

**CHALLENGES FACING PROVINCIAL DEPARTMENTS IN RECORDS
MANAGEMENT AND DISPOSAL: A CASE STUDY OF CoGHSTA IN LIMPOPO
PROVINCE**

by

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DECLARATION

I, Morobane Manare Constance, declare that the mini dissertation hereby submitted to the University of Limpopo, for the degree of Master of Public Administration and Management has not previously been submitted by me for a degree at this or any other university; that it is my work in design and in execution, and that all material contained herein has been duly acknowledged.

Morobane M.C. Mrs 08 October 2021

DEDICATION

I dedicate this project to my late Father Solomon Bojela Selolo and my Mother Julia Mmakwena Selolo. I could not have asked for better parents.

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ABSTRACT

The study investigated the challenges faced by CoGHSTA department in records management and disposal with the sole purpose of developing some mechanisms to address the above-mentioned challenges. The study was conducted at CoGHSTA in Limpopo Province. The overall challenges faced in both records management and disposal are discussed. Data was collected from various sources e.g., primary, and secondary sources of data. Literature written by different authors – from international, national, and provincial contexts - namely government legislations, books, journals, websites office records such as procedure manuals and service standards, was investigated, to explore the topic under study.

The population for this study was all 21-records management staff within the two divisions of the Information management unit such as general records and human resource records. The study employed a qualitative research approach that relies on phenomenology because the researcher intends to find out what challenges are faced by CoGHSTA records management staff on records management and disposal. The study adopted purposive sampling because its respondents have the characteristics and knowledge to answer the research problem of this study. For this study, data were collected from 17 participants using semi-structured interviews. The study findings revealed the following as major challenges faced in records management: Lack of resources - human and financial; lack of storage facilities; lack of Senior Management support. The following were raised as challenges experienced on the disposal of records: delay in the approval of memo(s) for disposal of records by the Head of Department; delay by the Provincial Archives to give authority to dispose of records; lack of storage facilities for active and inactive records and shortage of staff to arrange records for disposal. It is out of those findings that the study proposed several recommendations which included the need to implement records management policies, standards, guidelines, and procedures.

The study recommended that the records management unit be allocated sufficient resources (human and financial) as other units that the department of strategic business deems to be performing the department's (CoGHSTA) core functions. This is because the records management unit equally plays a key role in the management of the records from various CoGHSTA units which are regarded as core units. It is also recommended that the allocation of storage facilities that meet the records storage

facilities standard be prioritised and attended to as a matter of urgency because the records management unit could function effectively and efficiently without such an important infrastructure. The study deems it necessary for the Head of Department as the Accounting Officer to delegate - in writing - the authority to the Records Manager or his/her supervisor to sign and approve the memorandum for disposal of records after a thorough appraisal of such records is done by the records staff to avoid the delays that are experienced during the approval of the memorandums. The study further recommends that the Provincial Archives have three (3) to four (4) employees amongst its staff establishment dedicated to each government department dealing with all records management issues including an appraisal of records to address the delay by the Provincial Archives when authorising the disposal of records.

LIST OF ABBREVIATIONS AND ACRONYMS

UK	United Kingdom
USA	United States of America
COGHSTA	Cooperative Governance, Human Settlement and Traditional Affairs
PAIA	Promotion of Access to Information Act 2 of 2000
NARSSA	National Archives and Records Service of South Africa
NAZ	National Archives of Zimbabwe
DSAC	Department of Sport Arts and Culture
CIO	Chief Information Office
HR	Human Resource
NARA	National Archives and Records Administration
NECCC	National Electronic Commerce Coordinating Council
KETRACO	Kenya Electricity Transmission Company
KNADS	Kenya National Archives and Documentation Services
AGSA	Auditor-General of South Africa

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CHAPTER ONE: INTRODUCTION

1.1 Introduction

The Department of Cooperative Governance, Human Settlements and Traditional Affairs (CoGHSTA) is responsible for improving service delivery to citizens and maintaining good local governance. It is important, therefore, that every document created by the department in its daily routines, inclusive of human resource documents be properly managed (Biraud, 2013). Proper management of records is key to responding to requests from the Departmental clients as required by the Promotion of Access to Information Act, Act 2 of 2000 (PAIA). Record keeping is crucial for promoting transparency and openness as required by the Constitution of the Republic of South Africa, 1996. This responsibility requires proper management of records, which may foster accountability, transparency, and good governance for the department (Republic of South Africa, 1996). It also provides access to information as required by the Bill of Rights as enshrined in chapter two of the same constitution. Kemoni and Wamukoya (2000:125) stated that “effective records management systems provide the information required for the proper functioning of organisations while poor records management can be risky to organisations”. Three Directorates fall under the Information Management Division namely, General Records, Human Resource Records and Library Services at the department of CoGHSTA. Storage space at the CoGHSTA department is limited according to the researcher’s observation. It is for this reason that some of the records have accumulated dust.

Information Management as a division is responsible for records management practices and procedures; and must ensure safe custody of records within the department. All records either general or human resource-related records created within the department are submitted to the Information Management Division after audits of such documents in their respective directorates. This can only be done if the department has proper records management practices and the storage facilities where those records will be kept are in good order. The department will be able to avoid risks of loss of valuable information; legal liability; unnecessary retention of information; non-compliance with state protocol; inability to locate information; rising costs related to storage and loss of organisational efficiency. By so doing, the department will comply with the National Archives Act of South Africa of 1996 which stipulates those records have to be disposed of after they have reached their retention periods

1.2 Problem Statement

Problem Statement refers to “a statement of the topic under investigation, stating important variables in the study, giving reasons for choosing the topic, and managing the selection of the research approach” (Fain, 2017:78). It focuses on “what needs to be fixed” instead of “what exists”. The problem statement also focuses on “a problem that needs to be corrected in the real world, by showing if there is a gap in the existing literature, or little information is written about the topic to be researched” (Creswell, 2015:13). A problem statement should be clear in addressing a particular goal and the main research problem of the study. It is, therefore, identified to solve social problems encountered by the human species in social settings such as the place of work (Meso, 2021). The Limpopo Provincial Treasury’s internal audit report on general records management: project code: 13/1/13/1/11/19 of 2018/19 (CoGHSTA Limpopo, 2020), highlighted poor record-keeping whereby the cause to the outlined risk is and point 17.2 of the same report. The report outlined those records storage that is not clean and records have accumulated dust. That creates a high risk of records exposure to damage due to inefficient and ineffective operation of controls as well as non-submission of records by some of the other directorates due to shortage of storage space, which needs major effort and urgent attention by the department of CoGHSTA management. Every record must follow a record life cycle: creation, maintenance, use and disposal. This is a process that any created record must follow until it is either transferred to Provincial Archives or destroyed. The process of transfer of records or destruction of records is known as disposal. The disposal of a record can either be through transfer to Provincial Archives or destruction. The department of CoGHSTA has many records that have reached their retention periods but have not been disposed of. As a result, there are serious challenges such as lack of storage space for records that are being created within the department; hence records accumulate dust and occasional non-submission of records by other directorates. This study, therefore, investigates the challenges faced by CoGHSTA department in records management and disposal with the sole purpose of developing some mechanisms to address the above-mentioned challenges.

1.3 Aim of the study

Babbie (2001:91) is of a view that “the aim of any research project should be understood as a general statement of intent, a broad goal with very little precision, that the researcher hopes to achieve when the whole research is completed”. This study aimed to investigate the challenges faced by CoGHSTA in records management and disposal.

1.4 Research Objectives

The objectives of the research refer to statements which are found in the considered statement of the aim, “specifying what is expected to be uncovered by the research; what will be acknowledged at the end of the study, which was unknown when it started; and what has been discovered by the investigation” (Fellows and Liu, 2015:45). The objectives give a direction for the research and permit the researcher to “put borderlines before starting the investigation” (Wilson, 2014:54).

The main objectives of this study are as follows:

- To examine compliance concerning records management and disposal procedures.
- To identify the challenges faced in record management.
- To determine the impact of disposal on records management.

1.5 Research Questions

The research questions of the study are as follows:

- Is there compliance concerning records management and disposal procedures?
- What are the challenges faced by CoGHSTA on records management?
- What is the impact of disposal on records management?

1.6 Significance of the study

The study augments the body of knowledge by contributing to the literature on the significance of records management practices in organizational administration. Additionally, the study also boosts easy access to records by emphasizing the significance of effective records management practices in organizational management. In policy making, the findings inform policy makers concerning organizational policies, including the incorporation and support of record management in an organization as a regulatory policy to enhance effective organizational

administration. This sub-section looked at the importance of the study and justifies investigating challenges faced by provincial departments, CoGHSTA in particular on records management and disposal. The researcher observed how records are stored in storerooms even when they have reached their retention periods but not disposed of and the challenges faced by the department in storage facilities to safely keep those records as required by the National Archives Act no 43 of 1996.

The study established the recommendations on how best records management could be undertaken such that the disposal of records can be done as required and under the legislations thereby saving legal costs and high costs of storage of invaluable records.

1.7 Definition of Concepts

The record refers to any - possible item or piece of object - “recorded information regardless of the form” or size (National Archives of South Africa Act, No, 43 of 1996).

Records Management is defined by the National Archives and Records Service Act (1996) ‘as a process of ensuring proper creation, maintenance, use and disposal of records to achieve efficient, transparent and accountable governance’. Records management is a strong pillar that supports the framework for managing public records.

Disposal of records means an act of either destroying and/or eliminating a record or transferring it into archival custody (National Archives of South Africa Act, No, 43 of 1996). Destruction of records must be eliminated when they have concluded the retention period. Records should be disposed of in a manner that preserves the confidentiality of the record(s). Disposal of records refers to the destruction of those records which do not warrant permanent preservation (sometimes referred to as ephemera).

Disposal authority means “a written authority issued in terms of Section 13 (2) (a) specifying records to be transferred into the custody of the National Archives or specifying records to be otherwise disposed of” (National Archives of South Africa Act, No, 43 of 1996).

1.9 Outline of the dissertation

This study is structured into five chapters:

Chapter One: Introduction

This chapter introduced the reader to the research study wherein it will indicate the identified problem, significance of the study, aim of the study, objectives, brief review of the literature about the problem under study, the study area, population under study, sampling method, sample size, data collection, data analysis, and ethical considerations.

Chapter Two: Literature Review

This chapter focused on the discussion of the literature on the topic under study and the findings of other scholars on the topic.

Chapter Three: Research Methodology and Design

This chapter outlined the research design chosen for this study, the rationale for the choice of the chosen design. The methods that are going to be used to collect data are also going to be discussed.

Chapter Four: Data Collection, Analysis, and Interpretation

The chapter indicates how the collected data analysed to find out the results of the study and data presentations based on the findings.

Chapter Five: Conclusions and Recommendations

Conclusions, and findings including recommendations that will enhance knowledge and add value to the study will be provided in this chapter.

Chapter Two: LITERATURE REVIEW

2.1. Introduction

The previous chapter had discussed the introduction and background of the study. The crucial areas emphasised in this chapter are the problem statement, research objectives and questions that guide the review of literature in this current chapter. Literature review sought to search for the study findings from literary works written by other researchers on the related topic. The exceptional functions of literature review as outlined by Kumar (2011:40) “are (1) to provide a theoretical background to your study and (2) to enable you to contextualise your findings of the existing body of knowledge in addition to refining your methodology”. In this study, the researcher will review the literature on records management policies, procedures, and its disposal programme at the department of CoGHSTA. Mouton (2013:87) argues that “a review of the existing scholarship is so important, to discover what the most recent and authoritative theorising about the subject is”. According to Smith (2007:8), “the effective management of records throughout their life cycle is a key issue”. This statement, therefore, implies that no stage of a record life cycle should be taken for granted including the disposal of records. Disposal of records as part of a record life cycle, may take the form of destruction of a record or maybe preserved as archives in an archival institution. The researcher looks at the record life cycle and an overview of records management from international, national, and provincial contexts. Literature written by different authors is selected to explore the topic under study, namely government legislations; books; journals; websites; office records such as procedure manuals and service standards.

2.2. Records Management

Records management is “the process of creation, use, maintenance and the disposal of records” (Harris, 2000:29). It is that area that looks at achieving efficiency and accountability as far as ‘the creation, maintenance, use and disposal of records is concerned’ (Harris, 2000). This is the stage that comes before the initial transfer of records into archival custody. Records management, therefore, must follow the following life cycle which is more or less that of a human being (APP301:12). A human being is born, cared for, maintained and lastly s/he may die and be buried or be sent to the old age home. On the other hand, a record is created, maintained, used and

face disposal where it may be archived or destroyed (National Archives of South Africa Act, No, 43 of 1996).

2.3. Theoretical Framework of Records Management.

The theoretical framework is a knowledge structure that can support or hold a theory of research. It describes and introduces the theory that explains the essence of a research problem (Weick, 2014). Theories play an integral part in explaining, predicting, understanding phenomena, and challenging existing knowledge.

2.3.1. The life cycle concept of a record

The records life cycle concept was propounded by Theodore Schellenberg (1956). It portrays records as going through various stages or periods much like a living organism (Azman, 2009). There are three phases in the life cycle concept: current records, which are managed in registries or record offices, semi-current records which are managed in records centres, and non-current records which are managed in archives (IRMT, 1999). In the same breath, Azman (2009:44) argues that “the concept of a life cycle is at the core of most records management programmes”. Azman (2009:44) further argues that:

... “most records management programmes are developed upon this concept. The life cycle theory views records as resembling living organisms that are born and which go through various stages until they cease to exist. The theory elaborates the progression of a record from when it is created up to when it is selected for the public archive.

The theory postulates that – like living organisms - a record undergoes through different phases or ages. These phases are clearly illustrated below by McCleod and Hare (2010):

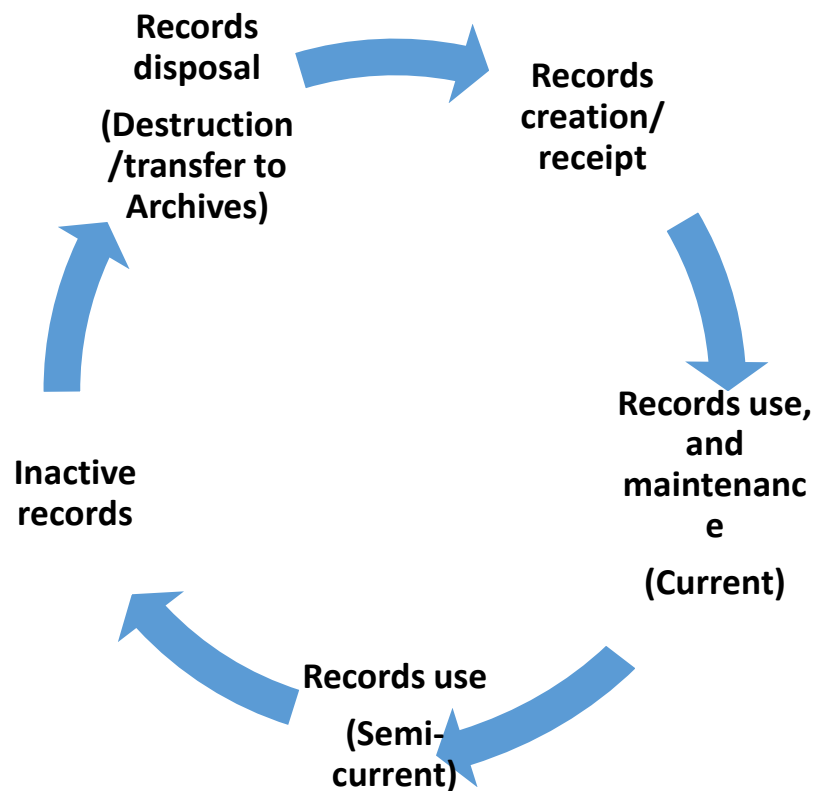


Figure 1: Life cycle of a record

Source: McCleod & Hare, 2010

The above record cycle is illustrated to give a clear view of what the researcher posits by the record life cycle concept. The in-depth details of the record life cycle are outlined by the researcher below to make the understanding of the record life cycle concept simpler and better.

2.3.1.1. Creation

This is a stage where records are created or generated and receives in the conduct of its business to capture evidence to prove that the organisation routinely follows consistent practices and for use if the organisation is faced with a lawsuit, and as a record of social and historical events. One other purpose of creating records is for compliance that regulations have been followed in an organisation in the conduct of their business (McCleod and Hare, 2010). The record is created, presumably for a legitimate reason and according to certain standards. Records are created at this stage as they are still needed and are in the office of the creator to serve administrative purposes. In the South African government, records created “are managed in registries or records offices and the offices are manned by records managers”

(National Archives and Records Service, 2003:27). In the process of the creation of a record, Harris (2000:29) posits that “every organization creates records because of a matrix of functions”. Every day, organizations, whether private, public, or semi-public and nongovernmental organizations create records for a particular purpose. These records created are in line with the purposes for which such organizations are established. Records created in such organizations may however be divided into two main categories, i.e., general records that will have to include records like memos, minutes, maps, and human resource-related records which are however created internally and externally. They include records like curriculum vitae, applications for employment, personal data forms and applications for leave of absence, for example. In departments like Home Affairs, they create documents like passports, identity documents, death certificates whereas at CoGHSTA department they create documents like residential site records, deeds records and housing application records to mention a few. Harris (2000) regards this as actions taken by individuals or organizations in the conduct of their business. These records are however evidence of what has transpired in between the organizations or within.

2.3.1.2. Maintenance

At this stage, records are transmitted to those who need them and, upon receipt, are used in the conduct of their business activities. Records are used consistently, only for the intentions for which it was intended and not for an individual’s gain or purpose. The maintenance part in records management is an essential element that has to be taken into consideration. This is where according to Harris (2000:31), “the organizations should formulate clear guidelines on where records are to be kept-in which office”. There should be appropriate physical care of records in terms of how records should be handled to avoid damage.

