do you collaborate with other government IT professionals or agencies to develop programme for managing electronic records in the public sector?

- a. Yes []
- b. No []

25. If yes, please indicate the names of the agencies involved

.....
.....

26. Which of the following areas does the collaboration with other government IT professionals cover?

- a. Developing records management application software []
- b. Running records management training programme []
- c. Planning and design of electronic systems []
- d. Developing electronic records systems []
- e. Developing electronic records management standards []
- f. Developing policy for managing electronic records []
- g. Other, please specify []

.....
.....

27. Do you face any challenges in providing advice relating to management of electronic records in government ministries?

- a. Yes []
- b. No []

28. If yes, which of the following indicates the challenges you face?

- a. Not capturing electronic records when created
Yes [] No [] Uncertain []
- b. Lack of adequate IT training
Yes [] No [] Uncertain []
- c. Lack of adequate financial resources
Yes [] No [] Uncertain []
- d. Lack of adequate staff
Yes [] No [] Uncertain []
- e. Inadequacy of existing records and archives legislation
Yes [] No [] Uncertain []
- f. Defining the role of system administrators and records managers
Yes [] No [] Uncertain []

Section 3: Records and archives legislation

29. Does the Records and Archives Act Number 3 of 2002, state the major responsibilities of the Director of the National Archives of Tanzania?

- a. Yes []
- b. No, go to question 31 []

30. If yes, which of the following indicate the responsibilities of the Director of the National Archives of Tanzania with regard to the management of public sector records?

- a. Examine public records and advice on their care []
- b. Conduct records surveys and appraisals []
- c. Require the transfer to his custody, public records with archival value []
- d. Advise on preparation of record retention schedules []
- e. Advise on records disposition []

- f. Provide records management training []
- g. Other, please specify

.....

31. Does the Records and Archives Management Act Number 3 of 2002 state the responsibilities of record creating agencies in managing their record?

- a. Yes []
- b. No []

32. If yes, which of the following constitutes the responsibilities of records creating agencies in managing their records

- a. Create records for the conduct of business []
- b. Establish an active programme for the efficient management of records during their entire life cycle []
- c. Liaise with the Director, the National Archives of Tanzania to manage records according to the provisions of the Records and Archives Management Act []
- d. Establish safeguards against records removal or loss []
- e. Establish cadre of record staff to manage records []
- f. Promote records as a resource []
- g. Other, please specify

33. Does the Records and Archives Management Act Number 3 of 2002 stress the continuity of records care during their entire life cycle?

- a. Yes []
- b. No []

34. If yes, please explain

.....

35. Does the Records and Archives Management Act Number 3 of 2002 establish partnership between record creating agencies and the Director of the National Archives of Tanzania in managing records during their life cycle?

- a. Yes []
- b. No []

36. Does the Records and Archives Management Act Number 3 of 2002 cover the management of both paper and non-paper based records?

- a. Yes []
- b. No []

37. Does the Records and Archives Management Act of 2002 give the Director of the National Archives of Tanzania authority to collect and disseminate information on technological development relating to records management in public agencies?

- a. Yes []
- b. No []

38. If yes, please provide examples of technological developments relating to records management disseminated to public creating agencies by the Director of the National Archives of Tanzania

.....
.....

39. Has the Records and Archives Management Act Number 3 of 2002 been revised since its enactment?

- a. Yes []
- b. No, go to question 42 []

40. If yes, when was the Act revised?.....

41. What new clauses were introduced in the Act?

.....
.....

42. Does the Records and Archives Management Act Number 3 of 2002 have strengths in relation to the management of public records?

- a. Yes []
- b. No, go to question 44 []

43. If yes, please state the strengths of the Act

.....
.....

44. Does the Records and Archives Management Act Number 3 of 2002 have weaknesses in relation to the management of public records?

- a. Yes []
- b. No []

45. If yes, please state the weaknesses of the Act

.....
.....

46. Are there clauses you would like to be introduced in the current Records and Archives Management Act Number 3 of 2002 to enhance management of public records?

- a. Yes []
- b. No []

47. If yes, please state these clauses

.....
.....

