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Factors Affecting Archives and Records Management in The City of Johannesburg Municipality

BY

MALUSI VULA (201100961)

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SUPERVISOR: DR N MUCHAONYERWA

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ABSTRACT

This study sought to evaluate the factors that affect the development of archives in the City of Johannesburg Municipality. The use of old records management strategies is posing serious challenges in most African countries and it is affecting the development of archives and records. Literature shows that most municipalities in Southern African countries have not adapted advance records management strategies like Integrated records management and Cloud systems for the realization of benefits of effectiveness and efficiency in records management. The history of Johannesburg municipality and the significance of records management in terms of leveraging effective service delivery raised critical concerns over the development of archives and records management. Proper management of records is the foundation of any government needs to provide services, to fulfil its obligation of accountability towards its citizens and protect their rights.

According to the continuum model, the archivists and records managers need to be involved together with information systems designers in the creation of records keeping systems. The records continuum model emphasizes advanced records management strategies and systems in order to ensure the systematic preservation, retrieval and disposal of records. As the records management systems shift from the narrow physical records management as well as imaging into the broader electronic records world there is need for the municipality to embrace more advanced records management strategies like Outsource/Cloud service and integrated records management systems. In order to get a deeper understanding of the factors that affect the development of archives and records management; this study combined both qualitative and quantitative methodologies. The census method was used to select all the 80 members of the records management department in the metropolitan municipality. An in-depth interview schedule was conducted with 4 records managers in order to collect qualitative data. Questionnaires were distributed to 76 personnel in the records management department. Without an operational and effective policy in the department of records, there is no vanguard against unlawful records and archives access and corruption, which is affecting archives development and records management in the long run. The study established although email backups and archiving of files are important strategies, more effective and modern strategies like Integrated Records Management system across the entire organization and the cloud system have not been put in place. This is attributed to the lack of funding and IT expertise. The study concluded that that although training and skills development programs are being

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implemented, skills transfer is not fully taking place due to lack of; equipment, time, managerial support and post-training interventions as well monitoring and evaluation systems. The study recommends an integrated records management system, operationalization of the records management system, effective skills transfer programs, the competency-based model.

KEY WORDS: **Integrated records management, Cloud system, Record Life Cycle Model, Continuum Model, Census, Policy, Repositories, Competency-Based Model, Records Management System, Records Life Cycle Sampling Analysis Records, Archives File Plans**

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DECLARATION

I, the undersigned **Malusi Vula,** student number **201100961** , do hereby declare that the dissertation titled "**Evaluation of factors that affect the development of archives and records: A case study of City of Johannesburg municipality**" for **a Masters Degree in Library and Information Science,** is my own original work in design and execution, and that it has not been submitted or presented at any other University for a similar or any other degree award. All reference materials used have been duly acknowledged.

I hereby further declare that I am fully aware of the University of Fort Hare's policy on plagiarism and research ethics, and I have taken every necessary measure to comply with the regulations.

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Last but not least I would like to thank my family especially my dad whom I lost due to covid-19 for supporting me through my life and during this journey of my dissertation I will always love you dad

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DEDICATION

This Dissertation is dedicated to the memory of my late father Eric Vula who I lost due to covid-19 a month ago I am truly thankful I had you in my life as a father even though you not here today but your support, unconditional and personal sacrifice has made me the man I am today.

I had made a promise on your funeral that ill finish this goal we started together and I know up in haven you looking down to see I kept my promise and I wish I can get even if it's a day to celebrate our goal achievement together.

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CHAPTER ONE

1.1 INTRODUCTION AND BACKGROUND

The requirement for training, skills improvement on archivists and records administrators cannot be overemphasised, especially in this period of ever-changing technology as (Nelson Mandela Foundation, 2007) mentions a lack of recognition and under resourcing. This unintegrated planning and inadequate; low skills amongst personnel, insufficient records management in the government department is one of huge challenges in South Africa (Archival Platform, 2014).

This study sought to evaluate the factors that affect the development of archives in the City of Johannesburg Municipality. Proper records management is the basis any government needs for effective service provision, to accomplish its mandate of accounting to citizens and protecting their rights. “Proper records management involves establishing systematic controls at every stage of the record’s life cycle, in accordance with established principles and accepted models of records management” Chinyemba and Ngulube (2005:68)

Proper management of records leads to accountable public management due to the fact that government activities are premised on information access enclosed in records. Without records, a government will not be able to address issues like poverty, social grants, crime, HIV/AIDS, land rights and provision of basic services (electricity and water). Thus, a government department or a public institution can act proficiently and make decisions effectively if it has sufficient information in its records. Nelson Mandela (2007) mentioned that a good records management provide evidence of individual and government activity and promote transparency and accountability in

addition these government records can be Accounting records, Bank statements, Legal documents Permits and Licenses and human resources document

Development of archives refers to the significant of growth and progress throughout the previous years (Ngulube & Vivan, 2006). Ngulube & Vivian (2006) further argued that the simplified manner to look at the process of development in archives involves looking at parameters such as infrastructure, records management, legislative, digitization of fragile records etc. According to State Archival Platform (2014) a low skill base among personnel becomes the results of the archives not serving South Africa as it should. In contrast Mnjama (2010), specified that the early practitioners in the field of archives and records management in Kenya did not have any basic skills pertaining to records management and archives preservation. The author further stated that their practice was done through trial and error efforts before the senior administrators began to feel the need for proper records and management preservation. This clearly shows that there is lack of basic skills on the development of archives in local government in Africa and particularly South Africa.

Many countries are shifting from hard copy records to E- records which are records that are preserved by means of soft copies. Keakopa (2006) noticed that there are two drivers to the idea of changing government, the requirement for more prominent effectiveness in the conveyance of open administrations and the need to enhance the nature of administration to the rising open desires. In perspective of the above, records should be well preserved as a component of the move to the electronic condition, since inability to do this could have a few ramifications, for example, loss of records prompting genuine business, lawful and budgetary outcomes.

1.2 LITERATURE REVIEW

Budget deficit or inadequate funds is one of the main challenges in the development of archives in government departments. In Tanzania, Oweru & Mnjama (2014) noted that budget allocations by government are not in line with the projected budget for *'Records and Archives Management Department'* (RAMD). This makes some of the RAMD suffer as they resort to prioritisation, Mnjama (2010) mentioned that the archives department in Kenya is not financially stable as other departments in government; therefore, this means that it cannot just survive with the money allocated to it.