Insects and other rodents can leave droplets that could damage records permanently. Records maintenance may also be addressed by proper security measures (Harris, 2000) Security measures are “to be applied in terms of control over the removal of records from their place of custody; security again entails the maintenance of records integrity where records are to be protected against alterations or deletions” (Harris, 2000:33). Removal of records from their place of custody should be done employing a register exchanging signatures of the recipients. There should also be a time limit for all records that are going out or else if records stay long from the office of origin or

custody, there is a possibility that such records may get lost. This could happen if the record borrower from office X decides to resign or be dismissed. It will be very difficult for the office of custody of records to retain that record.

2.3.1.3. Use

The use of a record entails many things, in our day-to-day activities, there are times where we must decide. That means therefore to arrive at a decision that is fair, reasonable, and lawful, the organization must make use of or consult with the previous records which were created by the previous administrators. This is where the organization has to apply what is required by another applicable legal mandate which is the Promotion of Administrative Justice Act. The decision should under no circumstance have elements of doubt or bias. Records in their daily usage are to be in line with the "Promotion of Access to Information Act of 2000". They are to be arranged in such a way that they are to be readily available for public consumption. As this piece of legislation gives the right to the public to access public and private records subject to certain limitations, records are therefore to be managed in such a way that they are ease of access as well as ease of retrieval.

The created records are retrieved and delivered to the requester to meet his or her needs.

The record manager manages, classifies, and file the records following "the filing system as approved by the National Archivist"; moreover, the records are "frequently referred to by creating offices and others involved in the decision-making process" (National Archives of South Africa Act, No, 43 of 1996:44). At this stage, the records are kept on-site in the registries or records offices.

2.3.1.4. Disposal

The disposal of records is another records management function that must be looked at very carefully as at times appraisal of records may be done inappropriately and incorrectly in such a way that appropriate, as well as correct records which are not worthy to be disposed of, may face undue destruction. In carrying out proper disposal of records, records are to be appraised properly. This means that this is where the records manager must separate or determine the eventual disposal of records which are for short- term or long- term i.e., those which are to be archived forever. The short-term or ephemeral records are to be destroyed immediately after the disposal authority has been granted by the National Archivist (National Archives, 2004). A destruction

certificate must be issued by the organization concerned after destroying such records. Records management on the other hand must develop a retention schedule of all records that are managed through a file plan which is a tool used to organize all records in an institution. The advantage of disposal of records while appraising them has positive results “as this assist in doing away with unwanted records while on the other hand, the process assists the organization to create storage facilities” (National Archives, 1998:95).

In the world of paper records, “managing retention and disposal is an important part of records management programme” because the outcome is the reduction in the volume of paper stored, making a visible impact and leading to immediate space and or cost savings (McCleod and Hare, 2010:83). It should however be noted that it is of particular importance that the disposal of records at this stage of a record life cycle, which is defined as the point in the record’s life cycle when they are either transferred to an archive or destroyed, be undertaken in line with the formally adopted policy of National Archives Act of South Africa (1996). The same is said in the manual for “Best Practice Model for keeping and managing paper-based employee records” (2000:43), which defines disposal of records, as records “that are no longer required for operational, managerial or audit purposes are destroyed according to agreed procedures within the legal and regulatory environmental requirements”. Disposing of should however not necessarily mean destroying or deleting records entirely. Strategic archival of resources by determining which records need to be safely destroyed versus those to be archived need to be undertaken. Disposal of records is a process whereby records that are no longer of value to the organization are destroyed or transferred to archives repositories. It helps to avoid the build-up of a backlog of records that is costly.

It should also be noted that before the disposal process is done, records should be appraised first to determine their value e.g., their continuing value for other purposes. When a record ceases to support operations, it should either be destroyed, erased, or moved to archives “where it becomes part of the organisation’s and ultimately society’s long-term memory” (Harris,1997:16). An appraisal is defined as “the process of evaluating an organisation’s activities to determine what records should be kept, and for how long, to meet the needs of the organisation, the requirements of government

or other accountability, and the expectations of researchers and other users of the records” (Smith, 2007:108). According to Harris (1997:16). Appraisal is further used “to mean the process of deciding what records need to be kept for continuing business use and historical preservation. Records and information are retained for three main reasons: for business purposes, as long as the need to consult them still exists; for legal reasons, as evidence” and for historical value.

In addition, “appraisal is the process whereby the value of records is assessed” to determine whether they are of archival value and worthy of long-term preservation or not (APP301AE, 2000:13). By appraising records, “valuable material is identified properly managed, and worthless material is eliminated as soon as it is no longer required. The introduction of disposal schedules as a priority will serve the organisation well” (Smith, 2007:140).

2.4. Records Continuum Theory

Another theory in records management is the records continuum. The International Council on Archives (ICA) in Chiwanza and Mutongi (2016:63) defines the continuum concept as a consistent and coherent process of records management throughout the life of records, from the development of record-keeping systems through the creation and preservation of records, to their retention and use of archives. Additionally, Chachage and Ngulube (2006:3) assert that archivists and records managers were interrelated and that there was continuity in records management and archives. The main emphasis in the records continuum model is the participatory nature of the design phase whereby archivists or records managers and designers participate in the designing of the system and the involvement of both the archivists and records managers in the continuum of records keeping.

Furthermore, Chachage and Ngulube (2006:04), opines that the continuum theory is concerned with managing records from creation to disposal from current systems either by destruction or long-term preservation in some form of archive. According to Lappin, Jackson, Matthews and Ravenwood (2020:249), the records continuum concept makes explicit the relationship between the organisation of records and the capture of records; and between the organisation of records and the management and

use of records. Kemoni (2008:06), emphasises that managing records must be seen as a continuum process in which one element of the continuum passed seamlessly into the other.

In support of the above model, the study is putting more emphasis on the fact that records continue to be needed and live after the non-current phase of the records lifecycle.

2.5. The International perspective on records management

This section of the international perspective serves to provide the good lessons that South Africa and particularly the CoGHSTA can learn to improve its records management implementation. The purpose of studying the international perspective was to extract good lessons to improve South Africa's approach to the records management sphere. South Africa is also competing with other international countries. It is, therefore, proper for the study to also investigate what other international countries have to offer in terms of records management. Furthermore, to do justice to the study of records management there is a need to get international experience on how other countries have implemented it. The following countries are used as case studies for this purpose. The international perspective discusses the United Kingdom (UK), and the United States (US).

2.5.1 Records Management and disposal: United Kingdom.

In the UK, the National Archives (2004:17) "advises government departments and the wider public sector on best practices in records management" while in Australia, the National Archives (2004:17) "provides advice to government agencies by developing policies, standards, guidelines and providing training and advice about modern recordkeeping". NARA (2004:18) ensures "proper documentation of the organisation, policies, and activities of the Government, NARA develops standards and guidelines for the nationwide management and disposition of recorded information. McLeod and Childs (2007:48) indicated that "public sector organizations in the UK have realized that effective records management is key to complying with new Freedom of Information legislation and environmental information regulations". Furthermore, it is important to note that "many agencies used the model plans (MAPS) produced by The National Archives (TNA 2000) to benchmark their current practice against the recommendations for compliance with the code of practice on records management under Section 46 of the Freedom of Information Act 2000" (ibid, 2007:49). However, it

provides storage facilities for inactive records which is not the case with the South African government whereby the records offices must provide storage for inactive records. Shepherd (2006:133) posits that “even in United Kingdom, records are an essential element in the accountability of government, in the maintenance of transparent democracies, in the provision of access by citizens to information and the effective formulation and execution of policies”. Successful implementation “of records management requires alignment with wider information standards and strategies” to deliver holistic information management and governance (Lomas, 2010:12). Katuu (2011:147) further “highlighted that while Africa could learn from the experience of Europe and North America, particularly regarding concerns for electronic records, it was more profitable to address the specific social needs and challenges within a country-specific framework”. Thus, Katuu (2011:147) alluded to the fact that local concerns and social needs should be instrumental in the implementation of a records management education programme”. While it may be beneficial to learn from countries with “advanced provision of records management education, an approach that is geared towards meeting the local needs is more important” (ibid, 2011:148). In the UK, according to Lomas (2010:13) “legislation such as the Data Protection Act of 1998 provides for proper management of personal data held in records and the Data Protection Act of the UK provides strong data protection requirements for maintaining the security of records regardless of format UK (1998)”. This Act stipulates that organisations should have in place well designed and effective record-keeping systems.

2.5.2 Records Management and disposal: United States of America

According to Kemoni and Ngulube (2007:121), “in the United States of America, the National Archives and Records Administration (2004) helps to preserve the nation’s history by overseeing the management of all federal records, public sector records management systems”. The United States Government Manual according to Kemoni and Ngulube (2007:121) confirms that National Archives and Records Administration ensures

“proper documentation of the organisation, policies, and activities of the government. NARA develops standards and guidelines for the nationwide management and disposition of recorded information. It appraises federal records and approves records disposition schedules. It also inspects agency records and records management

practices, develops records management training programs, provides guidance and assistance on proper records management, and provides for storage of inactive records”.

Archives and records management system in the USA works much similar to the one in South Africa where the National Archives and Records Service of South Africa oversees all records management functions in both public and non-public bodies of the state.

According to Norris (2002:3), the Retention and Disposition Schedule for New York Local Government Records provide indications for a good retention program which includes that:

“...archival records are identified early in their life cycle; retention schedules are adopted and used in the normal course of business; office retention schedules are developed and used; records are systematically disposed of; electronic records are retained and disposed of according to retention schedules; plans are in place to ensure that electronic records continue to be accessible following technology changes, and disposition is routinely documented”.

Furthermore, Norris (2002:03) mentions that “inactive town records are tracked using an automated records management system that allows records to be easily located by series title, date, retention schedule number, box and shelf number, year of disposition, and department”. Moreover, “the town also employs an automated search engine to locate portions of its board minutes by topic, eliminating the need to search page by page” (Norris, 2002:03). Yusof (2007:6) opines that wrong placement of records management in the organizational structure is a contributing factor to records not being given the attention that it deserves as “the organization do not feel the responsibility to manage records to improve accountability, competency, efficiency and survival but otherwise regards records as something insignificant and not important to be discussed at board level”. It is the reverse in the US. Organizations are reminded of the legal implication on them should they failed to manage their records systematically and efficiently.

National Electronic Commerce Coordinating Council (2004:9) emphasises that,

“as budgets have tightened and governments have turned to technology to “do more with less,” As such, with electronic records, management has included in system planning and implementation and must take place immediately upon creation as the agency classifies the information for further use. This classification is vital

for the application of corresponding electronic controls to ensure the effective maintenance and disposition of the record”.

The technological opportunities presented to support records management are rising swiftly in New York State. Norris (2002:5) postulates “that a records management program has struck the technological balance in New York”. This is shown through an identified business requirements done:

“through needs assessment; identification of the capacity to support technology through feasibility studies, business process analysis is also made part of technology planning and implementation, availability of technology planning and implementation; records keeping requirements are taken into account in technology implementation”

In this regard, the availability of adequate technical support the following according to Norris (2002:5):

- Business requirements are identified through needs assessments.
- The capacity to support technology is identified through feasibility studies.
- Business process analysis is part of technology planning and implementation.
- Recordkeeping requirements are taken into account in technology implementation.
- adequate technical support is available internally or via contract.
- Formal electronic filing structures and policies for electronic recordkeeping are in place.
- Cooperation exists between records management and information technology services departments.
- Adequate training is offered for staff in the use of technology.

South Africa can also implement technological advancement in records management much like in the USA to also fully benefit and experience some of the above-mentioned records management program advantages. For instance, “a Westchester County provides an excellent example of a local government that has integrated its records management and information technology programs” (Norris, 2002:6). However, “the ease with which electronic documents can be created, altered, accessed, duplicated, and shared jeopardizes their value as records. Ironically, the most appealing aspects of creating electronic documents are what weaken confidence

in electronic records” (ibid, 2002:6). National Electronic Commerce Coordinating Council (2004:12) states that “so long as the electronic records remain in the custody and control of their creator or recipient, they are perceived (by the courts) as being subject to change or alteration”. Transferring the records from the custody of the creator into the custody of a ‘trusted third party’ is the first line of protection for the trustworthiness of electronic records. It further purports that most of the 50 states in the United States of America have record retention schedules, in which to assist in complying with state retention schedules, these states implement record retention education opportunities for their staff. In the US, the State Chief Archivists and Chief Technology Officers work together to develop state-wide electronic record archival standards to ensure consistent enterprise-wide long-term data storage formats and information retrieval expectations (NECCC, 2004). This will play a very important role “in building good recordkeeping into new systems; furthermore, the involvement of the records manager in the design of new systems is essential to help in ensuring that records are identified, and methods are used to capture fixed records to provide evidence of an activity” (NECCC, 2004:20). In South Africa, Venter (2007:46) established that “the National Archives and Records Service’ electronic records management programme is aligned to regulatory requirements of the State of Information Technology Agency (SITA), the Department of Public Service and Administration (DPSA), and the Government Information Technology Officers’ Council (GITOC)”. According to the National Archives and Records Service of South Africa (2007:19), “although the management of digital records has not been effectively controlled, the National Archives and Records Service of South Africa Act (no. 43 of 1996) makes provision for electronic records”.

2.5.3 Records Management and disposal: Africa

The purpose of discussing records management in African countries is to also learn a good lesson from our African counterparts particularly because of our landscape. That is, all the African countries were colonised before the new dispensation. The African countries to have undergone colonial rule up to the transitional period into independence like South Africa. Hence it is vital to investigate the records management sphere of some of these African countries. Rotich, Mathangani and Nzioka (2017:126) citing Nashon (2014); Mampe and Kalusopa (2012) “acknowledged

that for a records management programme to succeed there should be some level of awareness of the procedures, policies and standards governing the management of records”.

2.5.3.1 Zimbabwe

Zimbabwe is a country that is situated in the northern part of South Africa across the river Limpopo. She is a former colony of the UK. The National Archives of Zimbabwe (NAZ) is governed by the NAZ Act no.8 of 1986. The act outlines the NAZ functions in line with the public sector records management, it has “to inspect and examine the records of all ministries of government, to give advice or instructions concerning filing, maintenance and preservation and when necessary, the transfer to the National Archives of the records of that ministry and to give instructions concerning the retention or destruction of the records of that ministry” (Yuba, 2013:36). The study by Matangira (2016:116) found that despite gaining independence in 1979 from the UK, the record systems that “were put in place during the colonial period were maintained”. Instead, the archaic manual systems formed the base for the main source of record-keeping in Zimbabwe. However, Chaterera (2016:116) “found that inadequate records management practices in the public sector posed a risk for the public service delivery in the country”. Further, the delays and failures in accessing services were compromised since records get misplaced or go missing (Chaterera, 2016). There are several challenges which the Zimbabwean records management faced. Those challenges “are lack of space, poor storage conditions, complacency amongst staff, lack of senior management support and the non-availability of experienced staff as well as capacity issues have also been raised in postcolonial Zimbabwe” (Barata, Cain and Serumaga, 2000:203). The absence of “information communication technologies (ICT) in the records management and archives compromised the traditional manual system giving rise to problems in incorporating technology-based records into the formal recordkeeping systems” (Matangira, 2016:117). This is because Zimbabwe does not rely on or does not have capabilities for electronic systems like South Africa (Ngoepe and Saurombe, 2016). As a result of relying on manual systems, it is clear that there will be not enough space to accommodate all the records as the report of the Director of National Archives showed in 2017. Lack of government support in making a shift from a manual system to electronic recordkeeping systems was a common dominator in the challenges records management faces in Zimbabwe

(Matangira, 2016). But of particular importance is the fact that Zimbabwe despite her hatred of the colonial system did maintain the remnants of that system as long as it sustained her system of record keeping. The country committed itself to a training program for the consolidation of recordkeeping (Matangira, 2016).

The Director of the National Archives of Zimbabwe reported that the “notable achievement of 2016 was engaging the Ministry of Health and Child Care on the review of the retention and disposal of health records” (NAZ, 2016:12). It can therefore be deduced that retention and disposal of records in the Ministry of Health and Child Care were not undertaken as expected since there were no reviews done on the retention and disposal of records in such a ministry which also forms part of the government institutions whereby NAZ has the mandate to support them and provide record management services to them. On the transfer of records, the Director of the National Archives of Zimbabwe highlighted that

“1141 cubic feet of records were transferred to the Records Centre than 339 cubic feet in 2015. However, lack of space at Public Archives means that records due for transfer are taking up space for semi-current records which is not an ideal situation and ultimately hinders access to records supposed to be open to the public but are not yet processed”;

whereas on destructions of records he mentions that,

“2618 (2956) cubic feet of records were destroyed. The shredder for disposing records is still not working. National Waste Collection provided disposal service during the year under review” (Director of National Archives Report 2016:7).

The NAZ act gives much authority to the Director of Archives as it stipulates that “where a local authority or statutory body declines to comply with a request made in terms of in the act, such local authority or statutory body shall advise the Director in writing of its reasons”, and “ where a local authority or statutory body declines to comply with a request made in terms of in the act, such local authority or statutory body shall advise the Director in writing of its reasons” that the Director, only where “the Director may make representations in the matter to the minister responsible, who may take such action in the matter as he considers proper” (Director of National Archives Report, 2016:7).

The National Archives of Zimbabwe experienced a lack of space for semi-current records and records that are due for transfer to archives and opted for the use of a

shredder for disposing of records which gave them challenges as it sometimes did not work, as highlighted by the Director (Director of National Archives Report, 2016:7). This could be one of the strategies that South African government departments could use to deal with ephemeral records during disposal to address space shortages concerning records at their disposal as long as they are procedurally disposed of.

2.4.2 Kenya

Kenya is in the East of Africa. Like Zimbabwe, she is a former colony of the United Kingdom. "Legislation and regulatory framework governing records management in Kenya operate under the framework and guidance of the Kenya National Archives and Documentation Services (KNADS), which is supported by the Public Archives and Documentation Services Act, Cap 19 of 1965 of the Laws of Kenya" (Dwoya, 2014:77). The appraisal records involve creating retention schedules, determining the value of records, ensuring easy access to records, proper preservation of records as well as meeting legislative requirements as stated by the respondents (Dwoya, 2014:89). However, this does not suggest that there were no challenges in the country's system of record keeping. "It was clear that no appraisal has been conducted and therefore the frequency becomes null, while the Kenya Electricity Transmission Company Limited, did not have any documented retention schedules (KETRACO)" (Dwoya, 2014:77). Similarly, Kemoni (2007:320) found that "most ministries did not have retention schedules, perhaps explaining why most ministries did not dispose of their records".