48. Do you face any challenges using the current Records and Archives Management Act Number 3 of 2002 to manage public records in the Tanzania public service?

- a. Yes []
- b. No []

49. If yes, which of the following constitutes these challenges?
- a. Inadequate professional staff to implement the provisions of the Act? []
 - b. Insufficient government funding []
 - c. Staff lacking adequate skill and competencies in IT []
 - d. Inadequate cooperation from government officers []
 - e. Insufficient marketing of records management in the public service []
 - f. No clear records management strategic direction []
 - g. Other, please specify []

.....

Section 4: Records management and public sector reform programme

50. Does the introduction of public sector reform programme influence the current recordkeeping practices?
- a. Yes []
 - b. No []

51. If yes, in what way?
-

52. Do the current recordkeeping practices support the public sector reform programme objectives?
- a. Yes []
 - b. No []

53. If yes, which type of records support the public sector reform objectives?
- a. Financial records []
 - b. Personnel records []
 - c. Administrative records []
 - d. Policy records []
 - e. Other, please specify []
-

54. Do you consider records management as being key to fostering accountability?
- a. Yes []
 - b. No []

55. If yes, please explain
-

56. How the current recordkeeping practices affect public sector accountability? (Please tick all applicable options)

- a. Records cannot be located easily []
- b. Delayed decision making []
- c. No decision taken []
- d. Difficulties in meeting clients needs []
- e. Other, please specify

.....
.....

57. Do current recordkeeping practices undermine transparency in the ministries?

- a. Yes []
- b. No []

58. If yes, please explain

.....
.....

59. Do current recordkeeping practices undermine accountability in the ministries?

- a. Yes []
- b. No []

60. If yes, please explain

.....
.....

Section 5: Recommendations and additional information

61. What recommendations can you provide to enhance the management of recordkeeping practices in government ministries?

.....
.....

62. Please provide any additional information which is important to the current study

.....
.....

Thank you very much for your time.

In case of further information relating to the current study, please contact me at the following address: Ms. Esther Ndenje-Sichalwe University of Dar es Salaam, Information Studies Programme, P.O. Box 35092 Dar es Salaam, Tanzania.

Telephone 0787589696, E-mail: esther@libis.udsm.ac.tz

Appendix 5: Interview schedule for the Tanzania Public Service College staff

I am a PhD Candidate in the Department of Information Studies Programme at the University of KwaZulu-Natal, South Africa. As part of the degree requirement, I am conducting a study entitled: "The significance of records management to fostering accountability in public service reform programme of Tanzania".

The aim of the study is to examine current recordkeeping practices in government ministries of Tanzania in order to establish the extent to which they foster accountability in public service reform programme. You have been identified because your college is engaging in training registry personnel from the government ministries. It is hoped that the study recommendations will be used to guide the development of recordkeeping practices in government ministries of Tanzania.

The purpose of writing is to request you to set aside some time for an interview, which will enable me come up with factual and relevant data. Participation is voluntary. You may withdraw from participating in the interview at any time during the process. All the information provided will be kept confidential, and used only for the current study.

Thanking you in advance for your time and support.

Yours faithfully,

Esther Ndenje-Sichalwe
University of Dar es Salaam
Information Studies Programme
P. O. Box 35092
Dar es Salaam
Tanzania
Cell phone: **0787589696**
Email: esther@libis.udsm.ac.tz

BACKGROUND INFORMATION

Designation
 Address
 Telephone
 Email
 Website
 Date of interview
 Place of interview

Section 1: Training of registry staff

1. Do you provide training in records management?
 - a. Yes []
 - b. No []

2. If yes, which of the following records management courses offered in your college?
 (Please tick all the applicable options)

	Course	Yes	No	Duration
a.	Advanced diploma			
b.	Diploma			
c.	Certificate			
d.	Other, please specify.....			

3. Does the college run short courses in records management to update knowledge and skills of registry personnel?
 - a. Yes []
 - b. No []

4. If yes, which courses run by your college in the last five years? Please nature and duration of the courses

Year	Nature of records management course	Course duration
2007		
2006		
2005		
2004		
2003		

5. What areas (course contents) do the courses cover?

Section 2: Recommendation and additional information

6. How does the introduction of public service reform programme influenced training in records management?

.....
.....