According to Oweru & Mnjama (2014) observed that the development of archives as well as records management in Tanzania is affected by poor infrastructure; lack of expertise in preservation and conservation; improper storage facilities; inadequate environmental control. Lack of appropriate preservation strategies and policies; and inadequate funding are reported as the major preservation challenges facing most archival institutions in Africa (Ngulube 2008). Ngulube (2008) observes that preservation as well management of archives is not a central concern in developing countries and that preservation and conservation prospects are in a dismal state, particularly in Africa.

According to Neslon Mandela Foundation (2007) inadequate of funding to the archives becomes a major challenge in South Africa, furthermore, Ngulube & Vivian (2006:7) argued that "funding is key to formulating and implementing effective and efficient records and archival services. The existence of progressive and comprehensive legislation is not likely to bring about any positive changes in the development of archives and management of public records unless resources to implement the laws

are made available to archival institutions". Allocation of financial resources had a great bearing on the growth of some institutions.

According to Archival Platform (2014), a low skill base among personnel becomes the results of the archives not serving South Africa as it should. Ngulube & Vivian (2006) state that knowledge and skills of records management procedures and techniques have a direct upshot on the development of records as well as archives management. The importance of staff quality has been highlighted as the most influential factor for proper management of archives and records centres. Ngoepe (2012:24) found that "records management functions in most governmental bodies in South Africa were teetering on the brink of collapse and were essentially on a life-support machine, as they were unable to contribute positively to the auditing process". This was additionally affirmed by a review commissioned by the '*Department of Arts and Culture in South Africa'* (2010) who found that various archivists and records directors have learned at work or have gone to short courses which scarcely furnished them with the required instructive foundation and abilities.

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In South Africa literature by Archival Platform (2007) & Archival Platform (2014) show that few studies have been conducted on the development of archives including the development of the staff members managing records centres and archives. This clearly shows that there is a gap when it comes to management of archives in local government. Therefore, this study seeks to evaluate the factors that affect the development of archives and records management in municipalities.

1.3 RESEARCH PROBLEM

The Public Sector of South Africa is mandated by law to espouse an organised and systematic approach to records management. Nonetheless, despite judicial obligations specifying the significance of proper practise of records management,

there is a suggestion that the condition is not mirrored in practice (Chachage & Ngulube 2006). Thus, it is essential to establish whether local municipalities are managing records mandated by law. Specifically, it is important to evaluate the development of their archives and records management systems in place.

This is also aggravated by lack of skills as well as training amongst practitioners of records management in the public sector. These challenges undermine the development of records management as a practice and archives development especially in terms of harnessing ICT systems in records management. Thus the history of City of Johannesburg municipality and the importance of records management in terms of enhancing effective service delivery raise critical concerns over the development of archives as well as records management. Mentioning this, in the light of this challenge that has been outlined, the researcher is troubled by the following questions that he needs to investigate in order to find solutions for the problem; what are the records management strategies currently in place for the development of archives also looking at the effectiveness of these strategies in the development of archives.

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1.4 PURPOSE OF THE STUDY

The main purpose of the study is to evaluate the factors that affect the development of archives and records management in the City of Johannesburg municipality.

1.5 RESEARCH OBJECTIVES

To identify records management strategies that are currently in place in the development of archives.

1. To determine the effect of policy and legislative framework on the development of archives and records management

2. To determine the skills and training of the archives and records management staff at the City of Johannesburg
3. To examine whether the city of Johannesburg municipality have the records management system in place to manage the records that are created in the department.

1.6 RESEARCH QUESTIONS

1. What are the records management strategies currently in place for the development of archives and management of records?
2. Does the department have a records management system in place to manage the records?
3. What is the effect of policy and legislative framework on the development of archives and management of records in the City of Johannesburg municipality?
4. What is the effect of training and skills development on the preservation and conservation of records in the department?

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1.7 THEORETICAL FRAMEWORK

This study sought to investigate the challenges faced in the development of archives in the City of Johannesburg Municipality. This study will be guided by Life Cycle model. Yusof & Chell (2000) stated that the growth of the Records Life Cycle concept started in the United States of America in the 1930's. It was coined USA's National Archives as a rejoinder to the rapidly increasing record volumes produced by organisations. The Record Life Cycle model has since then been vigorously used in places such as North America and point to a separation between records management and archival development (Gill, 1993). This theory brings the principles into preservation and how things should be done within the archive and the manner in which records are managed throughout their life until the end.

Yusof & Chell (2000:23) “The Records Life Cycle is an analogy of the life of a biological organism which is born, living, and then dies”. Chachage et al (2006:46) noted that since 1950, numerous variants of the concept were modelled, and “several models sought to show a progression of actions taken at different times in the life of a record, typically this involved the creation, capture, storage, use and disposal of a record”. Some writers presented this as a linear development, whereas others defined it as a circle or loop. According to the LC model, the initial step of a life cycle of a cycle starts with record creation.

Record Life cycle will be applied as the methodology theory for this research study because it consists of principles of managing records. It aims to address the factors that affect the development of archives such as poor infrastructure; lack of expertise in preservation and conservation; poor storage facilities; poor environmental control; lack of proper preservation policies and strategies; and lack of funding this is an ideal method of assisting in the development of archives.

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One of the reasons the researcher chose this theory it is because the Records Life Cycle Model will form the basis for the recommendations for the development of relevant and comprehensive legislative framework and policies which shall be applied to records at all stages of the life cycle.

The researcher also looked at the Records Continuum Model (RCM) which (Valtonen 2007) stated that RCM as coined in the 1990s by Monash University academics Frank Upward with contribution from colleagues like Livia Iacovino and Sue McKemmish as a rejoinder to the evolving debates about digital records as well as archives management in Archival Science discipline. The author further mentioned that Continuum thinking is inclusive of essential archival science principles, records

management practical aims and is more suitable for electronic records. The researcher chose to ignore this theory as the study is to look at the overall development of archives not only electronic records.

1.8 STUDY AREA

The city of Johannesburg metropolitan municipality manages Johannesburg's local governance. The metropolitan municipality is divided into departments and branches in order to expedite the city's services. The City of Johannesburg metropolitan municipality is beset by various challenges which inter alia include abject poverty, lack of proper road infrastructure, electricity and a host of other municipal service delivery deficiencies particularly in the informal settlements (Stats SA, 2017). These challenges have been reported in the presence of inappropriate records management controls and records management systems in the metropolitan municipality (City of Johannesburg Council, 2018). This has therefore motivated this study to evaluate the factors that affect the development of archives and records management at the City of Johannesburg Metropolitan Municipality.