Kenya suffers from "the absence of retention and disposal schedules in most government departments which reflects a poor management of current records" (Kemoni, 2007:320). Wamukoya and Lowry (2013) as cited by Matangira (2016:4) highlights that the same problem that "faces many countries in receiving little or no senior management support and the non-availability of experienced staff bedevil Kenya".

Rotich et.al., (2017:126) posit that "the records facilities are congested due to irregular disposal of records". Rotich et al., (2017:126) further stipulates that,

"the positive highlights that the same problem that faces many countries in receiving little or no lack of senior management support and the non-availability of experienced staff. The records facilities are congested due to irregular disposal of records, which would clear

space at the different stages of the life cycle. Facilities and tools for the management of records have never been sufficient and the situation is worse because ICT resources have not been incorporated”

The positive part of the Kenya situation is that “KNADS provided records management advice to the government”; however, the record management lacked support from the senior government officers (Kemoni and Ngulube, 2007:120). Other challenges are “low priority accorded to records management departments, lack of regular follow-ups on recordkeeping practices in departments, and inadequacies in existing records and archives legislation” (ibid, 2007:121). Similarly, Kamau (2017) had found that public records centres did not have an official National Records management policy which compromised staff, funds, equipment, and other facilities. Kenya faced many challenges in her recordkeeping as outlined by Rotich et al., (2017:136) namely the absence of policies, poor records disposal, lack of ICT, poor file-tracking, lack of adherence to international standards due to lack of adequate standards and procedures. Nevertheless, “record management at the Kenya National Assembly was fair in that manual systems were still active in capturing, classification and filing of physical records” (Rotich et al., 2017:136). As the case of Zimbabwe has also found, there is a problem of lack of top management in record management in Kenya as the allocation of space for housing the records evidenced (Rotich et al., 2017). This research contends that had the country adopted the electronic system, the problem of physical space would not be an issue. The study by Ngoepe and Saurombe (2016:23) has shown that “only South Africa’s archival legislation provides for the management of electronic records in the South African Development Community (SADC)”.

2.5 The South African perspective on records management:

According to Ngoepe and Saurombe (2016:24) most, if not all South African government institutions records management and disposal programmes are laid down

“.... through section 195(01) of the Constitution of the Republic of South Africa which outlines the basic values and principles governing public administration wherein it states that: there has to be an efficient, economic and effective use of resources and that there has to be an accountable public administration while there has to be the provision of timely, accessible and accurate information. The main intention in discussing the South African legislation governing records management is to highlight the legislative roles that they play to the management of records in the South African public sector”.

This is important because it gives background information on its relations with the public sector records management.

In records management, there are legal mandates that govern records from the time of creation, use, maintenance, and disposal of records (Department of Health & Social Development, 2005). These legal mandates are the watchdogs that advise the department on how records are managed and that proper records are kept within various government departments. There are legislative frameworks that guide records management in South Africa and are discussed below:

2.5.1 The Constitution of the Republic of South Africa of 1996

Records management in governmental institutions is laid down in section 195(01) of the Constitution of the Republic of South Africa which outlines the basic values and principles governing public administration wherein it states that:

“There has to be an efficient, economic and effective use of resources and that there has to be an accountable public administration while there has to be the provision of timely, accessible and accurate information. Without proper and sound records management, accountability and transparency cannot be exercised. Sound records keeping is the cornerstone of any accountable, public administration. Chapter 10 of the Constitution of the Republic of South Africa provides the values and principles of public administration.”

According to the Department of Health and Social Development (2005:09), this chapter of the Constitution of the Republic of South Africa lists various principles such as:

“a high standard of professional ethics must be promoted and maintained; Efficient, economic and effective use of resources must be promoted; public administration must be development-oriented; services must be provided impartially, fairly, equitably and without bias; people’s needs must be responded to, and the public must be encouraged to participate in policy-making; public administration must be accountable; transparency must be fostered by providing the public with timely, accessible; and accurate information; good human-resource management and career-development practices, to maximise human potential, must be cultivated. Public administration must be broadly representative of the South African people, with employment and personnel management practices based on ability, objectivity, fairness, and the need to redress the imbalances of the past to achieve broad representation. The Constitution of the Republic

of South Africa 1996 divides responsibility for the records of public bodies between the National and Provincial Archives Services”.

2.5.2 The National Archives of South Africa Act, No 43 of 1996

The National Archives of South Africa Act, no 43 of 1996 outlines the functions of the act concerning public sector records management. The act aims to provide for a National Archives and Records Service of South Africa, the proper management and care of the records of governmental bodies and the preservation of records thereof. It further posits “that the objectives and functions of the NARSSA are to preserve public and non-public records with enduring value for use by the public and the state, to make such records accessible and promote their use by the public and ensure the proper management and care of all public records”. In the light of this, the NARSSA (2003:87) provided a manual on Records Management “outlining NARSSA’s records management policy and made all available information concerning the administration of records in all formats in a cohesive way”.

The manual further provides “the guidelines concerning the duties and responsibilities of the records manager, classification systems for all public records in all formats, the care of records and the disposal of records” (ibid, 2003:87). On disposal, the manual put more emphasis on the fact that no records in any governmental body be destroyed or disposed of, without the knowledge of and a written disposal authority of the National Archivist. National Archives Act No 43 of 1996, states that “no destruction of records should take place without the assurance that the records are no longer required, that no work is outstanding and that no litigation or investigation or request which would involve the records in question in terms of the Promotion of Access to Information Act or Promotion of Administrative Justice Act is pending”.

National Archives and Records Service of South Africa (2003:88) further “provides specific directions concerning detailed requirements and conditions for administering the records of the South African public sector and it specifies the requirements of the Heads of Public Bodies and the Records Managers under National Archives and Records Service Act of 1996”. According to Ngoepe and Jiyane (2015:68), “the severe under-sourcing of NARS, together with the slow development of provincial services, lack of skills and high turnover are challenges that have resulted in archives and records management reaching only the tip of the iceberg in public bodies across the country”. The challenges raised above highlights the frustrations that NARS is

experiencing and thus the implementation of the NARS mandate of managing government records and those of the Provincial Archives will most likely not be achieved.

2.5.3 Provincial Archives Act, No 5 of 2001

Section 3(g) of the National Archives and Records Service of South Africa Act, 1996 as amended, as well as the National Archives and Records Service of South Africa shall determine the archival and records management standards and guidelines that makes up the broad archival and records management framework within which provinces should operate. By this provision, “each province is responsible for the promulgation of its Act on archives and records service and the establishment and maintenance of its archives and records service”.

Subsequently, section 13(2) of the Provincial Archives Act no 5 of 2001, no public records under the control of a governmental body may be transferred to an archives repository, destroyed, erased, dumped, on the corridors or otherwise disposed of without a written disposal authority issued by Provincial Archivist. This has been made for the provinces to independently run the proper management and care of the records of government bodies and the preservation and use of national heritage. With specific reference to Limpopo, the Provincial Archivist is therefore responsible for sound records management in governmental offices. The department of CoGHSTA, like all other Limpopo provincial departments, is also responsible for the effective implementation of the Act by not destroying, erasing, dumping records “on the corridors or otherwise, without a written disposal authority”. All provincial departments are mandated to communicate with the Provincial Archivist as and when the disposal process must be undertaken in line with the Act.

The Provincial Archives staff from the Department of Sport, Arts and Culture, after receiving a formal notification for request disposal of records, to the department of CoGHSTA to appraise records listed one by one to verify whether the records’ retention periods have indeed lapsed and what type of records are to be disposed of. After following the due process, the Department of Sport, Arts and Culture staff through their Provincial Archives is sent a disposal authority certificate, by the disposing department, which indicates that approval for the disposal of these listed records was sought from the Accounting Officer of the said disposing department.

2.5.4 The Promotion of Access to Information Act (Act. No. 2 of 2000)

According to the Constitution of South Africa of 1996,

“the Promotion of Access to Information Act (Act. No. 2 of 2000) has been promulgated with the sole aim of promoting transparency, accountability and effective governance by empowering and educating the public to understand and exercise their rights; to understand the functions and operation of public bodies and to effectively scrutinise, and participate in, decision-making by public bodies that affect their rights”.

Thus, the Promotion of Access to Information Act of 2000, defines records in the same way as the NARS does. The Act upholds accountability of the public bodies through transparent and effective cooperative governance. As such, records play a very important role in ensuring that accountability by government institutions is achieved because records play an evidential role in all the transactions, and decisions that took place within every public institution.

2.5.5 Limpopo Audit Report 2018/19: Auditor-General of South Africa

Auditor-General of South Africa is an office established by the 1996 Constitution of South Africa and is one of the Chapter 9 Institutions intended to support democracy by conducting regularity audits of national and provincial government departments. It furthermore, conducts discretionary audits such as performance audits, special audits and investigations. Its audit reports are made public and are tabled in Parliament, provincial legislatures, and municipal council. Through its audit activities, AGSA plays an important role in enabling accountability and thus promoting sound financial governance. The Auditor General of South Africa, through the Limpopo Provincial Treasury’s internal audit report on general records management: project code: 13/1/13/1/11/19 of 2018/19 (CoGHSTA Limpopo: 2020) found that poor record-keeping whereby the cause to the outlined risk is and point 17.2 of the same report, outlined that records storages are not clean and records have accumulated dust. Therefore, that creates a high risk of records exposure to damage due to inefficient and ineffective operation of controls as well as non-submission of records by some of the other directorates due to shortage of storage space, which needs major effort and urgent attention.

The department of CoGHSTA has many records that have reached their retention periods but have not been disposed of. As a result of this, there are serious challenges of lack of storage space for records that are being created within the department, hence records accumulating dust and non-submission of records by other directorates. Every record has to follow a record life cycle: creation, maintenance, use and disposal. This is a process that any created record has to follow until it is either transferred to Provincial Archives or destroyed. That process of transfer of records or destruction of records is known as disposal. The disposal of a record can either be through transfer to Provincial Archives or destruction.

2.6. Disposal of records that have reached their retention

In the world of paper records, managing retention and disposal is an important part of records management programme because the outcome is the reduction in the volume of paper stored thus making a visible impact that leads to immediate space and or cost savings (McCleod and Hare 2010: 83). Smith (2007:140) posits that records management officers should identify those materials that have reached their retention period within the department. According to Netshakhuma (2009) lack of systematic appraisal and arrangement when records or documents contain historical, scientific and cultural information which if there is no systematic appraisal, the arrangement of records may cause problems in records management. To address this problem, “the National Archives should focus on the management of the entire life cycle of records rather than managing only the archival preservation stage” (Mnjama, 2003:109). This is contrary to the suggestion that the short-term or ephemeral records are to be destroyed immediately after the disposal authority has been granted by the National Archivist (National Archive, 2004:17). Corroborating Mnjama (2003), McDonald and Leveille (2014:67) posit “that addressing the retention and disposition issues requires knowledge and leadership which are unfortunately are in short supply in many organizations”. When it comes to retention, records are appraised two years after the implementation of records classification systems in governmental bodies and those of archival value is then transferred to an archives repository after years (Ngoepe and Nkwe, 2018). This is despite that twenty years is a long period where records might be lost particularly in digital environments and the challenge is that appraisal policy guidelines limit the powers of records managers in government bodies in deciding on

records of enduring value since the responsibility is assigned to archivists at the National Archives and Records Service of South Africa.

A destruction certificate must be issued by the organization concerned after destroying such records. In case of disposal is carried out, a destruction certificate should be issued. Records management on the other hand has “to develop retention schedule of all records that are managed through a file plan which is a tool used to organize all records in an institution” (National Archive,1998:95). As Ngoepe and Nkwe (2018) found, there is a need for guidelines that could assist with records disposal. This is not downplaying the advantage of disposal of records since appraising them has positive results as this assist in doing away with unwanted records while on the other hand, the process assists the organization to create storage facilities (National Archive,1998:95).

The records disposal at the stage of a record life cycle as defined as the point in the record’s life cycle when they are either transferred to an archive or destroyed should be undertaken in line with the formally adopted policy of the National Archives Act of South Africa (1996). The same is said in the manual for Best Practice Model (2000:43), for keeping and managing paper-based employee records which define disposal of records as records that are no longer required for operational managerial or audit purposes and are destroyed according to agreed procedures within the legal and regulatory environmental requirements. Disposing does not necessarily mean destroying or deleting records entirely. Strategic archival of resources by determining which records need to be safely destroyed versus those to be archived need to be undertaken. Disposal of records is a process whereby records that are no longer of value to the organization are destroyed or transferred to archives repositories. It helps to avoid the build-up of the backlog of records that could be costly.

It should also be noted that before the disposal process is done, records should be appraised first to determine their value such as their continuing value for other purposes. When a record ceases to support operations, “it should either be destroyed, erased, or moved to archives where it will become part of the organisation’s and ultimately society’s long term memory” (Harris,1997:16). An appraisal is defined as “the process of evaluating an organisation’s activities to determine what records should be kept and for how long to meet the needs of the organisation, the

requirements of government or other accountability and the expectations of researchers and other users of the records” (Smith, 2007:108). Appraisal also refers to the process of deciding what records need to be kept for continuing business use and historical preservation. Records and information are retained for three main reasons: “for business purposes as long as they need to consult them still exist; for legal reasons as evidence and historical value” (Smith, 2007:108-9).

An appraisal is “the process whereby the value of records is assessed to determine whether they are of archival value and worthy of long-term preservation or not” (APP301AE, 2000: 13). By appraising records, valuable material is identified and properly managed while worthless material is eliminated as soon as they are no longer required. As a result, “the introduction of disposal schedules as a priority will serve the organisation well” (Smith, 2007:140). According to Ngoepe and Van der Walt (2010:157), in the National Department of CoGHSTA, the staff turnover of the records management unit was high before the year 2009. By 2009, “the Department had lost almost everybody who started with the records management project in 2004” (ibid, 2010:157). Subsequently, Ngoepe (2012) as cited by Ngoepe and Jiyane (2015:68), concluded that “most records management programmes in South Africa were teetering on the brink of collapse and were on a life support machine and unable to support service delivery due to inadequate skills, shortage of staff and workforce with irrelevant qualifications”. Due to a lack of capacity at the archives repositories and inadequate monitoring oversight, “the appraisal of records, as required in terms of section 13(2)(a) of the Act, to enable the disposal thereof, was not done effectively” (Ngoepe and Jiyane 2015:77).

2.7. The challenges in records management

The Department of CoGHSTA is faced with several challenges which hamper it from executing its function as prescribed by the Constitution of the Republic of South Africa, 1996. Mohammed et al., (2018) argued that record management in the institutions was faced with challenges such as improper records management. They have also shown that a lack of training of officials in record management was a contributory factor in the management of records (Mohammed et al., 2018). This, therefore, suggests that training of the records management staff is crucial to managing the records. The study noted various challenges including inadequately trained staff on records management, lack of records disposal and retention schedules, inadequate

equipment, and space as well as inadequate policies and standards (Osebe, et al., 2018). Institutional capacity and top-level support are two elements plus technology that enhances change management, workflow, standardization and interoperability (Dikopoulou and Mihiotis, 2012).

Public and private organisations are faced with challenges in performing their duties. This study is based on the public sector department and is faced with various challenges. Mohammed, et al., (2018) in their study have shown that record management in the institutions was faced with challenges such as improper records management. They have also shown that a lack of training of officials in record management was a contributory factor in the management of records (Mohammed, et al., 2018). The respondents with the majority 100% have also raised the issue of the backlog that is caused by former homelands records which delays implementation of the disposal program. This issue raises the shortage of staff which according to Yuba (2016:89) it contributes “to delay in conducting inspections, approving file plans and authorising disposal or even to conduct records management training sessions with the public sector”.

2.7.1 Allocation of resources for maintenance of records management.

The study by Ngoepe (2008: i) has found that “the commitment by top management in the implementation of a records management programme was crucial for records management in the public sector such as in the Department of Provincial and Local Government (DPLG)”. Tagbotor, et al., (2015:1) in their study have found that resources such as those that promote a shift from manual to electronic system such as computers and internet “allows completing and submitting the information punctually”. However, Kanzi (2010: iii)’s study revealed that “records management function was not receiving the attention it deserved” not only in the public sector but also at municipalities as the example of Amathole District Municipality (ADM) has revealed. Though, (Yusof, et al., 1998) have found that “shifting records management from archival management of unwanted documents to the electronic systems that give records managers an equal standing with other professionals in the field of information management could alleviate the challenges”. This is corroborated by Houston (1995) who postulated that that recent development in technology could provide an opportunity for records managers to enhance their profiles. Swan, et al., (2002) have

postulated that in Australia, the National Archives of Australia (NAA) has developed an extensive range of detailed and practical standards, guidelines, policies, and manuals to assist Australian public sector organisations to implement strategies to make and keep full and accurate records. This was aimed at addressing widespread poor record-keeping in the Australian Government that resulted in the changes to work practices in the public sector including the spread of electronic business systems and the devolution of managerial responsibility. However, the allocation of resources plays a crucial role in that regard. It is therefore important that every document created by the department in its daily routines, inclusive of human resource documents be properly managed (Biraud, 2013). In the study by Ngulube (2012:14), it was found that “resources and facilities for archival preservation were put in place and archival practices were based on international standards, mostly of British influence”. These results were similar to those of Matangira (2016:38) who found that “in the National Archives of Zimbabwe, whereby the challenge of growing responsibilities versus inadequate resources such as “storage facilities for a semi-current record which remained inadequate even after the new archives building was opened mainly because the building was meant for public archives, not as a records centre”.