7. What recommendations can you provide to enhance on records management education and training for registry personnel?

.....
.....

8. What recommendations can you provide to enhance the management of recordkeeping practices in government ministries?

.....
.....

9. Please provide any additional information which is important to the current study

.....
.....

Thank you very much for your time.

In case of further information relating to the current study, please contact me at the following address: Ms. Esther Ndenje-Sichalwe University of Dar es Salaam, Information Studies Programme, P.O. Box 35092 Dar es Salaam, Tanzania

Telephone: **0787589696**, E-mail: esther@libis.udsm.ac.tz

Appendix 6: Observation checklist

Background information

Name of the Ministry

Address

Telephone

Email

Date of observation

No.	Items to be observed	Details
1.	Records storage Equipment Layout and design Rooms for storage of semi-current and non-current records	
2.	Filing Classification Arrangement	
3.	Access and use File retrieval tools File tracking tools	
4.	Records security Security measures Fire monitoring such as smoke detectors Electricity back-up etc Vital records programme	
5.	Records preservation File wear and tear Presence of dust Leaking roof Monitoring instruments for temperature and humidity	
6.	Appraisal and retention scheduling Presence of retention schedules Overdue records earmarked for disposal Records disposal certificate	
7.	Computer Existence of computer Computer applications in records management	
8.	Electronic records Storage equipment Back-ups	

Appendix 7: Covering letter for pretesting the questionnaires

Dear colleague

I am a student at the University of KwaZulu-Natal doing a PhD in Information Studies. I am seeking your assistance in my research project. The aim of the study is to examine current recordkeeping practices in government ministries of Tanzania in order to establish the extent to which they foster accountability in public sector reform programme. In order to ensure the validity and reliability of the questionnaire as a data collection tool, I am conducting a pretest on the questionnaire I am intending to use for the study. The target population are the government ministries and the National Archives of Tanzania. Your comments and contributions will be most welcome. Please scrutinize the questionnaire using the checklist that is provided below.

- i. Are there any typographical errors? Yes No
- ii. If your answer is "Yes", please indicate them in the questionnaire.
- iii. Are there any misspelt words? Yes No
- iv. If your answer is "Yes", please indicate them in the questionnaire.
- v. Do the item numbers make sense? Yes No
- vi. If your answer is "No", please, provide some suggestions below:
.....
.....
- vii. Is the type size big enough to be easily read? Yes No
- viii. If your answer is "No", please, provide some suggestions below:
.....
.....
- ix. Is the vocabulary appropriate for the respondents? Yes No
- x. If your answer is "No", please, provide some suggestions below:
.....
.....
- xi. Is the survey too long? Yes No
- xii. If your answer is "Yes", please, provide some suggestions below:
.....
.....
- xiii. Is the style of the items too monotonous? Yes No
- xiv. Are the skip patterns too difficult to follow? Yes No
- xv. If your answer is "No", please, provide some suggestions below:
.....
.....
- xvi. Does the survey format flow well? Yes No
- xvii. If your answer is "No", please, provide some suggestions below:
.....
.....
- xviii. Are the items appropriate for the respondents? Yes No
- xix. If your answer is "No", please, provide some suggestions below:
.....
.....

Please return the completed questionnaire to your registry supervisor for collection or to Ms. Esther Ndenje-Sichalwe University of Dar es Salaam, Information Studies Programme, P.O. Box 35092 Dar es Salaam, Tanzania. Telephone 0782662466, E-mail: esther@libis.udsm.ac.tz