1.9 VISION OF THE MUNICIPALITY

"To establish a world class African City. A Johannesburg that works is a South Africa that works" (City of Johannesburg, draft IDP, 2018/2019 Review).

Mission of the Municipality

According to the City of Johannesburg, draft IDP 2018/2019 Review, the mission of the municipality is;

- To create an enabling economic environment by making Johannesburg more responsive in the delivery of quality services

- To proactively deliver and create a City environment in 2040 that is resilient, sustainable and liveable.

The city of Johannesburg (also commonly referred to as the “city” or “Johannesburg”) was established in 1886 upon gold discovery at the Witwatersrand. The metropolitan municipality is adjacent to the Ekurhuleni and Tshwane metropolitan municipality. It is home to over 7% of the country’s population, and approximately 38% of the population of Gauteng (City of Johannesburg, draft IDP, 2018/2019 Review). The CoJ is located in Gauteng province. The city of Johannesburg is not only the commercial and financial heart of SA, but it is also one of the most dominant economic centres at the continental level. “Johannesburg is the most advanced commercial city in Africa and the engine room of the South African and regional economy” (City of Johannesburg, 2017/18 IDP Review). Encompassing an area of more than 1,644 square kilometres, the municipality is the most urbanized and densely populated in SA, home to more than 3,8 million people (City of Johannesburg, draft IDP, 2018/2019 Review). That puts a massive onus on the municipality.

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The city has a world class infrastructure in transportation, power and water, telecommunications and internationally competitive educational and health facilities. However, the municipality is also home to wealthy as well as poor people, refugees and residents, emerging enterprises and global corporations. The metropolitan area’s demographics indicate an ethnically diverse and large population. As the country’s largest city, its population is largely defined by a history of international as well as local migration. According to City of Johannesburg, draft IDP (2018/2019 Review), nearly 5 million people reside in the City of Johannesburg, accounting for approximately 36% of the population of Gauteng and 8% of the country’s population. Over the previous decade, the city has grown significantly. The key contributor to this is that the CoJ

continue to lure people from other provinces as well as internationally, who are in search for better opportunities and quality of life.

The city's population pyramid reflects that it has a predominantly young population. According to the World Population Review (2018) the municipality needs a plan "for a population growth of about 66% in the next 30 years" which are inclusive of plans to enhance access to energy, clean water and sanitation. It is projected that the population will increase to 6,4 million by the year 2040. UN Population Division (2016) projected that the city will reach a population of 9.2 million by the middle of the century. This reflects that the city of Johannesburg will experience fast growth rate of its population and if this is not planned for, it will contribute to massive house shortages, urban poverty, infrastructure backlogs, political instability and environmental degradation.

1.10 RESEARCH METHODOLOGY

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This section is devoted to, among other things, methodological considerations and decisions pertaining to the choice of study site, research design, and data collection techniques and sampling strategy. In this section of research methodology, the researcher will use.

1.10.1 DATA COLLECTION TECHNIQUES

Claire (2014) says a quali-quant research methodology attempts to combine the advantage of qualitative and quantitative methods and to avoid their disadvantages. Claire further argued that using a quali-quant approach will force the researcher collect both qualitative and quantitative data and find ways of combining the two types of data. The researcher's conviction on the combination of the two approaches is to couple the open-ended questions in the questionnaire in a form of quantitative style, also the ways of coded text to produce numbers.

1.10.2 TARGET POPULATION

Target population in the city of JHB Municipality is 105 people altogether in the four institutions in their municipality. The researcher called the municipal manager of the Johannesburg city municipality and ask for the number of people who work under the sector of knowledge management, this 105 includes managers, archivists, cleaners, records clerks and office assistance.

1.10.3 SAMPLING ANALYSIS

The sampling that was used by the researcher is purposive sampling/judgemental sampling; which is a sampling technique in which the researcher trusts his/her own judgement when selecting members of the population to take part in the study. "Purposive sampling is a non-probability sampling method and it occurs when elements selected for the sample are chosen by the judgement of the researcher" (Ritchie, Lewis & Elam, 2003: 140). Researcher often believed that he can get a sample that is representative by making use of a sound judgement, which result in saving time as well as money. The researcher selects the sample on the basis of who he/she thinks would be suitable to participate in the study. This is utilized principally when there is a limited number of potential participants that are presumed to have expertise in the area under study.

The researcher will interview 4 records managers and also administer 28 questionnaires which gives a total of 32 respondents which will be from 4 archives, from these four institutions the research will take only those with the qualification of Archives & Records Management and the categories for this respondents will be administrators, archivists clerks, records managers.

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The empirical data will be collected from City of Johannesburg Municipality as sampling. This decision was informed mostly by convenience. This is where the researcher is currently working and it is not feasible to include other areas in the study.

1.10.4 DATA COLLECTION TOOL

This study will be conducted by interviews and surveys questionnaires as the primary sources. Relevant material, such as articles and books were utilised as secondary sources. The researcher estimated that it is indispensable to make use of critical text in practical view; text obtained in public as well as private libraries as the source of information, and be will interviewing the Archivists, Archives staff members in the City of Johannesburg Municipality.

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1.10.5 MAPPING OF RESEARCH QUESTIONS TO SOURCES OF DATA

RESEARCH QUESTION	METHOD AND SOURCE	JUSTIFICATION
What are the records management strategies currently in place for the development of archives and management of records?	In-depth-interview and Survey questionnaires Respondents will be archives staff members	In-depth interview and survey questionnaires help to probe answers on the records management strategies currently in place
Does the department have a records management system in place to manage the records?	Survey questionnaires and in-depth interview Respondents will be Archives staff.	A survey and in-depth interview will help the researcher to gauge the views of cross section of the study population on effectiveness of records management system adopted by Archives in City of Johannesburg
Is there a policy and legislative framework regarding the development of archives and management of records in the	In-depth-interview Respondents will be Archives managers only.	An In-depth interview with top management will assist to probe answers as to whether the department has got

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City of Johannesburg municipality?		a records management policy on the development of archives and management of records
Do staff receive training to acquire skills on the preservation and conservation of records in the department?	Survey questionnaire and interviews. Respondents will be Archives staff.	Administering of a survey a questionnaires and interviews will help to understand whether staff receive training and acquire skills on the preservation and conservation of records in the department.