Mnjama and Wamukoya (2004:np) as cited in Dwoya (2014:66), affirms that “one of the key challenges faced by countries in the ESARBICA region in capturing and preserving both paper and electronic records, was the absence of dedicated budgets for records management”. The lack of resources has also been well documented by Mazikana (1996:209) as cited by Matangira (2016:68), who states the following:

“The symptoms of recordkeeping failure have been evidenced in situations of registry systems barely functioning or outdated; the non-availability of basic registry equipment and supplies; antique or inappropriate file classification; little or no training for registry staff; problems of files which cannot be located; no records centre facilities in the regions; overcrowded records centre spaces; non-existent record appraisal; no retention/disposal schedules; poor or non-existent records transfers; backlogs in archives processing; poor physical wellbeing of collections; and equipment break-downs”.

Lastly, Dwoya (2014:84) have observed that “proper implementation of recordkeeping was hampered by lack of resources, specialized skills and power to enforce thereby rendering many recordkeeping processes ineffective to achieve a full cycle management of all records regardless of format”. One could infer that effective and

efficient record-keeping is possible and will be easier with the political (managerial) 'will' and availability of resources (trained human resource and financial resource).

2.8. The impact of disposal on records management

The study investigated the impact of disposal on records management is so that the two records divisions of General and Human Resource effectively manage and implement the mandate of records management within the department. "There are many possible positive impacts of the system. The authors investigate, in particular, the impact of the single component tracing on the disposal cost reduction and the reliability improvement using reused components" (Conti and Orcioni, 2019:182). For some scholars like Yusof, et al., (1998:173) focuses on how "records management has shifted over the recent past 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".

The study by Marutha and Ngoepe, (2018:19) discovered that "a framework for the management of medical records in the public hospitals is not in place because of several reasons and further demonstrates that public healthcare institutions need an integrative framework for the proper management of medical records of all forms and in all media" they also illustrate how the "focus of records management has shifted over the recent past 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".

On the impact of institutions of higher learning, Dikopoulou and Mihiotis (2012) reveal that "there is no standard approach to the training provided by these institutions; some are likely to reflect their archival origins while others represent various streams of the broad context of information studies". On the other hand, others indicate that "the experts are unanimously agreed that the five main contexts, namely: governance recordkeeping, archival, technological, skills and competency, serve as an audit list providing the trusted environment for managing records in the electronic environment" (Ismail and Jamaludin, 2009:78). In conclusion, Raas (1999:45) believes that "to be able to make good use of this information instead of becoming swamped by it, scientific controls need to be applied. Records management provides these controls. This article explains how one software developer combines traditional records management

practices with electronic document management features to create an electronic recordkeeping system”.

2.9. Stakeholder’s participation in the formulation of Records management policy

Rotich, et.al., (2017:126) postulate “that for the records management programme to succeed there should be some level of awareness of the procedures, policies and standards governing the management of records”. This awareness is influenced by some level of participation in decision-making processes. The participation of stakeholders in the formulation of record management policies has its foundation in section 152 of the Constitution of the Republic of South Africa. People are required to be invited to participate in the affairs that affect them. Section 13(2)(b)(I) of the NARS Act, also requires that file plans for all governmental bodies should be approved by NARS or provincial archives to ensure compliance with the government filing policy. Similarly, Ngoepe and Jiyane (2015: 79) states that file plans for all governmental bodies should, in terms of section 13(2)(b)(I) of the NARS Act, be approved by NARS or provincial archives to ensure compliance with the government filing policy. This is to ensure proper creation, maintenance, use and disposal of records to achieve efficient, transparent, and accountable governance. By indicating in their responses that the Department of CoGHSTA has records management procedure manuals and policies that are approved by the Provincial Archives before it is implemented in the department, shows that the department is adhering to the legislation as required by the Act. This is to ensure proper creation, maintenance, use and disposal of records to achieve efficient, transparent, and accountable governance. As such, the department of CoGHSTA complied with the NARS Act. To infer, Nandain (2006) as cited by Matangira (216:02) mentions the following:

efficient information and records management provides the foundation for accountability and protection of rights. It also increases citizen’s awareness of their rights, provides for justice and respect for human rights, gender and sensitivity balance, and effective management and distribution of state resources. Furthermore, most of the services that the government provides to citizens, businesses and internal clients are about information in one way or the other, e.g., birth, death, and marriages registration. Therefore, fundamentally, most governments are mandated to manage

government information and any failure in this role negates its value of service to the public.

CHAPTER THREE: RESEARCH METHODOLOGY AND DESIGN

3.1 Introduction

This chapter provides descriptions of how this research study was conducted. The research design, methodology to be employed in the research, the data collection methods, and data analysis instruments to be used. It also outlines the study area, sampling technique, quality criteria and ethical consideration. According to Moodley (2001:30), research methodology is “a systematic process of collecting and logically analysing information for some purpose”. Its purpose is to assist researchers on how research problems should be approached and also how to make a search for the answers to these problems (Taylor, et.al., 2016:3). Holden and Lynch (2004:3) claim that “the methodological choice is dependent on the nature of the phenomenon to be investigated and the researcher’s assumptions concerning such a phenomenon”. Research methodology “focuses on the research process and the kind of tools and procedures to be used” (Vosloo, 2014:316). Similarly, Babbie and Mouton (2012:646), emphasise that “the methodology includes concepts such as paradigm, quantitative and qualitative methods”. As a result, this chapter presents the general methodological approach of this study and how it was approached.

3.2 Study Area

This study was carried in the Limpopo Province, South Africa, at the Department of CoGHSTA. The department of CoGHSTA is a vote 11 department according to the Provincial Legislature budget vote classification. It is also a unique department in approaching service delivery owing to its integrated and sustainable approach to creating a single offering. It offers the following services: Corporate Services, Integrated Sustainable Human Settlements and Traditional Affairs. Its vision is Integrated Sustainable Human Settlements whereas its mission is to be an effective agent of change that delivers quality service to the citizens of Limpopo by promoting developmental Cooperative Governance; supporting Municipalities and Traditional Leadership Institutions, and optimally deliver Integrated and Sustainable Human Settlements (CoGHSTA Limpopo, 2020)

At the time of the research, the department CoGHSTA had a total of 1978 staff members and 198 interns. Information Management as a unit falls under the Chief Information Office (CIO) branch which has a Service Delivery Improvement Unit and

Communications and Knowledge management unit as well. Information Management has three divisions under it (General Records; HR Records and Library Services) that are all managed by the Director who has a Personal Assistant. The Information Management unit has 29 employees which comprise 28 employees who are based in records management (CoGHSTA Limpopo, 2020)

3.3 Research design

Research design is “a procedural plan that is adopted by the researcher to answer questions validly, objectively, accurately and economically” (Kumar, 2011:94). Flick (2011:65) posits that “a research design is a plan for collecting and analysing evidence that will make it possible for the investigator to answer whatever questions he/she has posted”. The design of a study “includes almost all the things of research from data collection methods to the selection of data analysis techniques” (Ragin, 1994:191 as cited in Flick, 2014:112).

Mouton (2001:108) views research design as “a set of guidelines and instructions on how to reach the goal that the researcher has set for the study; therefore, these guidelines and instructions should be followed when addressing the research problem”. The primary function of the research design in this study is to ensure that the participants (General and Human Resource Records employees) assist the researcher to answer the research questions as clearly and as logically as possible. Two main research designs are briefly discussed below: namely quantitative and qualitative:

3.3.1 Quantitative Research Design

Quantitative research design is dependent on data that are expressed in quantity, or amount such as numbers and graphs or formulas (Schwandt, 2001). The main purpose of quantitative design is “to describe, predict and explain qualities, degrees and relationships to generalise from a sample to the target or a population” (du Plooy, 2009:87). This type of research tends “to generate numbers, are specific, well-structured and have been tested for their validity and reliability” (Kumar, 2014:132). Quantitative means expressing quantities. According to Attieno (2009), “quantitative research involves empirical (scientific) investigation of social phenomena using statistical and mathematical techniques”. A quantitative researcher might therefore interpret data for meaning (Badenhorst, 2008). A “variety of methods and techniques

can be used to collect the numerical data namely survey in which self-administered questionnaires are applied” (du Plooy, 2009:87). Quantitative research “is an approach for testing objective theories by examining the relationship among variables” (Cresswell, 2007:4).

It is important to note that “one of the major differences between qualitative and quantitative research lies mainly in the philosophy underpinning each approach” (Neuman, 2011:88); furthermore, “quantitative researchers rely on the positivist approach while qualitative researchers rely on interpretative or critical social science”. Due to the nature of this study, the quantitative design was not being utilised.

3.3.2 Qualitative Research design

This study investigated challenges that provincial departments faced about records management and disposal, particularly at the Department of CoGHSTA. Since this study intended to report its findings through words as consolidated from the perceptions of the respondents and literature, it adopted a qualitative design. Nyamai (2018:27) postulated that qualitative research refers to the study of human experience using a method of analysis that does not require using numbers. Therefore, qualitative investigators’ quest is to investigate how people live, their attitude, their values, cultures and societal activities. This design utilises “open-ended, semi-structured interviews, observations and group discussions to explore and understand the attitudes, opinions, feelings and behaviour of individuals or groups of individuals” Nyamai (2018:27). This study adopted open-ended interviews to obtain the perceptions from the respondents to answer the research question and the objectives. Silverman (2001:11) presents “four main techniques for data collection in qualitative research namely interviews, observation, recording and transcribing, and analysing text and documents”. This study also recorded the proceedings of the interview and transcribed the data afterwards for analysis.

3.4 Population and sampling

3.4.1. Population

The population of the study “refers to the whole group of people or set of items and events the researcher desires to study” (Alpaslan, et al., 2010:150). The population for this study comprises all staff dealing with general records, human resource records and information and library services daily in the department of CoGHSTA, Limpopo

province. The above-described population “possesses the attributes or characteristics in which the researcher is interested” (Keyton, 2011:121). The population have immense experience and knowledge in the records management field which helped the researcher to gain in-depth insights into the government department’s records and archive management in the Public Service of Limpopo Province.

3.4.2. Sampling

Sampling refers to the “selection of cases that require examination in detail to understand or generalise what we learnt to a wider set of cases” (Neuman, 2014:246). Kotler, et.al., (2006:17) posit that the purpose of sampling “is to select a suitable sample or a representative part of a population”. Similarly, De Vos (1998:191) defines sampling as “a sub-group of the population which is the focus of the research enquiry, and it is selected in such a way that it represents the study population”. The study adopted “sampling to source information from a large group of individual since it was humanly impossible to get all of them to answer questions or to examine all the things – it would take much too long and be far too expensive” (Walliman, 2011:93). It is for this reason why there “is a need to examine some of them and hope that the data obtainable from them are representative” but this depends on the similarity of the data collected to enable “concluding those answers which are related to the whole group hence sampling” (Walliman, 2011:93).

According to Du Plooy (1997:48), sampling “refers to the rigorous procedures involved when selecting individuals from a large population”. Selection of a sample is important because populations are usually large and as a result, it becomes difficult to sample all of them. In this case, the study used all the population samples because the size was small and again, they were relevant to the study because they work in records. Kumar (2011:193) argues that a sample should provide “the basis for estimating or predicting the prevalence of an unknown piece of information”. As a result, 21 employees from both divisions of General and Human Resource Records were selected as a sample for the research study. Rather than a larger number of participants to generalize, the researcher selected participants (21) who would best provide enough information on the topic because the participants are entrusted with the management of records within the Department of CoGHSTA.

3.4.3. Sampling method

This study has adopted purposive sampling method which is also considered judgmental sampling and is used in special situations. It is mostly suitable for exploratory research in social sciences. Purposive sampling “uses the judgment of an expert in selecting cases or it selects cases with a specific purpose in mind” (Neuman, 2014:273). Furthermore, it is appropriate when the intention is to have a representative sample or to pick the ‘average’ or the ‘typical’ case. While it rarely represents “the entire population it is appropriate to selecting unique cases that are especially informative” (Neuman, 2014:273-274). Similarly, Patton (2002:230) supports this by saying that “purposeful sampling is applied mostly in qualitative research and is also known as judgemental sampling”. The selected sample for this study had the experience, knowledge, and vision relevant for this study hence they were identified randomly as such. They were attached in records management in both General and Human Resource Records divisions for many years as the biographical information has shown with their experience ranging from 12-20 years. In addition, 10 of the participants acquired four years’ degrees or equivalents while others possess three years and below qualifications (degree, diploma, and certificates)

3.4.4. Sample size

Marutha (2011:43) states that “the sample size entails the number of participants chosen from the whole population”. Records management employees in the Information management unit were chosen from the whole population of the Department of CoGHSTA. Blanche et.al., (2006:49) opine that sample size “is the selection of research participants from an entire population and involves a decision about which people, setting, events, behaviour, and/or social process to observe”. The respondents were deliberately selected because these are the individuals who act on the mandate to ensure sound records management practice at the provincial level in the Department of CoGHSTA and safe custody of records and their disposal thereof. The researcher used both divisions in the Information management unit and General records which deal with records that are general in nature and Human Resource records that deal with records that are human resources in nature. By using both divisions, the researcher intended to acquire more and valuable information on the challenges that the respondents face in records management and disposal since they

are familiar with records management. The following is the sample size of the population on which the researcher based the study:

Director	1
Deputy Directors	2
Assistant Directors	4
Practitioners	4
Personnel officers	4
Personal Assistant	1
Registry Clerks	4
Total Sample Size	21

3.5 Sources and Types of Data Collection

Data collection and its chosen methods are key in any research study. This is because if the wrong data collection methods or instruments are used, the higher the untruthfulness and invalidity of the research results. Data can be classified into primary and secondary data.

3.5.1 Primary Data

Data come in two different forms subject to its closeness to the recorded event. Data that has “been observed, experienced or recorded close to the event are the nearest one can get to the truth and are called primary data. Written sources that interpret or record primary data are called secondary sources which tend to be less reliable” (Walliman, 2011:69). Similarly, Walliman (2011:85) indicates that “primary data are the first and most immediate recording of a situation and that without this kind of recorded data it would be difficult to make sense of anything”. Furthermore, “primary data originated by the researcher for the investigation at hand” (De Gobbi, 2012:5). For this study, primary data was collected from participants using both face-to-face

and telephonic interviews. The researcher employed semi-structured interviews. Thus, this research study collected primary data through interviews.

3.5.2 Secondary Data

Secondary data sources “are datasets that are already in existence such as census data. Researchers may select variables to use in their analysis from one secondary data source or may combine data from across sources to create new datasets” (Rand National Defence Research Institute, 2009:7). According to Mwamadzingo (2011:5), secondary data “is information that has typically been collected by researchers not involved in the current assessment and has undergone at least one layer of analysis before inclusion in the needs assessment”. In the same breath, Rand National Defence Research Institute (2009:7) classifies secondary data as follows:

“Secondary data comprise of published research, internet materials, media reports, and data which has been cleaned, analysed and collected for a purpose other than the needs assessment, such as academic research or an agency or sector-specific monitoring reports”.

In carrying out this study, the researcher as advised by (ibid, 2009:9) “employed secondary data from a wide range of literature related to the research topic were these resources included books, journals, and publications with the relevant literature”. The literature was accessed through Internet surfing and studying of available governmental and non-governmental reports, manuals, and policies. The researcher was able to get insight knowledge about what other researchers have written as well as what was records management procedures are used.

3.6 Data Collection Technique

Effective research methods simply refer to tools by which information is gathered. “Without the appropriate research design and use of research methods, it is very much unlikely that one will gather quality information and as such create a shaky foundation for any review, evaluation and/or future strategy” (Elsmusharaf, 2012:4). Data Collection techniques enable researchers “to systematically collect information about our objects of study (people, objects, phenomena) and about the settings in which they occur” (ibid, 2012:4).

3.6.1 Interviews

Payne and Payne (2004:129) define “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”. On the other hand, DeMarrais (2004:55) defines an interview “as a process in which a researcher and a participant engage in a conversation focused on questions related to the study”. Interviews are therefore used to obtain interviewee’s perceptions and attitudes to the phenomena under study. According to Walliman (2011:99) interviews “are more suitable for questions that require probing to obtain adequate information” are also used to test one’s knowledge and understanding of the phenomena under investigation. Qualitative interviews provide platforms for interviewees to freely express themselves, their knowledge, and opinions. In this regard, “the qualitative interview aims to provide a framework for the subject to speak freely and in his/her terms about a set of concerns which the researcher brings to the interaction and whatever else the subject may introduce” (Mouton and Marais, 1996:212). Walliman (2011:99) listed three types of interviews namely: “structured interview which uses standardized questions read out by the interviewer according to an interview schedule”. This study as indicated elsewhere used open-ended interviews based on a question guide to allow the researcher to gain insights into the opinions, perceptions and attitudes of the interviewees.

This research used the data that was collected through both face-to-face and telephonic semi-structured interviews conducted with 17 of 21 purposively selected participants. The total number of participants withdrawn from the participation is 4. With that in mind, 8 respondents’ semi-structured face to face interviews were conducted and was recorded using a tape recorder while also taking backup notes whereas a telephone interview was conducted with 9 of the respondents due to the Covid-19 pandemic. This procedure was followed to maintain social distancing while adhered to the Disaster Management Act of 2000 as amended by the National Government of the (CoGHSTA). Answers to the questions posed during an interview were recorded by writing them down and by tape-recording the responses as well by applying a combination of both. In addition, Mack, et.al., (2005:15), goes on further to say that one other advantage of the qualitative research method in exploratory research is the use of open-ended questions and probing which allows participants

the opportunity to respond in their own words, rather than forcing them to choose from fixed responses as quantitative methods do.

3.7. Data analysis

Data analysis “is about turning data into information that in turn can serve to develop concepts, theories, explanations or understanding” (Crowther and Lancaster, 2009:176). Data analysis enabled the researcher to draw conclusions and to report research results. The study presented the results linking it with literature to strengthen the argument of the challenges faced by records management staff in the CoGHSTA department. Mouton (2013:108) argues that “data analysis aims to understand the various constitutive elements of one’s data through an inspection of the relationships between concepts, constructs or variables, and to see whether there are any patterns or trends that can be identified or isolated, or to establish themes in the data”.