Appendix 8: Research questions and possible sources of data

Research Question	Possible Source of data
1. What are the activities and strategies used in the management of public records in the government ministries in Tanzania?	<ul style="list-style-type: none"> • Literature • Questionnaire with registry personnel – Appendix 2, Question No. 1-88. • Interviews with senior ministerial personnel – Appendix 3, Question 1 - 7. • Observation Appendix 6, Items No. 1 – 6.
2. What current means and processes are employed to make public records accessible?	<ul style="list-style-type: none"> • Literature, • Questionnaire with registry personnel - Appendix 2, Question No. 89 – 95. • Observation Appendix 6, Item No. 1-6
3. What is the extent of computer applications in the management of electronic records in Tanzania?	<ul style="list-style-type: none"> • Literature • Questionnaire with registry personnel - Appendix 2, Question No. 96-110. • Interview with National Archives personnel – Appendix 4, Question 20-28 • Observation Appendix 6, Item 7-8.
4. What roles do the National Archives of Tanzania play in fostering the management of public records in the ministries of Tanzania?	<ul style="list-style-type: none"> • Literature • Questionnaire with registry personnel – Appendix 2, Question No. 111 – 116 • Interviews with senior ministerial officers – Appendix 3, Question 24, 25 • Interview with National Archives personnel – Appendix 4, Question No. 1 -19 •
5. What is the role of records and archives legislation in the management of public records in the ministries in Tanzania?	<ul style="list-style-type: none"> • Literature • Interview with National Archives personnel – Appendix 4, Question No. 29 – 49.
6. What are the factors that contributed to the current records management practices in the ministries in Tanzania?	<ul style="list-style-type: none"> • Literature • Interview with senior ministerial officials Appendix 3, Question 26-30 • Observation – Appendix 6, Item No. 1- 8

	<ul style="list-style-type: none"> • Unstructured interview with registry personnel
7. What levels of skills and training of records managers in the ministries of Tanzania?	<ul style="list-style-type: none"> • Literature • Questionnaire with registry personnel – Appendix 2, Question No. 117-123. • Interview with senior ministerial officials – Appendix 3, Question No. 21-23 • Interview with TPSC staff – Appendix 5, Question No.1 – 9
8. How did the introduction of the Public Service Reform Programme influence the current records management practices in government ministries of Tanzania?	<ul style="list-style-type: none"> • Literature • Questionnaire with registry personnel - Appendix 2, Question No. 124 – 134 • Interview with senior ministerial personnel – Appendix 3, Question No. 8 – 20. • Interview with National Archives personnel – Appendix 4, Question No.50 - 62
9. What conclusions and recommendations on records management issues as they relate to fostering accountability in the PSRP can be made?	<ul style="list-style-type: none"> • Literature • Findings and conclusions emanating from all the collected data

Appendix 9: Introductory letter from the University of KwaZulu-Natal



UNIVERSITY OF
KWAZULU-NATAL

School of Sociology and Social
Studies
University of KwaZulu-Natal
Private Bag X01
Scottsville 3209
South Africa
Tel: +27 (0) 33 2605972
Fax: +27 (0) 33 2605092
ngulubep@ukzn.ac.za

11 December 2007

TO WHOM IT MAY CONCERN

**Letter of introduction: Ms. Esther Ndenje-Sichalwe Student No. 207515301
(Information Studies Programme)**

This letter serves to introduce Ms. Esther Ndenje-Sichalwe who is registered as a PhD student at the University of KwaZulu-Natal. Ms Ndenje-Sichalwe is currently carrying out a study on the significance of records management to fostering accountability in the public sector reform programme of Tanzania. The purpose of the study is to investigate the extent to which the current recordkeeping practices in government ministries of Tanzania support or undermine accountability in public sector reforms. The information obtained and the resultant recommendations could assist in decision-making.

In order to undertake the study, Ms. Ndenje-Sichalwe will need to distribute a questionnaire and conduct interviews and observations in Government ministries and departments. In that light, the Information Studies Programme kindly requests you to render any possible assistance to Ms Ndenje-Sichalwe in order to facilitate the conduct of the study.

If you require any clarification pertaining to the study, please, feel free to contact Prof. Patrick Ngulube, who is the supervisor of the research, on telephone 27332605972 or email ngulubep@ukzn.ac.za.

Thank you in advance in anticipation.

Yours faithfully

A handwritten signature in black ink, appearing to read 'P. Ngulube'.

Prof Patrick Ngulube (Supervisor)
Academic Coordinator (Information Studies Programme)

Appendix 10: Introductory letter from the office of the Vice Chancellor, University of Dar es Salaam



UNIVERSITY OF DAR ES SALAAM
OFFICE OF THE VICE-CHANCELLOR
P.O. BOX 35091 • DAR ES SALAAM • TANZANIA

Ref. No: AB3/12(B)
Date: 16th January, 2008
To: The Permanent Secretary,
Ministry of Information, Culture, and Sports,
Dar es Salaam.