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1.11 SIGNIFICANCE OF THE STUDY

The findings of this study may prompt the government of South Africa to augment, rethink and reformulate policies and programmatic interventions that will address the challenges of archives development as mentioned in literature review such as lack of basic skills from archivists, inadequate of funds etc. In South Africa, a great need exists for a research that will investigate the development of archives and special archives so as to address the challenges of poor record keeping and other challenges such as lack of basic skill, lack of proper infrastructure and funds. It would also be critical for other government ministries concerned with public records keeping and management

to consider in developing a policy framework for proper management of archives and records centres.

1.12 ETHICAL CONSIDERATION

Ethical considerations are commonly apprehended principles that form the tolerable, professional research behaviour anticipated from researchers (Babbie & Mouton, 2011). Principally, the researcher will seek permission from the University of Fort Hare for an ethical clearance before the beginning of data collection. This researcher will seek permission from the participants in the records management department at CoJ to process of data collection. All the participants will be educated about the study objectives and the meaning of their participation and to that effect an informed consent form will be furnished to the participants before the commencement of this study.

This researcher will maintain the participants' right to participate or withdrawal their participation at phase during the study. The researcher sees to it private as well as secret information of the study participants will not be revealed. obtaining the consent of participants is one of the fundamental practices that the researchers have to adhere to. The participants in this study will be informed about what the study entailed and permission is required for their participation prior the commencing of their study. This will allow them to participate in the research voluntarily.

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1.13 CHAPTER OUTLINE

1.13.1 CHAPTER ONE: GENERAL INTRODUCTION

The introduction comprises, Working Title, Introduction/Background, Statement of the Problem, Research Questions, Aims and Objective, Theoretical (or conceptual) Framework, Scope of Study (Delineation and Limitations), Research Method, Significance of Study, Ethical Consideration, Outline of Chapters.

1.13.2 CHAPTER TWO: LITERATURE REVIEW

This chapter gives a clear picture on what other researcher have written as such providing an understanding of the phenomenon under study and the gap that needs to be filled as well supplement the existing bod of knowledge. This will also discuss the theoretical framework that best explains the phenomena understudy

1.13.3 CHAPTER THREE: THE METHODOLOGY

The researcher will focus on the introduction of the Chapter, Research Population, Research Method, Research Tools, Research Sampling, Source of documents, and the role of the researcher, Data collection, In-Person Interviews, Data Analysis, Ethical Clearance, Ethical Consideration and Conclusion of the Chapter.

1.13.4 CHAPTER FOUR: DATA PRESENTATION AND ANALYSIS

In this chapter the researcher presents and analyses data that is collected from the participants.

1.13.5 CHAPTER FIVE: CONCLUSION AND RECOMMENDATIONS

In this chapter, the researcher mainly focuses on the conclusion and recommendations of the study.

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CHAPTER TWO

THEORETICAL FRAMEWORKS AND LITERATURE REVIEW

2.1 CONCEPTUAL FRAMEWORK

Conceptual framework is based on precise concepts as well as propositions, resulting from empirical observation as well as intuition. Researchers may infer theories from the conceptual framework. The purposes of "conceptual framework are to clarify concepts and propose relationships among the concepts in a study and to provide a context for interpreting the study findings" (Jabareen, 2009:229). Conceptual frameworks help to elucidate observations and to promote theory development that is convenient for practice. Conceptualization is the process of forming strategies, basic ideas, plans, designs premised on given situations, examples, and facts.

It proffers an outline of how a researcher plan to conduct the research but it goes further than that by also positioning the research work within the larger field of research McGaghi (2001:4) noted that "writing a conceptual framework can not only help to guide the thesis to ensure that the research stays on track, but it also helps to guide fellow researchers or advisers who want to analyses the research". A description of the conceptual framework underwrites to a research report in at least two ways that is: it classifies research variables, and elucidates relationships amongst the variables and links to the problem of the study. A conceptual framework "sets the stage" for the presentation of precise research questions of the study.

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2.1.1 Records

Before discussing records management, one need to understand the record first, Cornwell Management Consultants (2001) define record as document created or received by person or organisation in the course of business or transaction and

maintained by person or organisation. The ISO 15489 (1) (2001:2) defines a record as “information created, received and maintained as evidence and information by an organisation or a person in pursuance of legal obligation or in the transaction of business”, irrespective of media or format.

According to Rigy et al (1998), the Association of Record Managers and Administration defines record as the recorded information notwithstanding the medium or long-term characteristics made or received by the organisation that is valuable to the organisation

Penn & Pennix (2017) define record as information in reproducible form that is required for conducting business. “Records are used as a critical means by which organisations preserve evidence and maintain accountability to the public. Without records, no assessment can be made of whether public organisations have engaged in and achieved set outcomes” (Jacobs, 2012:24) Meaning of records changes with section of time and the profession gets included, a record is a document created, received, used and maintained by a person or the organisation.

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Records store or contain information which is important and valuable to an institution. The University of Manchester (2010: n.p.) agrees that a record is “any piece of recorded information that is produced, received or kept any institution as part of its business processes and which provides evidence of a specific activity can be defined as a record”. ISO 15489] (2001:3) defined a record as; as information that is received, created, used and preserved as evidence in an institution. The National Archives and Records Service of South Africa (2005: n.p.) also defined a “record as —recorded information, in any form, created or received and maintained in pursuance of legal obligations or in the transaction of business and kept as evidence of such activity”.

Records can be either physical/printed (such as newsletters, books etc) or electronic (such as images which are digitally recorded, internet content, emails and so on).

2.1.2 Records Management

Records Management is depicted as methods for good information administration enhancing and illuminating the administration of the association (Yosuf & Chell 1999). Robles & Langemo (1999:46) defines "record management as the professional management of information in the psychical form of records from the time records are created or received through their processing, distribution and placement in storage and retrieval system until either eventual elimination or identification for permanent retention in the archives". Records management is defined as the management of sources of information in a way that makes information securely protected, easily accessible, stored and disposed correctly when necessary (The National Archives and Records Service of South Africa 2009: n.p.).

Therefore, records management oversees and controls the creation, use, and maintenance of the records in an institution. According to Ngulube (2000:164) "records management is the process by which internally or externally generated physical or electronic records are managed from their inception, receipt and storage, all the way through to their disposal". Records management entails the practise of governing or controlling of information from its creation through to its eventual disposal. Therefore, records management seeks to systematically and efficiently control the record lifecycle (creation, usage, maintenance, storage or disposal).