The study adopted the method of thematic analysis. This method, according to Merriam (2009:175) “helps to bring out themes that will be answered by research questions and tentative conclusions concerning the reasons behind what appears to be the challenges” faced by the CoGHSTA department on records management and disposal. A devised data analysis strategy by Merriam (2009:175) “entails four steps: coding, sorting categories with data, naming categories and becoming theoretical”. The researcher analysed data collected to answer the research problem by listening through the tape recorder on a cell phone from the first interview transcript, taking notes and developing categories, themes. As advised by Merriam (2009:175), “themes and categories were compiled into separate memos retaining those that seems to hold across more than one interview” and “the themes were named into categories so that the theoretical framework of the study could be outlined”. The names of the categories were derived “from at least three sources: the researcher, the respondents and sources of literature” (ibid, 2009:175). The study developed models and generated a theory out of the analysis of data. This was helpful for the researcher to conclude and brought out a general theory as to what challenges are faced by the department of CoGHSTA in records management and disposal.

3.8 Trustworthiness

3.8.1 Reliability and Validity

3.8.1.1. Reliability

Reliability “refers to the degree of consistency with which instances are assigned to the same category by different observers or by the same observer on different occasions” (Hammersley, 1992:67). This is a social science study that cannot reproduce the same results at any given time of re-testing. MacDonald and Headlan (2006:43) define reliability in research “as the extent to which the same result will be repeated or achieved by using the same measure”. This is also supported by Dumisa (2010:42) who points out that reliability is “established when test and retest get the same results when the same respondents are given the same scores under similar conditions” and that “the outcome of the research should be able to hold if another researcher conducts similar research”. However, triangulation is applied by applying multiple research methods to enhance reliability. To achieve reliability for this study, a broad and representative sample of the research study was purposefully used and also interviewed to get the information that is rich, reliable and supportive of the research findings.

3.8.1.2 Validity

Validity is viewed as “the degree to which the researcher has measured what he has set out to measure” (Smith, 1991:106). It is used to determine whether research measures what it intended to measure and to approximate the truthfulness of the results. Dumisa (2010:42) states that “validity is established when the actual measure measures the intended construct”. Therefore, validity should be viewed as the accuracy of the measurement. For this study, a similar interview questions schedule with the same questions were used to interview all the interviewees. Validity is concerned with the extent to which research findings can be said to be accurate and reliable, and the extent to which the conclusions are warranted.

In this study, the validity, and data credibility of the data from interviews was ensured by ensuring that that all the 17 respondents were asked the same questions with the same content as per the interview schedule. The researcher also “made every effort to achieve validity by ensuring that the research tools were sufficient in scope and coverage” as advised by Dumisa (2010:42).

3.8.1.3 Triangulation

Triangulation implies the use of multiple methods or data sources in an investigation to produce a comprehensive understanding of the phenomenon of interest. Patton (2006) cited in Bowen (2009:28) opined that “triangulation helps the researcher guard against the accusation that a study’s findings are simply an artefact of a single method, a single source and/or a single investigator’s bias”. According to Bowen (2009:29), “document analysis has served mostly as a complement to other research methods and can also be used as a stand-alone method”. In this research, the researcher used document analysis as a complementary method to interview responses to corroborate findings across datasets to reduce the impact of potential bias that might exist in the study. Information and insights derived from documents can be valuable additions to a knowledge base. When undertaking document analysis, the researcher also ensured that the original purpose of the documents such as the reason it was produced, and its target audience are taken into consideration.

3.9 Ethical Considerations

Bak (2004:28) postulates that “any research that involves people must show an awareness of the ethical considerations and an agreement to research following ethical procedures”. As such the study also showed an awareness of ethical considerations by:

3.9.1 Seeking approval

The researcher has sought ethical approval from two main research ethics committees: The Faculty Research Ethics Committee in the Faculty of Management and Law and the Turfloop Research Ethics Committee (TREC) of the University of Limpopo; and approval was granted. This is in line with the institution’s requirements that whenever a student does a research study, s/he must seek approval from the University’s Research Committee first. The researcher also wrote to the Head of the Department of CoGHSTA whereby a request for permission to research the department was sought and approval granted as attached. The researcher was invited to appear before the Department of CoGHSTA’s Research Committee to make a presentation on chapter one (1): Introduction of the research to elaborate and make some clarifications about the submitted research proposal as approved by the University before approval for permission to conduct research was granted.

3.9.2 Informed Consent

The researcher obtained informed consent from each participant before the interview commences and indicated to them that their participation in the research study was voluntary as such, they can withdraw from the research study at any time they wished to. The researcher indicated appreciation to those who chose to participate in the study. The researcher complied with the above requirement of the Turfloop Research Ethics Committee (TREC) of the University of Limpopo. A formal letter also giving consent to form part of the research was compiled for the respondents to understand what the purpose of the research was. It also showed the title of the study, objectives, the name of the study leader and an assurance of anonymity of the data provided from the respondents. The respondent's statement of agreement to comply with ethical principles set out in TREC's policy on research ethics also formed part of the ethical consent.

"Seeking informed consent is probably the most common method in medical and social research" (Kumar, 2011:244). The researcher requested the respondents to sign a consent form to prove that they agree to the provisions of the study before they can give out any data. The respondents were not pressured into signing the consent forms. The consent form was sent to – via email – and read to the 9 respondents before the telephonic interview was conducted. This process also familiarized them with the study. The 8 who participated in face-to-face interviews signed the informed consent 2 days before the pronouncement of the nationwide lockdown through the Disaster Management Act of 2000 as amended. The signed consent forms were handed to the researcher instantly.

3.9.3 Anonymity

Arifin (2018:31) postulates that "anonymity and confidentiality of the participants must be preserved by not revealing their names and identity in the data collection, analysis and reporting of the study findings". In this research study, participants' identities and personal information were not disclosed and will be kept in strictest confidence. As such face-to-face interviews that were conducted with 8 participants, was conducted individually in a private room to avoid the possibility of being heard by other people; whereas with the 9 with whom the telephonic interview was conducted, the researcher asked twice to confirm whether indeed the person answering the phone was the participant himself/herself before explaining the purpose of the call and/or read the

concerned letter to. Participants were assured of their anonymity and confidentiality of information to ensure trust from them.

Their anonymity was ensured even during data analysis and dissemination of the findings by not revealing the participants' identities including their names or any significant aspect of identity. The access of the supervisors to the data was explained to the participants and their consent regarding the matter was obtained.

3.9.4 Voluntary participation

Arifin (2018:30) opines that to participate in the research study, "participants need to be adequately informed and have the power of freedom to allow them to decide whether to participate or decline". The researcher informed respondents about their voluntary participation and that "they could withdraw from participation anytime they wished to" as advised by Arifin (2018:30).

3.9.5 Protection from any harm

The researcher has protected participants from any harm and will continue to do so even after the research has been conducted. According to Jennings (2010:105), "it is the researcher's responsibility to ensure that the participants and the research assistants come to no physical harm". Data collected for this study will not be used for any other study except this one and will not be given to any research candidate under any circumstances. Creswell (2009:87) says that "it is important for researchers to protect their participants; develop a trust with them and promote the integrity of research; guard against misconduct and impropriety that might reflect on their organizations".

The time of collection of data coincided with the introduction of lockdown in South Africa and across the globe. Before conducting interviews with the participants, the researcher firstly considered asking the participants whether they are not put under unnecessary pressure with the telephonic interview at this time.

3.10 Summary

This chapter paid attention to the research methodology used, the design of the research, study population, sampling method and size, data collection techniques, reliability, and validity of the research techniques as well as the ethical considerations employed in line with the research study. The researcher employed qualitative

research which is exploratory and purposive sampling was chosen for the research. The next chapter will look at how the collected data was analysed and interpreted.

CHAPTER FOUR: DATA PRESENTATION, ANALYSIS, AND INTERPRETATION OF RESEARCH DATA

4.1 Introduction

The previous chapter discussed the research methodology while chapter two reviewed the literature of the study. Findings of the literature reviewed assisted the analysis and interpretation of data from respondents selected who participated in this study. This chapter comprises data collection, analysis, and interpretation of the interviews conducted. The perceptions from the respondents are integrated with the findings from the literature review for interpretation. The integration of the two enabled the researcher to conclude reporting in this chapter. The data were coded into categories of analysis as which involved the organisation and coding of all data in a way that ensured reliability and meaningfulness. Primarily, this chapter's focus is to present raw data and the findings of the research objectives set out in chapter one and to analyse them. The analysis and interpretation of the data from respondents were carried out in the light of all the research objectives; namely:

- To examine compliance concerning records management and disposal procedures.
- To identify the challenges faced in record management; and
- To determine the impact of disposal on records management.

4.1.1 Research Questions

The chapter also responds to research questions suggested in chapter one section. These research questions were as follows:

- **Is there compliance concerning records management and disposal procedures?**
- What are the challenges faced by CoGHSTA on records management?
- What is the impact of disposal on records management?

4.2 Findings from interview and Discussions

In carrying out this study, the sample satisfied the requirements for purposive and random sampling. The sample was selected because the respondents were attached to the records management unit which was the research area for this study. They have been in the Records management division for more than 20 years. They have certainly

accumulated much knowledge about records management. The study also embraced a random purposive sample because there was no effort to select as they were just there in the study area. But it must be clear that due to its size, the sample may not achieve the goal of generalisation for its results beyond the Department of CoGHSTA.

In carrying out the study, interviews and a review of literature were adopted to answer the research questions and achieving the objectives as highlighted in Chapter 1 (section 4). Interview and review of the literature led to triangulation in chapter 3 section 7.1.3 as reflected to promote the validity of the conclusions of this study as Pierce (2008:83) posited that “the conclusions should be dependable, trustworthy, unflinching, genuine, and authentic”. This is a qualitative study that reports its findings through words instead of quantitative which reports its results numerically. The questions which were posed to the respondents enabled them to express their views and opinions which enabled this study to conclude by classifying them into themes and topics to respond to the research objectives for this study. The qualitative approach was chosen as “an effective method for getting people to talk about their personal feelings, opinions and experiences” (Mack, 2005:30). This study adopted an in-depth interview to obtain perceptions from respondents.

4.2.1 Data Collection through in-depth interviews

The in-depth interview is a strategy for eliciting a vivid picture of the respondents' perspective on the research topic. The respondents “are considered experts in the field they were interviewed for, with the researcher ready to learn from the respondents” (Mack, 2005:30). Before the interviews were conducted, a schedule of questions was planned. An ethical consent form was prepared, and the sample was given the forms for their consent to complete to satisfy the requirements of the TREC. The consent form provides all the information about the research details (Mack, 2005). The respondents were assured that their participation was voluntary and that their identities would be kept anonymous. “The importance of guaranteeing anonymity makes respondents trust the process since they know that they would not be revealed and it also assists in eliciting good data” (Mack, 2005:30). This was meant to put them at ease by knowing that they would not be victimised for opinions expressed for this study. All the questions were categorised into themes or topics and were aligned to research questions and objectives to assist with the data analysis and interpretation

and the reporting of results. The planned sample was for twenty-one (21) respondents but only seventeen (17) were willing to avail themselves for the interview while four (4) willingly withdrawn from the study. The sample was purposively and randomly chosen but the size of the sample should not be construed to compromise the findings since they were experienced, knowledgeable and educated groups of people who understand the operation of the department and record management. The choice of the sample eliminated any possible biases. During the interview, the researcher had requested permission to tape-record the proceedings.

The interviews were conducted on the eve of the outbreak of coronavirus outbreak. Just before all the respondents could be interviewed, the lockdown was announced, and both the public and private sectors closed. This resulted in 9 respondents of the 17 interviewed being interviewed telephonically as this approach is recommended by Mack (2005:29) who concurred that “phone conversations and interviews with more than one participant also qualify as in-depth interviews”. In this telephonic interview, the researcher read out questions to the respondent and the latter responded while the former wrote down the responses.

With those interviewed face to face, the researcher asked questions and took notes while recording was taking place for later scripting and comparing with the notes to ensure that the correct expressions and opinions of the respondents were captured. Similar questions were asked with probing for clarity. The similarity of the questions assisted the study to comply with the reliability variable as Rossouw (2003:122) cautioned that “the reliability of the measuring instrument demonstrates the consistency of the measurement of the study”. The responses and feelings from the respondents were compared to obtain an overall picture of their views. Recurring themes and patterns were then identified, analysed, and interpreted to enable the study to reach conclusions to be reported. Being a qualitative study, Bogdan and Bilken (1982:145) describe the data analysis “as working with information (which is word-based, not using numbers and not structured) arranging it, splitting it into units, combining it, searching for designs, exploring what is vital and what is to be learned and thinking what to say to others”.

In analysing and interpreting the collected data, the researcher listened to the tape recorder and compared it with the notes taken during the interview session with respondents several times to make sure that their views and expressions are correctly captured. The literature review was critical in providing the theoretical justification and enabling the researcher to contextualize the findings of this study. The findings of the literature were then compared with the findings from respondents. The rationale for this was to contrast and confirm the findings from respondents and to deduce the findings for the study.

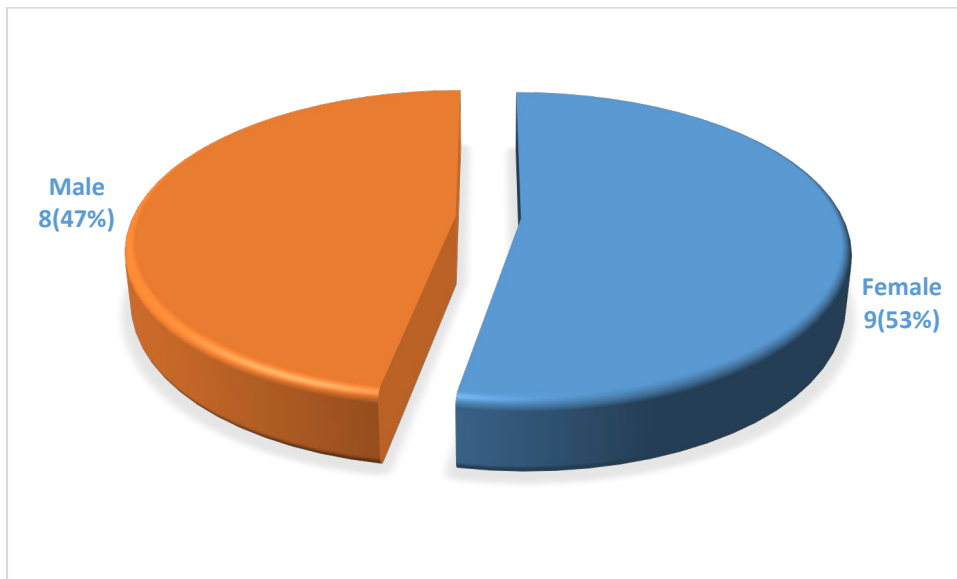
4.2.2 Biographical information

The rationale for the biographical information is to serve as an icebreaker and also provide the information about the sample selected to show that they are suitable for providing reliable responses due to their age, experience, academic education and also to see the gender sensitivity in the department. Petersilia (2013:27) posits that “demographic information refers to socioeconomic characteristics of a population expressed statistically such as age and gender”. It is an important element in describing the characteristics of research participants. The demographical profiles of the respondents are presented and addressed in the variables as indicated above; namely gender, age group and level of education that pertains to the participants.

4.2.2.1 Gender of the respondents

Musitha (2018:69) has argued that “there is a need to determine the gender of the respondents to enable the researcher to make demographic inferences concerning them”. There was a need to determine the gender of the respondents to enable the researcher to make their biographical inferences.

Figure 2: Gender



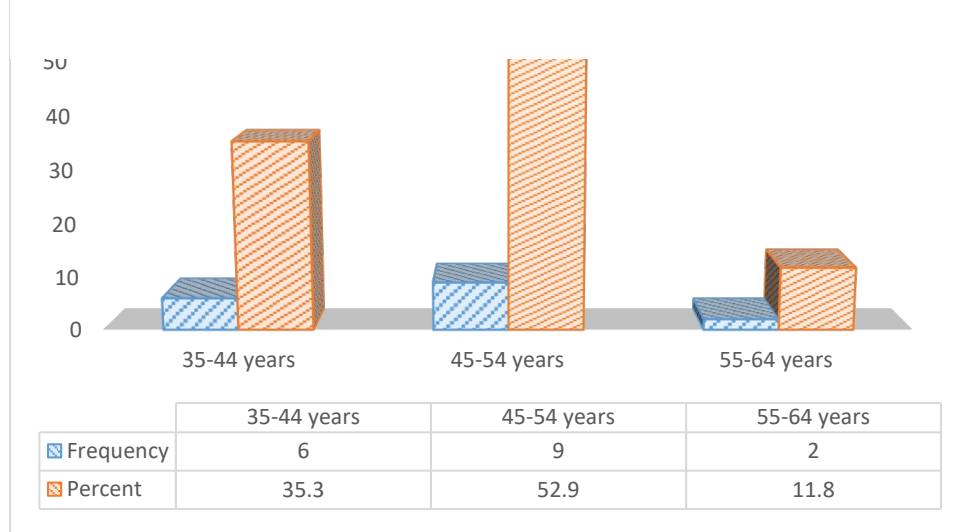
Source: Own design

Figure 2 above, shows that the male participants constitute a minority 8(47%) of the participants, and are dominated by their female counterparts who constitute a majority of 9 (53%) in the two records management divisions of General and Human Resource Records. Therefore, in the two divisions of records management of the Department of CoGHSTA, there are more females than males.

4.2.2.2 Age of the respondents

The age of the respondents plays an important role in research. Diaz-Cayeron, et al., (2009:31) in their study “had found that age affects the participation of members, particularly on development issues”. The participants were required to indicate their ages to establish whether age had any impact on the research study. The question provides the basis that all age groups have participated in the study.