UNIVERSITY STAFF AND STUDENTS RESEARCH CLEARANCE

The purpose of this letter is to introduce to you Ms Esther Ndenje-Sichalwe who is a bonafide student of the University of Dar es Salaam and who is at the moment conducting research. Our staff members and students undertake research activities every year especially during the long vacation.

In accordance with a government circular letter Ref.No.MPEC/R/10/1 dated 4th July, 1980 the Vice-Chancellor was empowered to issue research clearances to the staff and students of the University of Dar es Salaam on behalf of the government and the Tanzania Commission for Science and Technology, a successor organization to UTAFITI.

I therefore request you to grant the above-mentioned member of our University community any help that may facilitate her to achieve research objectives. What is required is your permission for her to see and talk to the leaders and members of your institutions in connection with her research.

The title of the research in question is "The Significance of Records Management to Fostering Accountability in Public Sector Reform Programme of Tanzania".

The period for which this permission has been granted is February, 2008 to June, 2008 and will cover the following areas/offices: Ministry of Information, Culture, and Sports.

Should some of these areas/offices be restricted, you are requested to kindly advise her as to which alternative areas/offices could be visited. In case you may require further information, please contact the Directorate of Research and Publications, Tel. 2410500-8 Ext. 2087 or 2410743.


Prof. Rwekaza S. Mukandala
VICE-CHANCELLOR

VICE CHANCELLOR
UNIVERSITY OF DAR-ES-SALAAM
P.O. BOX 35091
DAR-ES-SALAAM

Direct: + 255 22 2410700/2113654
Telephone: + 255 22 2410500-8 Ext.2001
Telefax: + 255 22 2410078/2410514

Telegraphic Address: UNIVERSITY DAR ES SALAAM
E-Mail: vc@admin.udsm.ac.tz
Website address: www.udsm.ac.tz

Appendix 11: Research permit letter

**THE UNITED REPUBLIC OF TANZANIA
MINISTRY OF INFORMATION, CULTURE AND SPORTS**

Tel. No. 2123947
Fax: 2123931
E-Mail:
In reply please quote:



P.O. Box 8031,
DAR ES SALAAM

Ref. No. HUM/U.4/11

31st March, 2008

Vice Chancellor,
University of Dar es Salaam,
P.O. Box 35091,
DAR ES SALAAM.

RE: UNIVERSITY STAFF AND STUDENTS RESEARCH CLEARANCE

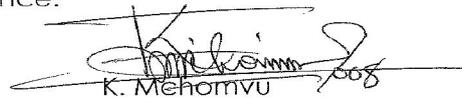
The above caption refers.

In reference to your letter dated 16/01/2008 reference number AB3/12(B) concerning the above heading.

I'm informing you that our Ministry has accepted Ms. Esther Ndenje Sichelwe to conduct her research in our office.

The opportunity has been granted in regard to a government circular letter ref. No. MPEC/R/10/1 dated 4th July, 1980. Therefore she is requested to see the writer of this letter for further directives.

Thanks in advance.


K. Mchomvu

FOR: PERMANENT SECRETARY

Appendix 12: List of postal and email addresses of surveyed ministries

1. Ministry of Communication, Science and Technology
Jamhuri Street,
P.O Box 2645,
Dar es Salaam, Tanzania.
Telephone: +255 22 2111254-7.
E-mail: mst@mst.go.tz
Website: <http://www.mst.go.tz>
2. Ministry of Education and Vocational Training
P. O. Box 9121,
Dar es Salaam, Tanzania.
Telephone: +255 22 2120403.
Email: psmoevt@moe.go.tz
Website: <http://www.moe.go.tz>
3. Ministry of Home Affairs
P.O. Box 9223,
Dar es Salaam, Tanzania.
Telephone: +255 22 2119050.
Email: ps@moha.go.tz
Website: <http://www.moha.go.tz>
4. Ministry of Energy and Minerals
Sokoine/Mkwepu Street,
P.O. Box 2000/9152,
Dar es Salaam, Tanzania.
Telephone: +255 22 2117153-9.
Email: madini@africaonline.co.tz
Website: <http://www.mem.go.tz>
5. Ministry of Finance and Economic Affairs
P.O. Box 9111,
Dar es Salaam, Tanzania.
Telephone: +255 22 2111174-6.
Website: <http://www.mof.go.tz>
6. Ministry of Foreign Affairs and International Cooperation
Kivukoni Road,
P.O. Box 9000,
Dar es Salaam, Tanzania.
Telephone: +255 22 2111906-11.
Website: <http://www.tanzania.go.tz/government/foreign.htm>