Records management in municipalities ensures the effective creation, maintenance, preservation, easy retrieval, security and confidentiality of records. Records are fundamental to the continuity, efficient and quality service delivery amongst municipalities in South Africa. Poorly managed records may lead to a situation where

staff spends more time to find and retrieve records. Searching for a record or document that is not retrievable is a serious problem that faces many organisations and it is also time consuming (Coetze 2012). A systematic approach to record management is vital to the preservation as well as protection of records as evidence of transactions and activities in an institution.

2.1.3 Archives

An archive is a historical records accumulation and/or the physical place of records location. In general the term archives entail the collection of historical records or documents providing information about an institution, group of people or a place (Larson, 2010:14).Archives enclose primary sources documents which have accumulated an individuals or organization's course of lifetime and they are kept to trace the function of that individual or the organization (Rothschild, 2008).Historians and professional archivists generally comprehend archives to be the records that been necessarily and naturally created as a product of regular commercial, legal, social or administrative activities. Archives have been metaphorically defined as "the secretions of an organism" (Larson, 2010:14) and are differentiated from the documents which have been created or written to communicate a certain message to posterity.

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Generally, archives comprise of records which have been designated for long-term or perpetual preservation on the grounds that of their lasting evidentiary, historical or cultural value. Archival records are usually unique and unpublished unlike magazines or books for which there many identical copies in existence. This entails that archives are distinct from libraries with respect to their organization and function, though archival collections are usually found in libraries (Society of American Archivist 2012). Government archives are inclusive of those that are maintained by the local and national government.

2.2 EVALUATION OF FACTORS THAT AFFECT THE DEVELOPMENT OF ARCHIVES AND RECORDS MANAGEMENT

There are many factors that affect the development of archives as well as records management. Factors such as policy, retention and policy compliance, accountability and security of records affect the development of archives and records management. If the factors are not effectively addressed, archival development and records management in the organisation will be in dire state. The following factors that influence the development of archives as well as records management will be discussed:

2.2.1 Policy

This includes key aspects like education/training, communication, governance and implementation. Having the appropriate policies in place for records management will help an organization deal with eDiscovery and compliance (Phiri, 2016). Proper policies are also helpful in attaining cost savings, because an organization will be storing and saving documents based on their value over their life cycle. Once an organization has formulated its policies for managing and classifying its records, it is crucial to “roll out the policy across the organization and include all information types”. Penn & Pennix (2017:12).

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The lack of a comprehensive archives and records management policy, amongst other factors has been attributed to poor records keeping and lack of archival development in countries in the public sectors of Kenya and Namibia (Mnjama, 2005; Nasieku et al, 2011; Nengomasha, 2013). Ndenje-Sichalwe (2011a) publicized that records management in the government ministries and city councils was poor. There is need for the Tanzanian government to bring archival expertise on the table to come up with a sound “policy measures to break this “curse” of persistent poor records keeping”

(Nengomasha 2013:22). Records management policy forms the basis of good records management and archival development in the municipalities. A study conducted by Bhebhe (2015) in Zimbabwe showed that the country's national heritage is being lost principally owing to the archaic legislation which does not address electronic records management.

2.2.2 Make Retention and Compliance a Priority

Retention encompasses both the preservation as well as the destruction of "information when it comes to the end of its life cycle" (Dollar 2000:24). Retention schedules that are effective should be updated regularly to comply with the changing regulations, business requirements and changing regulations.

Any organization that can promptly identify and retrieve records enjoys an enhanced productivity, competitive advantage as well as greater protection from discovery or regulatory noncompliance. According to Sprehe (2002) organisations should classify records premised on key identifiers like record location, author, subject, date and origination method, creation system, as well as intended recipient. Kemoni (2009) noted that policies and systems should be in place for classification of information at the creation point. Once classification, tagging and indexing of information has been done, the organization should define security and authorization controls to ensure that records are available when they are needed and that only people with appropriate authorization can have access to them (Phiri, 2016). The incorporation of these policies and processes will enable the organization to apply litigation holds easily.

In studies conducted by Tshotlo & Mjana (2010) and Kenosi (2011) it was revealed that poor records management, storage conditions, lack of retention and disposal schedules as well as lack of compliance with the records management policies was affecting service delivery in government departments and municipalities. Lack of

compliance with archival development and records management policy in South Africa was affecting service delivery amongst municipalities in South Africa (Ngoepe, 2013). Failure to comply with records management policy has given way to poor records management practises in most municipalities in Southern African countries.

2.2.3 Audit Policies and Make the Entire Organization Accountable

In order to drive successfully enterprise-wide adoption of records management, it is quite imperative to build a knowledge and accountability culture. “One step toward this goal is to conduct regular audits that follow defined metrics for success”. (Stephens & Wallace, 2003:26). It is also significant to train employees proactively and also ensure accountability for their role ensuring consistence in policy adherence. It is imperative to provide support, encouragement and visibility for records management in the organization. Issues of accountability, trust as well as service delivery can only be accomplished when the municipality are properly managed. Mazikana (2009) conducted a study and revealed most officers are not concerned with what goes on in the records management units until a key document goes missing. Ngulube & Tafor (2006) reported that lack of accountability is not only phenomenal in Zimbabwe but in many sub-Saharan African countries.

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2.2.4 Records Creation and Capturing

Records creation as well as capturing involves “developing consistent rules to ensure integrity and accessibility, deciding on systems to log and track records, and procedures for registering, classifying and indexing” (Yusof & Chell, 1999: 10). The thrust of records creation is to ensure that only records needed by the system and the organization are created (Shepherd & Yeo, 2003). Yusof and Chell (2000:16) are of the view that “if the meaning assigned to creation is to be relied upon, then it means organizations are functioning in a paper environment. Unfortunately, this is not always true because in an electronic environment, records are created automatically by the

system". Nonetheless, the main challenge for any system of electronic management is the incapability to document the new records origination in a logical and reliable manner whereas some records need manual record creation and this usually occurs in the paper environment. A comparative study conducted by Norris (2002:6) in some departments and institutions in the New York established out "that records management is often not effective during the time that records are created". The results of these inadequacies are records redundancy, shortage of noticeably identified official copies as well as inadequate records for municipal audits as well as medico-legal matters. Mrwebi (2000), in his survey, advanced that since records are created in diverse formats, it is vital that some canons for records retention are established as well as complied within an organization to make sure that information is not reproduced. Garaba (2010:45). asserted that "the most important aspect of the creation and capturing of records is to recognize records as the main source of information that have been generated and to empower employees to assess the value and role of the information contained at the moment of creation within a recognized framework, thereby making it easy to support the organization's activities and policies".