Figure 3: Age Responses



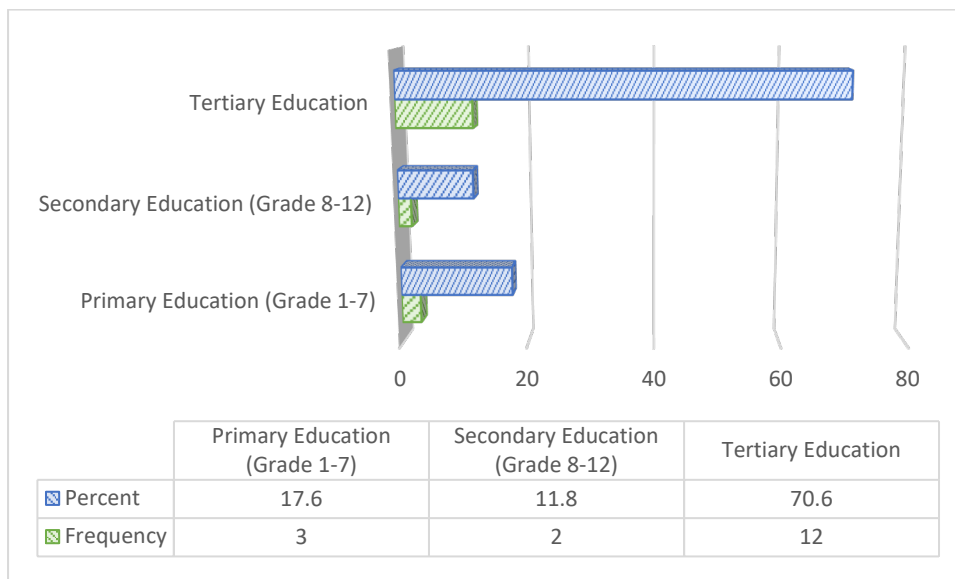
Source: Own design

Figure 3 above, indicates that most of the respondents 9(53%) were between the age of 45 and 54 years followed by respondents aged between 35 and 44 years old at 6(35%) and lastly 2(12%) respondents were between 55 and 64 years of age. The age group of participants determines the understanding of the participants in the study. This study found that six respondents were between the ages of 35-44 while nine were between the age group of 45-54. Lastly, it also shows that two were at an advanced age bracket of 55-64. The figure shows that records management in the Department of CoGHSTA is dominated by the middle age since the combined statistics make up nearly 88% with only 12 % who are on their way out of the Department.

4.2.2.3 Level of education

The level of academic qualification is important in the research. Musitha (2018:72) opines that “the information on the educational background should be elicited to enable the researcher to analyse the impact of education on job mobility to determine the respondent’s literacy level”. The importance of professional qualifications reflecting skills, knowledge and expertise should never be undermined if the Department of CoGHSTA intends to achieve its strategic objectives. The educational qualification level of participants is important concerning the information provided by participants during the interview.

Figure 4: Level of education



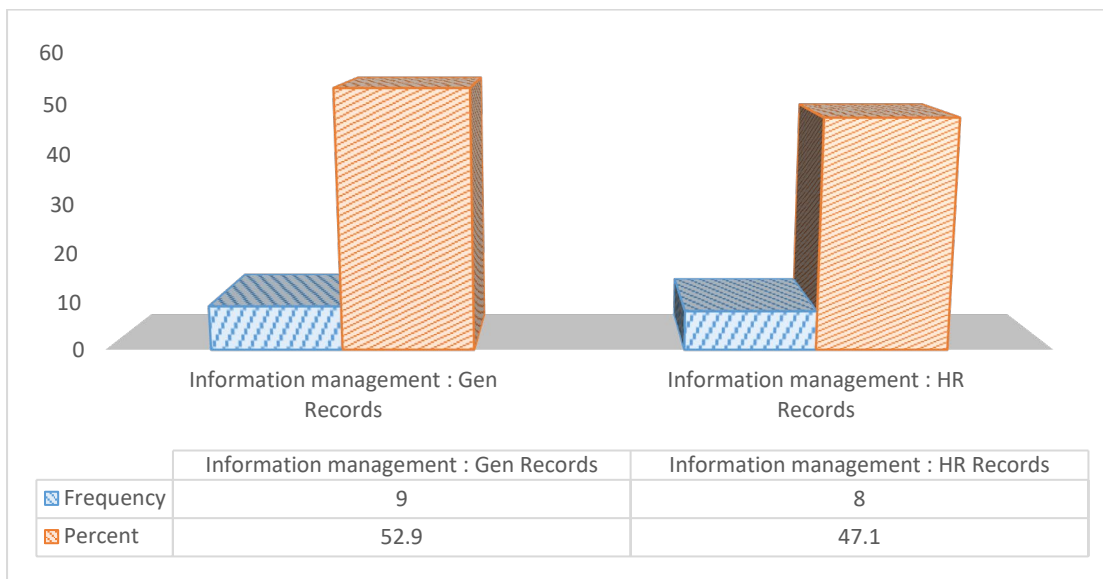
Source: Own design

Figure 4 above, shows that the majority 12 (70.6%) of the participants have Tertiary Education and another higher rate 3 (18%) participants have primary education. A lesser rate 2 (12%) of participants have secondary education. In the Records Management Unit, 3 officers have grades 1-7 and those with secondary education are only 2. Those with tertiary education are 12. Figure 3 shows that the records management division is dominated by highly educated staff members who have tertiary qualifications constituting nearly 71%. But it also has lowly qualified staff who only have the highest Grade 7 as the highest qualifications with 17%. The minority with nearly 12% have reached only Grade 12.

4.2.2.4 Status of the Department for sampling

The research area comprises two divisions in the Department of CoGHSTA, being the General and Human Resources Records. Therefore, the sample comes from the population of staff members who come from these two divisions as shown below.

Figure 5: Office details



Source: Own design

Figure 5 above, shows the majority of the participants 9(52.9%) who are coming from the General Records division whereas 8(47.9%) are based in the Human Resource records division.

4.2.2.5. Responses on compliance with Records management policy

Table 1. Compliance with records management policy

	Yes	No	Remarks
Does the Department have a Records Management Policy?	17(100%)	0(0%)	None
Is the Records Management Policy endorsed by the Head of Department?	17(100%)	0(0%)	None
Is the Records Management Policy endorsed by the Provincial Archives and Records Service of SA?	17(100%)	0(0%)	None
Is the Records Management Policy known to all members of staff in the Information Management Unit?	17(100%)	0(0%)	None
Was there consultation with the relevant stakeholders for inputs to the Records Management policy?	17(100%)	0(0%)	None

Source: Own design

4.2.2.6. Responses on availability of disposal procedure manual

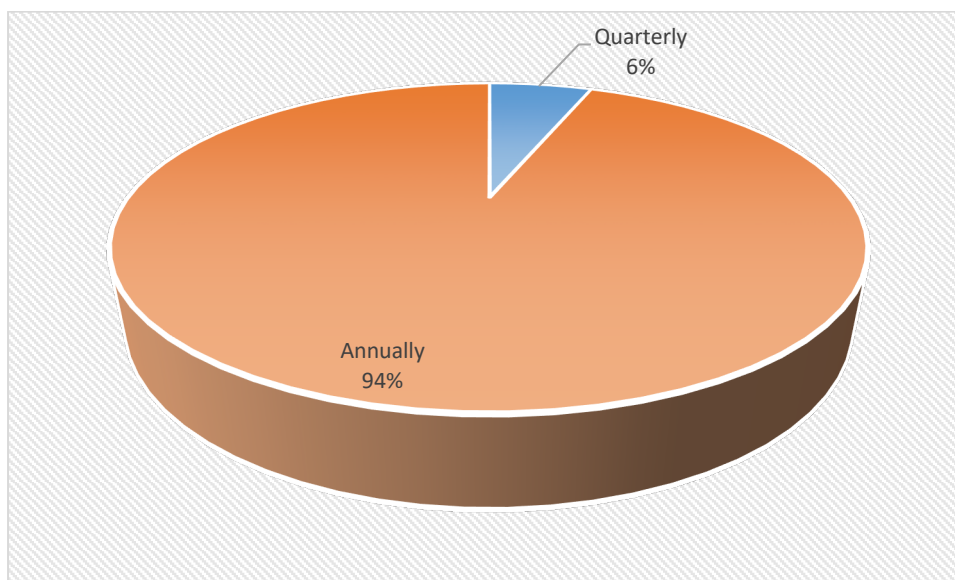
Table 2. Availability of disposal procedure manual

	Yes	No	Remarks
Is all Registry staff aware of disposal schedules for records?	16(94.1%)	1(5.9%)	None
Does the department have any records that have reached their retention period and are ready for disposal?	16(94.1%)	1(5.9%)	None

Source: Own design

4.2.2.7. Responses on the regularity of the disposal of records that have reached their retention period in the unit.

Figure 6: Disposal of records in unit



Source: Own design

From figure 6 above, 94% of the respondents indicated that the disposal of records has reached their retention period since this is done annually whereas 6% of the participants indicated that it is done quarterly. This clearly shows differences of opinions among the respondents. Both the majority and minority perceptions of the respondents are interesting as they contrast with the finding of the study by Mnjama (2003) who argued that the National Archives should focus on the management of the entire life cycle of records instead of managing only the archival preservation stage. Contrary to Mnjama (2003), Ngoepe and Nkwe (2018) found that appraisal that precedes disposal should take place every two years. Suggestively this means that disposal should take place every year since there would have been a selection of the

required records from the unwanted ones. Smith (2007:140) cautiously opined that “there is a need for a disposal schedules as a priority for the disposal of the records”.

4.2.2.8 Responses on the challenges faced in records management

Table 3: Challenges in records management

Challenges	Participants’ responses
Lack of resources- human & financial	12 (70%)
Lack of storage facilities	9 (53%)
Lack of Senior Management support hence there is less budget allocation	7(41%)
Non-submission of records created	5 (29%)
Transfer of incapable people in the unit	3 (18%)
Interference by the political heads in appointments of records staff	3 (18%)
Creation of mini registries	1(6%)

Source: Own design

Table 3 above, shows that the majority of participants (12) indicated out that lack of resources was a major challenge in records management; (9) participants indicated lack of storage as the second major challenge followed by (7) of them saying that lack of Senior Management Support is also one of the major challenges that they experience. Five (5) participants indicated that non-submission of created records as an additional major challenge is experienced. Following the (4) major challenges mentioned above, is the transfer of incapable people to the Unit as this has an effect on the implementation of policies by three (3) participants and another three (3) participants indicating the interference by the political heads in appointments of records staff as part of the challenges experienced as well as one (1) participant who indicated the creation of mini-registries in the offices by the records creators as an addition to the challenges mentioned. The respondents’ perceptions are consistent with the findings from the study by Mohammed, et al., (2018) who have found that records management in the institutions was faced with challenges such as improper records management among them and lack of training for the responsible officials in records management. Similarly, Osebe, et al., (2018) have found that challenges such as inadequately training of staff on records management, lack of records disposal and retention schedules, inadequate equipment, and space as well as inadequate policies and standards are faced with records management (Osebe, et al., 2018).

Corroborating Osebe, et al., (2018), Dikopoulou and Mihiotis (2012) attribute these challenges to a lack of top-level support. In the same line of thinking, Dwoya (2014:84) postulated that “proper implementation of recordkeeping was hampered by lack of resources, specialized skills and power to enforce thereby rendering many recordkeeping processes ineffective to achieve a full cycle management of all records regardless of format”. Mnjama and Wamukoya as cited in Dwoya (2014:66) observed that “countries in the ESARBICA region were hampered by the absence of dedicated budgets for records management”.

4.2.2.9 Responses on the challenges faced in the disposal of records

Table 4: Challenges faced in the disposal of records

Challenges	Participants' responses
Delay in approval of memo for disposal by the Head of Department	12 (70%)
Delay by the Provincial Archives to give authority to dispose of records	17 (100%)
Lack of storage facilities for active and inactive records	10 (59%)
Shortage of staff to arrange records for disposal	6 (35%)
Backlog of former homelands records are mixed up which further delays the implementation of the disposal program	5 (29%)
Lack of records list for older records	7 (41%)
Lack of knowledge of how disposal is conducted	1 (6%)
Appointed Head office and district staff not given formal training on records management reason given all the time is that there is no budget	1(6%)

Source: Own design

Mohammed, et al., (2018) in their study have shown that record management in institutions is challenged by improper records management. Table 4 above, shows that 12 (70%) of participants indicated the delay in the approval of the memo for disposal of records by the HOD followed by 17(100%) participants who indicated the delay by the Provincial Archives to give authority to dispose of records. This is contrary to the findings by Dikopoulou and Mihiotis (2012) who found that Institutional capacity and top-level support are two elements for records management. Suggestively the top management is not assisting the records management division to perform its task.

Another 10 (59%) of the participants mentioned lack of storage facilities for active and inactive records; whereas another 6 (35%) participants mentioned a shortage of staff to arrange records for disposal and 5(29%) indicated a backlog of former homelands records and again 7 (41%) of the participants lack records list for older records facilities to continue, 1(6%) participants indicated a lack of knowledge of how disposal is conducted while another 1(6%) participant mentioned that the appointed Head office and District staff are not given formal training on records management; that is because the reason they provide all the time is that 'there is no budget'. The perceptions from the respondents corroborate the findings by Ngoepe (2008: i) who found that "despite the significant role of the records management many organisations, including government departments, do not consider the management of records important". This is consistent with Barata, et al., (2000) who in their study found that records management suffers from a lack of support from senior management. It is therefore clear that there is a problem when it comes to the support that senior or top management should provide to the record management. This is consistent with the findings of the study by Kanzi (2010: iii) who found that "records management function was not receiving the attention it deserved not only in the public sector but also at municipalities" as the example of Amathole District Municipality (ADM) has revealed.

Ngoepe and Jiyane (2015:77) corroborate that "due to a lack of capacity at the Archives repositories and inadequate monitoring oversight, the appraisal of records, as required in terms of section 13(2)(a) of the National Archives and Records Service Act to enable the disposal thereof, was not done effectively". After that, the Limpopo Provincial Archives Act, no 5 of 2001 provides for the establishment of Provincial Archives of the Limpopo Province and proper management and care of records in the Department of CoGHSTA which enforces the Provincial Archives staff not to delay at all when support is needed at a provincial government department as it might compromise the rendering of the service by the department as revealed by the perceptions of the respondents.

Similarly, Yuba (2016:89) found that "the National Archives and Records Service section was unable to conduct inspections to approve file plans and authorise disposal or even conduct records management training sessions with the public sector because they were overwhelmed as a result of staff shortages to deal with its mandate". As such at the provincial level, it could be worse as affirmed by the respondents.

4.2.2.10 Responses on the impact of disposal of records management

The study investigated the impact of disposal on records management is so that the two records divisions of General and Human Resource could effectively manage and implement the mandate of records management within the department.

Table 5: What is the impact of disposal on records management?

Impact	Participants' responses
It will create space for active and vital records for the department	16 (94 %)
The department will be able to determine vital records	10 (59 %)
More time and money are spent working on inactive and terminated records	14 (82%)
More money is spent on payment of storage facilities non-vital records	15(88%)
Redundant and old records that are not valuable are done away with	12(70%)
The department will save costs on the storage of records that are not vital	17(100%)
It assists in getting rid of inactive records	6 (35%)

Source: own design

The above table 5, illustrates that 16 (94 %) of the participants indicated that it would create space for active and vital records for the department; 17(100%) of the participants mentioned that the department will save costs on the storage of records that are not vital. In addition, 15(88%) of the participants mentioned that more money that is spent on payment of storage facilities non-vital records could be saved; 14 (82%) of the participants mentioned that more time and money is spent working on inactive and terminated records; 12 (70%) indicated that redundant and old records that are not valuable are done away with; 10 (59 %) of the participants indicated that the department will be able to determine records that are vital whereas 6 (35%) argues that it will assist in getting rid of inactive records.

The findings from the study are supported by Yusof, et al., (1998), in that they provide a different dimension on the disposal of records. They argue that the time has come for a shift 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 instead of disposal in the form of

throwing away documents. In this case, documents are stored and retrieved at any time if electronic systems can store records that could not be stored in the physical space in terms of size (Yusof, et al., 1998). This is contrary to the findings from the respondents above who think of disposal in the old way instead of thinking of innovations.

4.2.2.11 Responses on the allocation of appropriate resources for maintenance of records management program

Table 6: Resource Allocation for maintenance of records management program

Participants	Responses	Remarks
1	No	None
2	No	Not enough budget
3	No	Not enough resources to attend to records e.g., budget, and human resources. This affects the Unit's implementation of the records management policies
4	No	Not enough resources to attend to records e.g., budget, and human resources. This affects the Unit's implementation of the records management policies
5	No	Not taken into consideration e.g., not allocated enough budget e.g., extra mile activities that are not easily implementable during working hours
6	No	None
7	No	No stationery, no human resource and no relevant stationery for other staff members to capture records to make them ready for disposal, no human
8	No	Not at all, vacant posts have been cancelled on the structure and the posts for retired and transferred officials are not advertised nor filled
9	No	None
10	No	Not enough resources to attend to records e.g., budget, and human resources. This affects the Unit's implementation of the records management policies
11	No	Not enough resources to attend to records e.g., budget, and human resources. This affects the Unit's implementation of the records management policies
12	No	Not enough resources to attend to records e.g., budget, and human resources. This affects the Unit's implementation of the records management policies
13	No	Not enough resources to attend to records e.g., budget, and human resources. This affects the Unit's implementation of the records management policies

14	No	Not enough resources to attend to records e.g., budget, and human resources. This affects the Unit's implementation of the records management policies
15	No	Not enough resources to attend to records e.g., budget, and human resources. This affects the Unit's implementation of the records management policies
16	No	Not enough resources to attend to records e.g., budget, and human resources. This affects the Unit's implementation of the records management policies
17	No	Not enough resources to attend to records e.g., budget, and human resources. This affects the Unit's implementation of the records management policies

Source: Own design

Tagbator, et al., (2015:1) in their study have found that resources such as those that promote a shift from manual to an electronic system such as computers and the internet allow completing and submitting the information punctually. Table 4 above, shows that all 17(100%) of the participants interviewed indicated that there are not enough resources to attend to records e.g., budget, and human resources. This affects the unit's implementation of records management policies. Most responses from the respondents have a consensus in that they are all expressing a lack of appropriate resources for the division to enable them to perform their work. This is consistent with the findings by the study of Kanzi (2010: iii) who found "that records management function was not receiving the attention it deserved not only in the public sector but also at municipalities" as the example of Amathole District Municipality (ADM) has revealed. Similarly, Ngoepe (2008: i) has found "that despite the significant role of the records management many organisations, including government departments, do not consider the management of records important". This lack of resources plunges the records management of the public sector records in chaos and regulations governing the management and disposal of public records get flouted (Netshakhuma, 2009). Lack of this support is attributed to senior management who should provide among others training to re-skill the records management officials to get knowledge and leadership skills to manage the division (McDonald and Leveille, 2014).