7. Ministry of Health and Social Welfare
Samora Avenue,
P.O. Box 9083,
Dar es Salaam, Tanzania.
Telephone: +255 22 2120261/7.
Email: ps@moh.go.tz
Website: <http://www.moh.go.tz>

8. Ministry of Industry, Trade and Marketing
P.O. Box 9503,
Dar es Salaam, Tanzania.
Telephone: +255 222127898/97.
Email: ps@mit.go.tz
Website: <http://www.mitm.go.tz>

9. Ministry of Information, Culture and Sports
P.O. Box 8031,
Dar es Salaam, Tanzania.
Telephone: +255222123936.
E-mail: km@hum.go.tz
Website: <http://www.hum.go.tz>

10. Ministry of Infrastructure Development
Tancot House, Pamba Road / Sokoine Drive
P.O.Box 9144,
Dar es Salaam, Tanzania.
Telephone: +255 22 2137650-6.
Email: permsec@infrastructure.go.tz
Website: <http://www.infrastructure.go.tz>

11. Ministry of Justice and Constitution Affairs
Kivukoni Road,
P.O. Box 9050,
Dar es Salaam, Tanzania.
Telephone: +255 22 2117099.

12. Ministry of Labour, Employment and Youth Development
NSSF Building,
P. O. Box 1422,
Dar es Salaam, Tanzania.
Telephone: +255 22 2127245.
Email: permsec@kazi.go.tz
Website: <http://www.kazi.go.tz>

13. Ministry of Lands, Housing and Human Settlement Development
Ardhi House, Kivukoni Front
P.O. Box 9132,
Dar es Salaam, Tanzania.
Telephone: +255 22 2121241-9.
14. Ministry of Livestock and Fisheries Development
P. O. Box 9152,
Dar es Salaam, Tanzania.
Telephone: +255 22 2861910.
Website: <http://www.mifugo.go.tz>
15. Ministry of Natural Resources and Tourism
P.O. Box 9372
Dar es Salaam, Tanzania.
Telephone: +255 222111061-4
E-mail: nature.tourism@mnrt.go.tz
Website : <http://www.mnrt.go.tz>
16. Ministry of Water and Irrigation
P.O. Box 9153,
Dar es Salaam, Tanzania.
Telephone: +255 22 2452036
E-mail: wm@mowi.go.tz
Website: <http://www.maji.go.tz>
17. Ministry of Agriculture, Food Security and Co-operatives,
Kilimo Road (Along Nelson Mandela Road)
P.O. Box 9192,
Dar es Salaam, Tanzania.
Telephone: +255 22 2862480/1.
E-mail: psk@kilimo.go.tz
18. Ministry of Community Development, Gender and Children
Kivukoni Front,
P.O. Box 3448,
Dar es Salaam, Tanzania.
Telephone: +255 22 2111459.
Email: ps@mcdgc.go.tz
Website: <http://www.mcdgc.go.tz>

19. Ministry of East African Cooperation
NSSF Water Front Building 5th Floor,
P.O.Box 9280,
Dar es Salaam, Tanzania.
Telephone: +255 22 2126660
Email: ps@meac.go.tz
Website: <http://www.meac.go.tz>

20. President's Office-Public Service Management
P.O. Box 2483
Dar es Salaam, Tanzania.
Telephone: +255 22 118331-4.
Email: permsec@estabs.go.tz
Website: <http://www.estabs.go.tz>

Appendix 13: Map of Tanzania



Source: <http://www.africantravelinc.com/AboutATI/tanzania.html>