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2.2.5 Creation of Records

Records of business activities are created; then captured as evidence by the recordkeeping systems; afterwards encompassed in the formal systems for managing records which serves the entire documentary needs (ie, business, regulatory, cultural, educational and historical needs); and accommodates the need of the society for collective memory, its functions and the entities that service them (McKemmish, et al, 2005)

Records are created a part of day to day business actives and these records can be used as part of evidence on the actives they will be used or needed at a later stage

for audit purposes. During the phase of creation, records are used in the conduct of daily operations of the business. During this stage of the city of Johannesburg Municipality the records that are just created are active users and creators of these records are still consulting these records frequently either as part of evidence of audit purposes. Records management personnel are vigorously involved at record creation stage, making sure that the correspondence is placed in the accurate files.

Harris (2000:147) and Ngulube (2007:171) “The media used for recording information during the creation stage is of great concern. In Africa, most documents come from paper, even those generated using word processing applications are eventually printed 15 out on paper for reference. Long ago handmade paper was durable and acid free, as the demand for paper increased, there was a shift into machine paper processing”. The change on how the paper is produced has resulted to poor preservation because latest produced paper consists of acids that reacted to different types of weather conditions as compared to Timbuktu Manu scripts that survived for many years.

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Records management pursues the systematic and efficient control of records life cycle that are generated routinely due to a variety of transaction and activities that are carried in an organisation. Records are a fundamental asset in making sure that the institutions are governed efficiently and effectively as well as accountable to its students, staff and the community that it serves. Records provide the basis for decision making, policy formulation, organisation of documents, transactions in municipalities (Wamukoya & Mutula, (2005b). There are many cases in which records were re-counted to be misplaced or missing amongst municipalities in South Africa thus raising a question on the records management practises amongst these institutions (The National Archives & Records Service of South Africa 2005: n.p.).

Records in an institution are an irreplaceable and unique information source about its achievements, work and continuity. The National Archives and Records Service of South Africa (2005: n.p.) noted that records should be strictly managed in an institution because they serve as an authentic and reliable information source which should always retain its originality. It is worthy to note that effective management of records is integral to effective service delivery in an organisation. Dikopoulou & Mihiotis (2010) stressed that records are kept in an institution so as to ensure accountability as well as decision making and planning processes.

According to Williams (2006) Records are basic for the productive administration of associations, however, they are regularly underestimated, disregarded or misjudged The Public Service Reform Program (PSRP) presented in numerous African nations including South Africa has reliably underlined the significance of enhancing the nature of records administration as a reason for basic leadership, all the more auspicious administration conveyance and money related reserve funds (International Records Management Trust (IRMT). In any case, the administration of open records in many African nations has been portrayed as a region of emergency (International Records Management Trust & The World Bank 2003).

Different investigations from other African nations demonstrate that most governments give careful consideration to the administration of records in both paper and electronic organizations, along these lines blocking the viability of the general population part in upgrading administration conveyance, advancing effectiveness, responsibility and great administration (Kargbo 2009). In South Africa, as it is in numerous other African nations the administration of open records has been and still is in an extremely weak state (URT 2005).

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The circumstance in South Africa is exacerbated by the way that records, both in paper and electronic arrangements are insufficiently and wastefully overseen (Kalumuna 2000). Cain et al (2001) expressed that overseeing records inside individual services was divided and impromptu. Nobody was in charge of guaranteeing that open records were kept in great request and were obliterated on time, making unnecessary volumes of records develop and stop up the framework.

“Public and private organizations generate records in conducting their daily activities. Records can be in different formats and on different media. Maps, photographs, plans, minutes and electronic records on magnetic media, including tapes and diskettes, are examples of records that exist in organizations” (South Africa, 2003:27–34). Records documents support accountability and inclusive decision-making, as well as aid in establishing the degree to which organizations act in accordance with laws (Wallace, 2004:23–29; Yusuf & Chell, 2005:19 -22).

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Organizations have to recognize the necessity to manage records, to that effect documentation is considered a resource and an asset to the organizations concerned (Shepherd, 2006:6; Yusuf & Chell, 2005:19–22). One of the fundamental values of public administration, as protected in Chapter 10 of the RSA Constitution (Act No. 108 of 1996), “is that public administration must be fair, transparent and equitable”. The realization of a transparent and accountable public administration is, to a greater degree, reliant on of public records availability (Willis, 2005:86–89).

Proper management “of records should be in place to ensure that valuable information is neither lost nor misplaced” (Chinyemba & Ngulube, 2005:2), Ngulube, 2004: 10). Organization for instance tend to provide consistent skills training in numerous

recognized disciplines for their staff, if the linked records are misplaced the organization concerned would not be able to keep track of employees.

"Records unlike other resources such as finances and human resources are irreplaceable" (King & Bañares-Alcántara 1997:658-659). Financial support can be provided to a department that experience a discrepancy and if a staff member with critical skills chooses to leave an organization arrangement can be made with the employee concerned substituted. "However, if records are lost, they cannot be either being replaceable nor- recreated" (Yusof & Chell, 2002:19-22).

Jerome (2007) posited that in Trinidad and Tobago and South America, almost 90% of municipalities have no staff assigned to manage court records and no organized records management programmes exists. "Rapid turnover of staff due to centralized public service appointments where public officers are promoted in and out of the organization has also resulted in the loss of institutional memory and expertise" (Jerome, 2007:8). The author additionally argued that the absence of the organized orientation as well as training programmes must subsists to develop skills, knowledge and abilities of staff members. "Therefore, lack of trained professionals in records management is another contributing factor to mismanagement of records" (Jerome, 2007:8).

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"In South Africa, for example, in some cases government departments handle recorded information carelessly without realizing that records constitute a major resource compared to finance, people, money and equipment" (Makhura 2001:1; Ngulube 2004:7). According to Venter (2004:1), surveys that are piloted on records management by the *"National Archives and Records Service of South"* Africa (NARS) during the financial year of 2003/2004 in the government departments of all the nine

provinces reflected that record keeping has drastically deteriorated to a point where it was hindering the conduct business of the government as well as undermining accountability and transparency.