5. Conclusions

This chapter has provided the data presentation, analysis, and interpretation of research data. The biographical information has provided the study with knowledge

about the respondents. These respondents have shown that they are educated, they are of middle to advanced age and there is gender sensitivity. The respondents have acquired the required academic qualifications. Records management is a field that is besieged with challenges as it has been deduced that it does not receive support from top management even when it is such an important activity in the public and private sectors. The records management officials do not get training to equip themselves with the required knowledge to perform their functions effectively.

The other important issue that has been revealed was that the records management in the continent lacks a sufficient budget. There is a need to transform from current records management to an electronic system that does not require a lot of space for storage. The major problem that was observed in this chapter was the delay in the approval of the memo for disposal of records by the Senior Management such as the Head of Department and the Provincial Archives to give authority to dispose of records. Of course, the failure to provide support for records management is not limited to provincial departments as the study has indicated that even in the municipalities it was the case as the Amathole District Municipality has shown. The following chapter will discuss conclusions and a summary of findings including recommendations that will enhance knowledge and add value to the study.

Chapter 5: Summary, Conclusions and Recommendations

5.1. Introduction

The previous chapter has discussed data presentation, analysis, and interpretation of research data. This is the closing chapter of this study. This chapter presents the summary of the chapters, conclusions, and recommendations. By so doing, the study would give the research value and assist the Department of CoGHSTA. The study aimed to investigate the challenges faced by the Department of CoGHSTA in records management and disposal. Three specific objectives guided this study namely, to examine compliance concerning records management and disposal procedures; to identify the challenges faced in the record management and to determine the impact that disposal has on records management. The specific questions were as follows: is there compliance concerning records management and disposal procedures? what are the challenges faced by the Department of CoGHSTA on records management? and what is the impact of disposal on records management?

5.2. Summary of Chapters

This study is comprised of five chapters, and they are briefly presented below.

5.2.1 Chapter One

Chapter one presented the introduction of the study. It briefly discussed the identified research problem, significance of the study, aim of the study, objectives, brief review of the literature about the problem under study, the study area, population, sampling method, sample size, data collection, data analysis, and ethical considerations. It served as the foundation for the subsequent chapters. This chapter gave the study a map of what is being researched and for what purpose. Thus, the study was undertaken in line with the plan and in consideration with the ethics for conducting research.

5.2.2 Chapter Two

The chapter presented a literature review relevant to the research problem, specific objectives and the specific questions. It focused on the review of the literature on the topic under study and the findings by other scholars on the research topic. Various articles, documents: Records Management policy, Disposal procedure manual, Limpopo Provincial Archives Act, The National Archives Act, The Limpopo CoGHSTA Audit report; books, journals as well as websites which assisted the researcher to

contextualise and motivate the findings were reviewed. The study was able to reveal some findings which are affirmed by the literature that was reviewed. Thus, the literature review played a critical role in this study much like in any research in social sciences.

5.2.3 Chapter Three

Chapter three presented the research methodology and the design for this study. The chapter revealed that the choice of the study which was the qualitative research design, and several data collections techniques were highlighted such as open-ended, semi-structured interviews, observations and group discussions to explore and understand the attitudes, opinions, feelings and behaviour of individuals or groups of individuals. Again, the qualitative data collection methods employed to collect data in line with the research objectives and the research questions are outlined. The chapter also showed the population, the sample and measurement such as validity and reliability. To validate the findings, triangulation was used. Ethical considerations were also discussed in this chapter

5.2.4 Chapter Four

Chapter four presented data collection, analysis, and interpretation of collected data. The chapter reminded the reader of the specific objectives and specific questions. It showed the instrument that was used to collect the data for this study which in this case was the interview and review of the literature. In this chapter, the biographical information of the respondents was also provided. The chapter captured the findings from the literature and those of the respondents and compared them in responding to test the questions that were asked to develop the findings for the study. This enabled the researcher to validate the achievement of the set objectives of the study and responding to the research problem.

5.2.5 Chapter Five

This chapter provided the summary, conclusions, and recommendations. It is in this chapter that the findings of the study were provided. The chapter concludes by presenting recommendations.

5.3 Summary of the research questions

The study provides discussions and a summary of the research questions posed to the participants in the study. By discussing the research questions, the researcher can provide answers to the questions posed in the introduction, explain how the results support the answers and how the answers fit in with existing knowledge on the topic. This study questions that were posed to the participants along with a brief discussion are shown below:

5.3.1 Office Details

5.3.1.1 Name of the Department

The participants were asked to indicate the name of the Department in which they are working or are based to affirm that the participants are working in the Department of CoGHSTA which is the focus area of the study.

5.3.1.2 Name of the Unit

The participants were asked to indicate the name of the Unit in CoGHSTA in which they are working or are based to affirm that the participants are working in that unit within the Department of CoGHSTA.

5.3.2 Demographical information

5.3.2.1 Gender

The participants were asked to indicate their demographical information:

Are you a male or a female?

5.3.2.2 Age Group

The participants were asked to indicate their demographical information around what is their age group is. Is it 22-34 years; 35-44 years; 45-54 years; and 55-64 years?

5.3.2.3 Level of education

The participants were asked to indicate what is their level of education? Is it Primary Education (Grade 1-7); Secondary Education (8-12); Tertiary Education and others?

5.3.3 Records Management

5.3.3.1 Records Management Policy

By posing questions relating to records management policy, the study intended to find out whether the department has the above-mentioned policy because it is an important strategic document that guides the effectiveness and efficiency of the department. The

Head of the Department as the Accounting Officer in the department has to know that the records management unit which forms part of the department's strategic business unit, has a policy document in place and that approval is granted so that it is implemented by the staff in the unit. This will give an advantage to the records staff in case any challenges hinder the smooth implementation of the said policy.

The study sought to find out whether approval was granted on the Records management policy by the Provincial Archivist. The department would comply with the Provincial Archives Act of 2000. As such any deviations from the Act can be easily reported to the Provincial Archivist. The study intended to find out whether the above-mentioned policy is known by all staff in Information Management Unit and what channels, or methods were used to find out the knowledge gap that might exist and come up with relevant strategies to close the gap. Furthermore, the study identified whether the records management policy was reviewed regularly. Any policy has to be reviewed regularly so that it addresses the current trends on matters relevant to it. A good policy is said to be inclusive of inputs from the relevant stakeholders because they would assist with the implementation phase of the policy. After all, such stakeholders would have played a role in its development stage. Therefore, the good intentions of the policy will be realized easier.

5.3.3.2 Challenges faced in records management

The participants were asked the above question to find out what challenges they are experiencing in records management so that the researcher can recommend solutions to the problems. No work environment does not have challenges. As such it was relevant for the researcher to bring about probable recommendations to remedy the situation.

5.3..3.3 Classification system or file plan.

The study intended to establish whether there is a classification system or file plan in place and whether approval for it was sought and granted to find out whether the department has the classification system in place. This assist with the smooth implementation of the records management practices by the records creators themselves. The Department will be performing its duties following the prescripts of the Provincial Archives Act of 2000.

5.3.3.4 Disposal Procedures

The study intended to establish whether the disposal of records as the last stage of the records cycle is given the attention that it deserves in the same way as the other stages (creation, maintenance, and use). The implementation of the records management system is effectively rendered if all its stages are well maintained.

5.3.3.5 Resources

Resources play a very important role in any organization. A records management practice will efficiently benefit the organization in many ways than one when resources are allocated to the unit for it to function smoothly. The study intended to establish whether the records management unit is allocated resources (finance/human/equipment) so that it can deliver on its mandate and further assist the department to achieve its strategic objectives.

5.3.3.6. Training

The capacity development of employees plays a critical role in the organisation. It improves the performance of duties by the employees which further assists the organisation to deliver on its strategic objectives. The study investigated whether the records management employees are given training on many areas of records management which is critical for them to fully implement the records management practices and mandates.

5.4. Findings from the study

5.4.1 Demographical information of the participants

The questions on the demographic information in the study focused on gender, age group and the level of education. Below are the research findings that were revealed by the study.

5.4.1.1 Gender of the participants

Musitha (2018:69) has argued that “there is a need to determine the gender of the respondents to enable the researcher to make demographic inferences concerning them”. The study found that of the 17 participants in the two divisions of General records and Human Resource records, 14 are males and 12 are females. It is however worth mentioning that the overall staff in the Information Management Unit has 26 staff members and the sample size was 21 participants comprising of 9 males and 12 females.

Of the 26 staff members, 4 males did not form part of the sample size because they do not perform records management functions but are supporting the unit with the provision of messenger services whereas 2 of them went on retirement. The gender distribution in the current set-up is very important as a means of an all-inclusive organization.

5.4.1.2 Age of the respondents

The study revealed that most of the participants were between the age of 45 and 54 years, followed by respondents age between 35 and 44 years old and lastly fewer respondents were between 55 and 64 years old. The age group provides the basis that all age groups have participated in the study. Diaz-Cayeron, et al., (2009:31) posit that age affects the participation of members, particularly on development issues. The age group of participants between 35-44 must form part of the group that the department utilizes more so that they are knowledgeable with records management procedures mainly because they still have more years to spend in the department to further assist with the policy implementation.

5.4.1.3 Level of education

Musitha (2018:72) opines that “the information on the educational background should be elicited to enable the researcher to analyse the impact of education on job mobility; to determine the respondent’s literacy level”. The study found that the majority of the participants 12 (70.6%) have Tertiary education and another higher rate of participants 3(18%) have primary education whereas only a few of participants 2 (12%) have secondary education. It could therefore be concluded that the Department of CoGHSTA has most officials in the Information Management Unit that can be able to assist the department to meet its strategic objectives in terms of records management because most of the participants have tertiary education which can therefore be concluded that the personnel in records management are qualified to can understand and implement the records policies, standards, and procedures effectively and efficiently.

5.5 Objective 1: To examine compliance concerning records management and disposal procedures.

To address the above research objective, the researcher examined whether there is compliance in terms of records management and disposal procedures. The following are the key findings that were revealed in line with the above research objectives.

5.5.1 Availability of Records Management policy

All of the participants 17(100%) agreed that records management policies do exist in the department. This means that the Department of CoGHSTA complies with the legislation as required by the National Archives of South Africa Act, No, 43 of 1996 and Provincial Archives Act, No 5 of 2001. By indicating in their responses that the Department of CoGHSTA has records management procedure manuals and policies that were approved by the Provincial Archives before it is implemented in the department, shows that the department is adhering to the legislation as required by the Act. This would then suggest that consultation increased the citizens 'awareness of their rights; provides for justice and respect for human rights; gender and sensitivity balance; and effective management and distribution of state resources. Furthermore, most of the services that the government provides to citizens, businesses and internal clients are about information in one way or the other, e.g., birth, death, and marriages registration. Fundamentally, most government departments, are mandated to manage government information and any failure in this role negates its value of service to the public.

5.5.2 Endorsement of Records management policy by the Head of Department.

The study revealed that all participants agreed that the records management policy is endorsed by the Head of Department who is the Accounting Officer of the Department of CoGHSTA. This is a good sign for the Department of CoGHSTA.

5.5.3 Endorsement of Records management policy by the Provincial Archives.

The study revealed that all the participants agreed that the records management policy in the Department of CoGHSTA is endorsed by the Provincial Archives before any implementation of such a policy by the provincial department.

5.5.4 Knowledge of records management policy by Information Management Staff in the Unit.

The study found that all the participants agreed that records management policies are known to all Information Management staff in the Unit. Thus, the records management staff from the two divisions of General and Human Resource Records affirms that for a records management program to succeed there should be some level of awareness of the procedures, policies and standards governing the management of records. Records management staff as champions of records should be knowledgeable in

terms of all records procedures and policies so that they are better equipped to implement such policies.

5.5.5 Availability of disposal procedure manual.

The study found that all the participants indicated that the department does have the Disposal schedule manual.

5.5.6 Awareness of the availability of the disposal procedure manual.

The study revealed that the registry staff is aware of the availability of the disposal procedure manual.

5.5.7 The frequency of the disposal of records that have reached their retention period.

The study found that all the participants indicated that the disposal of records has reached their retention period is done annually. This is a step in the right direction in that, the world of paper records, managing retention and disposal is an important part of records management program because the outcome is the reduction in the volume of paper stored, making a visible impact and leading to immediate space and or cost savings. In the Department of CoGHSTA, disposal of records is done annually as required by the disposal schedule manual.

5.6. Objective 2: Challenges faced in records management.

The following are the findings that were revealed in line with the above-mentioned research objective:

5.6.1 Lack of resources (Finances/Human/ Equipment)

In the study, most of the participants mentioned a lack of resources as a major challenge. It can therefore be deduced that the two divisions in the records management unit are not provided with the tools of the trade to enable them to do their work efficiently and effectively.

5.6.2 Lack of storage

The second major challenge that was revealed by the study is that there is a lack of storage for records in the department. It can be deduced that the records are not well kept, and this will affect access and retrieval of records when needed for use by the end-users. The Department of CoGHSTA, therefore, runs a risk of not being able to deliver on the provision of records when needed as evidence for litigations, to comply

with the PAIA Act of 2000 and to also provide records to Auditors in time when they are needed.

5.6.3 Lack of Senior Management Support

Furthermore, the participants mentioned a lack of Senior Management support as another major challenge that they faced in records management. Having no support from Senior Management in any organization has a severe impact on the work performance of both the division itself and the employees in that division. This mostly leads to staff's low morale as such low productivity, or no productivity is experienced. Records Management Unit is not getting the support that it requires to perform its duties as evidenced by the findings of this study whereby 12 (70%) indicated that there is a delay in the approval of the memo by the Head of the Department.

5.7. Challenges faced in the disposal of records

To further identify the challenges faced in records management, the study found that participants are experiencing challenges on the last stage of the records management cycle which is the disposal of records. The following are the findings that were revealed from the study.

5.7.1. Delay in approval of memo for disposal by the Head of Department

The study found that the majority 12(70%) of the participants stated the delay of Provincial Archives to give authority to dispose of records that have reached their retention periods and are due for disposal is a major challenge that is faced during disposal of records.

5.7.2. Delay by the Provincial Archives to give authority to dispose of records

Amongst the challenges that are faced in the disposal of records, the above was raised as another major challenge by most 17(100%) of the participants who indicated the delay by the Provincial Archives to give authority to dispose of records.

5.7.3. Lack of storage facilities for active and inactive records

The participants mentioned the lack of storage facilities for active and inactive records. Lack of storage facilities for active and inactive records poses a major risk for the department, in that the two divisions in the records management unit is left with no choice but to put both active and inactive records in the available storage facilities for safekeeping.

5.7.4. Shortage of staff to arrange records for disposal.

The study revealed that there is a shortage of staff to arrange records for disposal. Human resources play a critical role in the achievement of the organization's strategic objectives. Hence, without human resources, the strategic plan that is put in place will only be a dream and not be achieved. It can be deduced that it is for this reason that the disposal of records is not thoroughly done.

5.8. Objective 3: The impact of disposal on records management

The following are the findings from the study as deduced from the above-mentioned objective.

5.8.1. It will create space for active and vital records for the department

The participants mentioned that by undertaking the disposal of records, the department will create space for active and vital records. This suggests that the records management unit at the time of the study did not have enough space to keep active and vital records. As such, undertaking disposal of records on records that have reached their retention periods in line with the Disposal Schedule manual will greatly benefit the Department. The department would create space for active and vital records which seem to be a cause for concern for the records management unit staff.

5.8.2 The department will save costs on the storage of records that are not vital.

The volume of paper-based records that are in the custody of the records management unit, requires that the department seek storage facilities outside of the department for the storage of records that are not vital.

5.8.3 More money that is spent on payment of storage facilities for non-vital records

The study revealed that more money is spent on the payment of storage facilities for non-vital records. The financial resource that is so much needed by the two divisions of General and Human Resource Records is spent on payment of storage facilities instead of it being channelled towards other key records management responsibilities.

5.8.4. More time and money are spent working on inactive and terminated records

The study found that more time and money is spent working on inactive and terminated records. By not giving the disposal of records a priority through the provision of

financial as well as human resource support, the records management unit's much of the budget is utilized on the maintenance of inactive and terminated records which should be disposed of because they would have reached their retention period.

5.9. Other study findings

The study revealed some other findings of objectives 2 and 3 which are also deemed important to raise. Below are the findings from the study.

5.9.1. Challenges faced in records management

5.9.1.1 Non-submission of created records to records management units

5.9.1.2 Transfer of incapable people to the records management unit as this affects the implementation of policies

5.9.1.3 Interference by the political heads in appointments of records staff

5.9.1.4 Creation of mini registries in the offices by the records creators.

5.9.2. Challenges faced in the disposal of records

5.9.2.1 Backlog of former homelands records

5.9.2.2 Lack records list for older records facilities

5.9.2.3 Lack of knowledge of how disposal is conducted

5.9.2.4. The appointed Head office and District staff are not given formal training on records management- the reason given all the time is that there is no budget.