The surveys reflected that there was “no top management support for records management functions in the departments, which resulted in the records managers not having the necessary authority or backing to enforce proper records management practices” (NARS 2006a: i). This raises concerns on whether records are managed as a strategic asset in various government departments. De Wet & Du Toit (2000:74), “it is essential for government departments to integrate records management more effectively with other information management functions so that records management becomes a strategic management function towards reaching a competitive advantage’’. In other words, to ensure that records management receives the attention it deserves, it should be a strategic objective in the government department's strategic and business plans (NARS 2004:11).

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

Rigy et al (1998: 4) stated that records are information created, collected or received in the initiation, conduct or completion on an institutional or personal activity, records have the following requirements: provide evidence, comprise context, context and structure, have integrity and immutability, are unique, exist regardless of physical format, lead to an outcome

Auditor general (2012-2013) stipulates out that South Africa in general has been attributed to a poor records management in the municipalities a lack of policies, procedures. Local government is the one sector which touches the broad spectrum of society from the wealthy to grassroots communities. Recently, South African local government received much of the brunt of dissatisfaction from grassroots communities concerning the lack of, or poor, service delivery. According to the online news media News 24 in May 2011, it was reported that the majority of South African municipalities ignored the prescriptions of the Municipal Finance Management Act, no. 56 of 2005. There is a failure in the South African public sector to recognize the importance of records.

2.2.6 Security of Records

According to Wiggins (2000), the main emphasis with records management is on the organization and safeguard of recorded information throughout its life cycle. Parker (1999) mentions that records are important because of the information they contain thus, one of the major aspects of organization is to safeguard records from damage and destruction. Shephered & Yeo (2003) point out those organizational records need to be protected against lost or temporary misplacement. Access rights in organizations should be stipulated by the management that prescribes who is authorized or mandated to access confidential and non-confidential records (Dikopoulou & Mihiotis, 2012). According to the authors, the lack of security controls in organizations exposes the organization to lose private and confidential records about the individuals and the organization as a whole. They argue that to ensure their integrity, appropriate measures must be also taken to protect them from unauthorized alteration.

According to Dikopoulou & Mihiotis (2010), security issues in most public organizations like municipalities follow traditional norms. Safety measures such as locking cabinets,

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employing security personnel, cameras, Closed Circuit Television (CCTVs), alarm systems, fire warnings and protection systems are mostly taken for the physical security of records. On the other hand, electronic security measures such as firewalls, passwords, encryption, security copies and access rights for each user category are some of the tools used for securing electronic records integrity, accuracy and trustworthiness.

In municipalities, municipal records are filed in a secure location that is locked during non-municipal hours to safeguard against loss, tampering, or use by unauthorized personnel. Municipality staff must take reasonable steps to protect the personal and confidential information it holds from misuse and loss and from unauthorized access and modification or disclosure (Larson, 2010). Ngulube & Tafor (2006) revealed that many countries in the sub-Saharan Africa have been reported to have poor records keeping systems thereby hindering the possibility of establishing good electronic records management systems". The rising demands for effective management of records, vital information protection as well as compliance issues necessitate municipalities to improve their records management practises and systems (Harries, 2011). Some municipalities in the Asian continent have not fully digitalized and traditional records management practises as well as methods are still being used. Therefore, records preservation, storage and retrieval continue to be a challenge.

According to (Penn & Pennix, 2017) records management systems in many municipalities Africa and Latin America have remained underdeveloped as the organizations lack financial or administrative resources as well as records management expertise. Therefore, records retrieval and access in municipalities in these countries is difficult as there are no structures for the formulation, implementation and monitoring of records management policy. Therefore, security of

records remains a concern in the municipalities in these countries. Literature shows that while municipalities in the UK and Russia have digitalised and transformed their records security systems, most municipalities in Africa and Asia have fully not digitalized or improved their records security systems. Zimbabwe is yet to establish electronic records management systems so as to enhance archival and records security (Chaterera, 2016) The lack of financial or administrative resource as well as technical assistance has perennially affected records security and management systems in African and Latin American countries.

2.2.7 Protect and Dispose of Records the Right Way

By following the consistent practises for the safeguarding and disposal of records, an organization reduces the risk of theft and exposure- while also controlling the storage costs. “Documenting detailed instructions on how records are identified and approved for disposal – as well as the processes for secure destruction – can prevent against inadvertent disclosure or improper destruction” (Bearman, 1994). This is crucial in ensuring that the organization follows appropriate compliance procedures and respond to eDiscovery inquiries.

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2.2.8 Destruction of records

Retention periods of records should relate to how long it must be available to the public. They mention that some records must be retained indefinitely; others have a limited shelf life and need not be retained. According to IRMT (2011), retention periods must reflect the administrative needs of the organization as well as the wider needs of the society. Mafu, (2014) argue that provision must be made to ensure that some personal information can be retained for evidential, informational or research value once it has served its original purpose. Huffer (2005) argues that with confidential or proprietary records, special precautions must be taken to ensure that destruction is total and the records can in no way be recreated .

According to IRMT (2009), many countries around the world such as United Kingdom, Canada, Australia, Argentina, Botswana, South Africa and to mention few have the responsibility of ensuring that all government departments including judiciary system have retention schedules for their records. Nthomiwa (2009) argue that the absence of records retention schedules within an organization may result in file overloading, misfiling of documents and case backlog. He further stated that this can have a negative impact on service delivery which includes inefficiency in the ability of municipalities to delive

In South Africa, as far as records management is concerned, unauthorized destruction of records could be considered a deliberate action to conceal the reasons for administrative actions. It has been stated that destruction of public records should be done in accordance with a written disposal authority issued by the National Archives and Records Services or its provincial equivalents (Promotion of Administrative Justice Act, 2000) .

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Mafu (2014) mentioned that it is frustrating to search for lost records. He further mentioned that by implementing effective tracking protocols such as bar codes and radio frequency identification devices; staff time can be saved.

According to Ngoepe & van der Walt (2010), the purpose of tracking records is to document their movement so that the organization knows where its records are at any given time. They further argue that tracking may also be used to monitor the use of records and to maintain an auditable trail of recordkeeping system. They are of the opinion that tracking may be used to ensure that a particular record is dealt with by the person to whom it has been assigned and that action is taken by a predetermined date .