5.9.3. The impact of disposal on records management

5.9.3.1. Redundant and old records that are not valuable are done away with

5.9.3.2. The department will be able to determine vital records

5.9.3.3. It will assist in getting rid of inactive records.

6. Limitations and delimitations of the research study

This study was carried in the Limpopo Province, South Africa, at the Department of CoGHSTA. A sample of 21 participants from both divisions of General and Human Resource Records were chosen as a sample for the research study. The survey was conducted from the 03rd of March 2020 to 09 August 2020. A final sample of 17 was achieved and face to face interviews was conducted with 8 respondents. Fieldwork was conducted during the Level 3 of the lockdown when it surmised that most governments departments would be opening their operations; however, it was not always the case. Some departments opened in level 02. But with skeletal workers and it was difficult to interview the sample of the population. This impacted the getting of respondents and the researcher had to conduct a telephonic interview with the 9 remaining respondents. The researcher would have liked to research four other records management divisions in the Limpopo Provincial government departments, but due to financial constraints and the distance, the study is limited to where the respondents are, which is the Department of CoGHSTA's Records Management Divisions of General and Human Resource Records. After that, the research cannot claim to have revealed all the challenges that are faced by all the Limpopo Provincial departments. This would be virtually impossible as challenges are not static, but dynamic and contextual.

The study was limited to participants in the above-mentioned department; therefore, the analysis of the study does not include records management divisions of other Limpopo Provincial governments. The research cannot claim to have revealed all the challenges that are faced by all the Limpopo Provincial departments. This would be virtually impossible as challenges are not static, but dynamic and contextual. This is because the research was only undertaken with 17 participants of the Department of CoGHSTA in the two divisions of the Information Management Unit of General records and Human Resource records. Rossman (1999:24) cautions that "there is no perfect research".

7. Areas of Further Research

All studies after being conducted should suggest areas of further research as no research study is complete. It should also be noted that no research addresses

everything, a larger study, with a larger sample, is needed. Therefore, in future, this study can be repeated using a larger sample which can also be conducted using a quantitative study. A further study can be conducted on the same research study but focusing on 4 (four) other Limpopo Provincial government departments which might provide suggestions on how or what other departments are addressing the challenges that are faced in records management and disposal.

8. Recommendations

The following recommendations are made in line with the findings of the research study as mentioned in Chapter four (4):

- that records management be made part of the key performance areas of all employees (senior management to lower-level management staff) in the department on their memorandums of understanding so that they are assessed on a semester basis as required by the Performance Development and Management Service policy.
- that formal records management training for officials in records management divisions be undertaken, focusing on the records that the department holds not a holistic and generic formal training which seems not to be solving the current records management challenges even for officials who have indicated that they have gone for training.
- the Department must invest more in a group 34-45 years form part of those at the youth age about capacity development and skills transfer in the records management divisions so that they too can participate in the unit's performance of records management activities thoroughly.
- that records management unit be allocated the same budget, human resources as other the department's strategic business units which are deemed to be performing the department's core functions because it too plays a key role in the management of the records from such units which are regarded as being core units.
- that allocation of storage facilities that are up to records storage facilities standard, be deemed a priority and be attended as a matter of urgency, as no records management unit can function effectively and efficiently without such an important infrastructure.

- The Department of CoGHSTA records management unit moves from a manual system to the electronic Document Management System as an option of addressing various elements such as shortage of storage facilities, poor records keeping etc.
- The Head of Department as the Accounting Officer to delegate in writing the authority to the Records Manager or his/her supervisor, to sign and approve the memorandum for disposal of records after a thorough appraisal of such records is done by the records staff to avoid the delays that are experienced during the approval of the memorandums.
- The Provincial Archives have three (3) to four (4) employees amongst its staff establishment dedicated to each government department in dealing with all records management issues including an appraisal of records to address the delay by the Provincial Archives to give authority to dispose of records.
- The records management committee comprising of records management officials, IT officials, and risk management officials be established in the department with the sole aim of the involvement of the records manager(s) in the design of new systems to help in ensuring that records are identified, and methods are used to capture records to provide evidence of activity for the establishment of electronic records management system.

The set of objectives in chapter one (1): section four (4) has guided and assisted the researcher in developing informed and relevant recommendations. It is hoped that the recommendations above will greatly assist to change the status.

9. Conclusions

From the study through the findings established from the participants, the researcher can conclude that records management divisions of General and Human Resource records in the department of Cooperative Governance, Human Settlement and Traditional Affairs are not given the attention they deserve. As such they are given less budget, training of the records management staff is done haphazardly due to lack of budget. The effective and efficient implementation of records management policies is compromised.

For a division in the department to deliver on its operational plan, worse on its strategic objectives, it needs to be allocated sufficient resources when there are no critical

resources namely human and financial to be fully functional. This means that until the mentioned challenges are addressed, records management in the department is most likely to be in tatters. The researcher can only make recommendations after having conducted the research; however, the implementation lies mainly with the decision-makers; and policymakers of the department.

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11. APPENDICES

APPENDIX 1: TREC LETTER



University of Limpopo
Department of Research Administration and Development
Private Bag X1106, Sovenga, 0727, South Africa
Tel: (015) 268 9935, Fax: (015) 268 2306, Email: anastasia.ngobe@ul.ac.za

TURFLOOP RESEARCH ETHICS COMMITTEE
ETHICS CLEARANCE CERTIFICATE

MEETING: 05 November 2019

PROJECT NUMBER: TREC/486/2019: PG

PROJECT:

Title: Challenges Facing Provincial Departments in Records Management and Disposal: A Case Study of COGHSTA in Limpopo Province

Researcher: MC Morobane

Supervisor: Dr E Zwane

Co-Supervisor/s: N/A

School: Turfloop Graduate School of Leadership

Degree: Master of Public Administration and Management

PROF P MASOKO
CHAIRPERSON: TURFLOOP RESEARCH ETHICS COMMITTEE

The Turfloop Research Ethics Committee (TREC) is registered with the National Health Research Ethics Council, Registration Number: REC-D310111-031

Note:

- i) This Ethics Clearance Certificate will be valid for one (1) year, as from the abovementioned date. Application for annual renewal (or annual review) need to be received by TREC one month before lapse of this period.
- ii) Should any departure be contemplated from the research procedure as approved, the researcher(s) must re-submit the protocol to the committee, together with the Application for Amendment form.
- iii) PLEASE QUOTE THE PROTOCOL NUMBER IN ALL ENQUIRIES.

Finding solutions for Africa

APPENDIX 2: APPROVAL LETTER: FACULTY(MPAM)



University of Limpopo
Faculty of Management and Law
OFFICE OF THE EXECUTIVE DEAN
Private Bag X1106, Sovenga, 0727, South Africa
Tel: (015) 268 2558, Fax: (015) 268 2873, Email: frikkie.ponefika@ul.ac.za

26 August 2019

Morobane M.C (9604116) MPAM
TURFLOOP GRADUATE SCHOOL OF LEADERSHIP
MASTER OF PUBLIC ADMINISTRATION AND MANAGEMENT (Course Work)

Dear Morobane M.C,

FACULTY APPROVAL OF PROPOSAL

I have pleasure in informing you that your Masters proposal served at the Faculty Higher Degrees Committee meeting on 21 August 2019 and it was approved as follows:
"Challenges Facing Provincial Departments in Records Management and Disposal: A Case Study of COGHSTA in Limpopo Province".

Note the following: The study

Ethical Clearance	Tick One
Requires no ethical clearance Proceed with the study	<input type="checkbox"/>
Requires ethical clearance (Human) (TREC) (apply online) Proceed with the study only after receipt of ethical clearance certificate	<input checked="" type="checkbox"/>
Requires ethical clearance (Animal) (AREC) Proceed with the study only after receipt of ethical clearance certificate	<input type="checkbox"/>

Yours faithfully,


Prof MP Sebola

Chairperson: Faculty Higher Degrees Committee

CC: Dr E Zwane, Supervisor and Acting Programme Manager and Acting Director of School,
Prof MX Lethoko.

Finding solutions for Africa

APPENDIX 3: APPROVAL LETTER: COGHSTA

CONFIDENTIAL



LIMPOPO
PROVINCIAL GOVERNMENT
REPUBLIC OF SOUTH AFRICA

DEPARTMENT OF
CO-OPERATIVE GOVERNANCE,
HUMAN SETTLEMENTS & TRADITIONAL AFFAIRS

Ref : CH 1/4/1/P
Enquiries : Mr. Mulaudzi N.D
Ext no : 015 284 5277/5347

Ms Morobane MC

Dear Madam

RE: REQUEST FOR PERMISSION TO CONDUCT RESEARCH

1. The above matter refers.
2. Your letter dated 27 January 2020 is acknowledged.
3. Kindly be informed that your request for permission to conduct research has been approved by the HOD
4. We wish you a pleasant moment when interacting with respondents from the department in your endeavour to accomplish your studies.

Kind regards


.....
Chairperson: Research Committee

08/09/2020
.....
DATE

20 Rabe Street, POLOKWANE, 0700, Private Bag X9485, POLOKWANE, 0700
Tel: (015) 284 5000, Fax (015) 293 1520, Website: www.coghsta.limpopo.gov.za

The heartland of Southern Africa - development is about people!

APPENDIX 4: REQUEST LETTERS FOR PERMISSION TO CONDUCT RESEARCH: FACULTY(MPAM).



**University of Limpopo
Turfloop Graduate School of Leadership
P O Box 756, Fauna Park, 0787
Tel: (015) 268 4253, Email: engeline.zwane@ul.ac.za**

MEMORANDUM

To : To Whom It May Concern
From : Dr. E Zwane
Supervisor
Date : 23 October 2019
Subject : Request for Permission to Conduct Research Study

TO WHOM IT MAY CONCERN

Ms. Morobane MC (9604116) is a Master of Public Administration and Management (MPAM) student in Turfloop School of Leadership (TGSL) at the University of Limpopo. Ms. Morobane is conducting a research for her Master's Degree entitled "**CHALLENGES FACING PROVINCIAL DEPARTMENTS IN RECORDS MANAGEMENT AND DISPOSAL: A CASE STUDY OF COGHSTA IN LIMPOPO PROVINCE**". I therefore request a permission for her to conduct her research, which will contribute towards the policies in place in your institution.

It would be appreciated if permission would be granted to Ms. Morobane in order to conduct research on the title above. **NB: The purpose of the research is mainly academic.**

Yours Sincerely



Dr. N Zwane
Supervisor
Tel: 015 268 4253
Email: engeline@ul.ac.za

APPENDIX 5: REQUEST LETTERS FOR PERMISSION TO CONDUCT RESEARCH: COGHSTA.

43 KF Street Madibapark
Seshego
0742
02 January 2020

To: The Head of Department
Department of Cooperative Governance, Human Settlement
and Traditional Affairs (COGHSTA)
Private Bag x 9485
POLOKWANE
0700

REQUEST FOR PERMISSION TO CONDUCT RESEARCH AT THE DEPARTMENT OF COOPERATIVE GOVERNANCE, HUMAN SETTLEMENT AND TRADITIONAL AFFAIRS (COGHSTA): MOROBANE M.C. (PERSAL NUMBER: 82159556).

I **Morobane Manare Constance**: Persal no: 82159556 hereby request a permission to conduct a research within the Department of Cooperative Governance, Human Settlement and Traditional Affairs (COGHSTA). My research title is **Challenges Facing Provincial Departments in Records Management and disposal: a case study of the Department of COGHSTA in Limpopo Province.**

I am a registered student for the Master of Public Administration and Management (MPAM) in Turfloop Graduate School of Leadership (TGSL) at the University of Limpopo. My supervisor is Dr Engeline Zwane and can be contacted at (015) 268 4253 / 082 842 7839.

Email: engeline.zwane@ul.ac.za. My contact details are (015) 294 2233/ 2022, Cell 083 269 0432, selolomc1212@gmail.com/morobanemc@coghsta.limpopo.gov.za



Morobane M.C.

02/01/2020

Date

APPENDIX 6: INFORMED CONSENT FORM

CONSENT FORM FOR PARTICIPATING IN RESEARCH STUDY

Introduction to the study: My name is Morobane Manare Constance; I am a Masters student at the Faculty of Management Sciences and Law, based in the Department of Public Administration and Management, at the University of Limpopo. I am conducting a research study on **Challenges facing Provincial Departments on records management and disposal: a case of the Department of Cooperative Governance, Human Settlements and Traditional Affairs, Limpopo.**

The information provided and the results of the study will be used for academic purposes only.

Aim of the study: The aim of the study is to investigate the challenges faced by the department of CoGHSTA in records management and disposal.

The participant:

I agree to participate in the interview of this study upon the following conditions. And shall freely withdraw from the participation should I feel that the conditions are not being met:

- a) The researcher has explained to me in comprehensive terms the nature and purpose of the study.
- b) The participation is voluntary and I have the right to withdraw without risking any penalty or loss.
- c) That I shall remain anonymous in the study and that my identity and the raw data from this participation or any other interactions during the study will remain confidential. The data will not be used to disadvantage me, and that no other person other than the researcher and the supervisor will have access to the raw data.
- d) I am aware that the findings of this study will be processed into a research report, journal publications and/or conference proceedings, but that my participation will be kept confidential unless otherwise specified.

Participant Signature..... Date..... Place.....

APPENDIX 7: INTERVIEW QUESTIONNAIRE SCHEDULE

Dear Participant,

The objective of the evaluation is to assist the Department of Cooperative Governance, Human Settlement and Traditional Affairs (CoGHSTA), Limpopo Province, **to investigate the challenges facing Provincial Departments in Records Management and Disposal: A Case Study of COGHSTA in Limpopo Province**, thus enabling them to make an informed decision-making to examine the following:

- **compliance with regard to records management and disposal procedures.**
- **challenges faced in record management.**
- **determine the impact that disposal has on records management**
- **to recommend appropriate and suitable models for the records management and disposal.**

Your response to these questions will be used only for the academic purposes only and not for any other purpose. Your name or any other personal information will not be disclosed to any one and the information you have provided will be kept confidential. In participating in the study, your identity will remain anonymous, as well not be disclosed to any person and only known by the researcher.

Thank you

The questionnaire has nine parts namely: Part A: Office Details, Part B: Demographic information; Part C: Records Management; Part D: Classification system/file plan; Part E: Disposal Procedures; Part F: Strategic plan; Part G: Resources, and Part H: Training.

PART A: OFFICE DETAILS					
NAME OF DEPARTMENT					
NAME OF UNIT					
PART B: DEMOGRAPHIC INFORMATION					
ITEM	ASSESSMENT CRITERIA				
1.	Gender	Female		Male	
2.	Age group	22-34 years	35-44 years	45-54 years	55-64 years
3.	Level of education	Primary Education (Grade 1-7)	Secondary Education (Grade 8-12)	Tertiary Education	Other
PART C: RECORDS MANAGEMENT					
ITEM	ASSESSMENT CRITERIA	YES	NO	REMARKS/INTERVENTIONS	
1.	Does the Department have a Records Management Policy?				
2.	Is the Records Management Policy endorsed by the Head of Department?				

3.	Is the Records Management Policy endorsed by the Provincial Archives and Records Service of SA?			
4.	Is the Records Management Policy known to all members of staff in the Information Management Unit?			
5.	Is the Records Management Policy reviewed at regular intervals?			

If yes, indicate the intervals: tick relevant box

annually	monthly	When there is a need

6.	Was there consultation with the relevant stakeholders for inputs to the Records Management policy?			
		Provide the list here under		
7.	What are the challenges that are faced in records management?	1. 2. 3.		

		4.		
PART D: CLASSIFICATION SYSTEM/FILE PLAN				
ITEM	ASSESSMENT CRITERIA	YES	NO	REMARKS/INTERVENTIONS
1.	Is there a file plan for paper-based records in use?			
2.	Has the Provincial Archivist approved the file plan?			
3.	Were all additions reported to the Provincial Archives for approval?			
4.	Has disposal authority been issued for it?			
PART E: DISPOSAL PROCEDURES				
ITEM	ASSESSMENT CRITERIA	YES	NO	REMARKS
1.	Does the Department have a Disposal schedule manual?			
2.	Is all Registry staff aware disposal schedules for records?			
3.	Does the department have any records that have reached their retention period and ready for disposal?			
		Provide a list hereunder		

4.	What are the challenges faced in disposal of records?	1. 2. 3. 4.
5.	What is the impact of disposal on records management?	1. 2. 3. 4.

PART F: STRATEGIC PLAN

ITEM	ASSESSMENT CRITERIA	YES	NO	REMARKS
1.	Does Records Management and disposal have a documented strategic plan?			
2.	Is Records Management an objective in the strategic plan of the Department?			

PART G: RESOURCES

ITEM	ASSESSMENT CRITERIA	YES	NO	REMARKS
1.	Has the Records Management programme been allocated the appropriate resources (finances/staff/equipment) to enable it to be maintained?			

PART H: TRAINING				
ITEM	ASSESSMENT CRITERIA	YES	NO	REMARKS
1.	Have you received any form of training in the Department on Records management?			
2. If yes, what type of training on records management?				
ITEM	ASSESSMENT CRITERIA	YES	NO	REMARKS
1.	Does lack of training lead to collapse of record keeping and registries in the Department?			
2.	What type of records management training is necessary? Name the type of training			

APPENDIX 8: EDITOR'S CERTIFICATE



University of Limpopo
Faculty of Humanities
School of Social Sciences
Department of Cultural & Political Studies
Private Bag X1106, Sovenga, 0727, South Africa
Tel: (015) 268 3981, Fax: (015) 268 2866, Email: Tlou.Meso@ul.ac.za

LANGUAGE EDITING CORNFIRMATION

DATE: 14 January 2021

REF: Proof of Language editing (Mrs M.C. Morobane, 9604116)

TO WHOM IT MAY CONCERN

This letter serves to confirm that the above stated candidate submitted her Master of Public Administration and Management degree dissertation entitled 'Challenges facing provincial departments in records management and disposal: a case study of COGHSTA in Limpopo Province' for proof-reading and language editing to the undersigned. Hence, the document has been duly proof-read and edited for both grammatical and technical errors. Following this, I can confirm that if the candidate will effect all the corrections as noted, the work will be technically apt and academically sound.

Kind regards



T.P. Meso (Mr.)
MA – Linguistics (UL)