World Bank (2009) posited that that the loss records have consequences to all citizens especially the poorest who are least able to defend themselves. The authors cite that without access to records either directly or through their representatives, the public does not have the evidence needed to hold officials accountable on the prosecution of corruption and fraud.

Johare et al (2009) in their paper revealed that that the problem of missing files has been occurring in Malaysian municipalities and resulted in huge backlogs. They mention that to overcome the problem of missing of records, the bar-coding system for file tracking has been used.

Vallis (2009) mentions that automated tacking system that use bar code or radio frequency technology to track the movement of records are helpful in managing check-in and check-out process as well as producing reports that assist the staff in locating missing records

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IRMT (2002) revealed that in Argentina, documents on the files are foliated so that it can be determined if documents are missing. Control systems are used to ensure that records are maintained with their validity and integrity. IRMT (2011) cite that that bar code system is used to track the movement of records. Information about records is provided from the tracking system and case files are consulted under supervision. They state that the system was designed to address the problems of lost documents and case files.

Studies by the IRMT (2002) in Singapore revealed that all most government records are held electronically. They mention that documents are prepared in draft form and then entered in EFS. Government documents are retained in PDF format and stored in a juke box that can store large volumes of digital records and keep them readily

accessible. The authors revealed that the user functions of the EFS include the electronic filing of documents, receipt of documents, searching for and tracking records. They further state that there is a high level of security built into the EFS and these include unique user IDs, passwords, and documents transmittal through secure channels using Virtual Private Network (VPN) .

Studies conducted by IRMT (2002); Motsaathebe & Mnjama (2009) revealed that in South Africa, several incidents of lost records due to theft had been reported. The national archival system that has the responsibility to manage public records does not have “the capacity to manage digital records” (Katuu, 2015b). This shows that efficient and effective security measures are needed in the government institutions to ensure that their records are safe. Motsaathebe & Mnjama (2009) further mention that adequate security procedures and systems need be provided to prevent loss, theft or destruction of records. They argue that record tracking systems are needed to be implemented in order to prevent loss and misplace of government records. The authors further mentioned that loss and misplacement of records in SA has been reported to occur in several cases.

Mutula & Mostert (2010) stated that in South Africa, automation of records and record keeping systems have been developed in some municipalities and courts. In the South African courts, the Integrated Justice System (IJS) and Case Management system (CMS) have been introduced to ensure proper work flow, document management and information management. Under Integrated Justice System, the Integrated Case Management System was designed to automate civil and criminal case management system in magistrate courts. The aims of electronic record management system are to reduce processing time, eliminate corruption, track case electronically, provide

accurate and current management of information, reduce delays, improve access to information and reduce the incidence of lost records.

According to Motsaathebe & Mnjama (2007) records must be protected from all hazards, improper access, accidental loss, theft, damage and unwanted destruction. They further mention that there are some security measures that are used to protect records which include fire detectors, fire extinguishers, fire alarms and use of security guards. These systems can detect easily when records are at risk. Fire detectors and fire alarms need to be installed in municipal registries and offices where records are kept .

2.3 AN EVALUATION OF RECORDS MANAGEMENT STRATEGIES AND SYSTEMS IN SOUTH AFRICAN MUNICIPALITIES AND OTHER AFRICAN COUNTRIES

Records management strategies and systems are a requirement for organizations to protect records from damage as well as destruction. Retrieval and security of records is also highly dependent on the municipal records management strategies and systems. The significance of records is in the information that they contain. Records management needs both consideration as well as attention as service delivery in municipalities by depends on information.

Auditor general (2012-2013) stipulates out that South Africa in general has been attributed to a poor records management in the municipalities, a lack of policies and procedures. The public sector's practises of records management are an indication of the demeanour as well as poor status of public sector's information source, as recorded evidence post- apartheid narratives in South Africa. The information sources including lack of evidence, reveal narratives of corruption, funds and resources

mismanagement, poor protection of information prerequisite to safeguard the state and individual, breakdown of trust and interest and poor or no service delivery.

Local government is a sector which back the broad range of the society from the elite to the grassroots communities. Lately, local governments received widespread dissatisfaction from the grassroots communities regarding poor service delivery. According News 24 2011, it was recounted that the mainstream of the South African municipalities overlooked the recommendations of the *'Municipal Finance Management Act, No. 56 of 2005'.* It also reported that 210 municipalities in the country had overstepped laws as well as regulations concerning tender awarding. The article further "reported that the information supplied was of a poor quality and 70% of the expenditure reports on service delivery projects were unusable" (New 24 Archives: 6).

Ngoepe & Ngulube (2014:124) confide that "the audit concern AGSA raises in governmental bodies can be mitigated through proper records management by ensuring that the information needed by auditors is properly arranged and readily available". Practice pointers for governmental departments to accomplish clean audit results, many departments in the country are repudiated every year owing to shortfalls in documentation. While numerous researchers as well as organizations around the world recognize the significance of effective record-keeping practises for the processes of auditing as well as corporate governance, the AGSA (2010) as cited in Ngoepe & Ngulube (2014) noted that management of records is regularly not considered as critical for good governance in the South African public sector.

Besides the financial legislation, regulations and standards not prescribing how part of "records management, the other dilemma is that some records such as financial records, personnel records and electronic records usually fall outside the jurisdiction

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of the organization's records manager" (IRMT, 1999:243). Resultantly, the records are not controlled or managed adequately

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

Poor management of records is resulting in serious information gaps and loss of document heritage amongst municipalities in South Africa (Wamukoya & Mutula 2005). It is difficult to trace and spot dishonesty and fraud if there is no proof that is recorded. According to Walker et al. (2014) there have been several negligence cases in record management amongst institutions such as municipalities, schools and hospitals in South Africa and this have had serious implications for these institutions. Mismanagement of records is also commonality in other public service sectors (Oellermann, 2006). There are many instances records were reported to be missing or misplaced municipalities which therefore raise questions as to the kinds of records kept by these institutions, how they are manage, and the policies as well as the systems for record management. Therefore, the research focuses on evaluating the factors that affect the development of archives and records management in the City of Johannesburg municipality with a view to come up with sound recommendation on these challenges.

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The Gauteng Province has three metropolitan municipalities, two district municipalities. The district municipalities are divided into six local municipalities .The

province reflects a concerning picture on the drivers of the internal control environment, which is underpinned by a lack of commitment by political and administrative leadership to respond swiftly to concerns of stakeholders, lack of policies, procedures and controls for document management, the absence of daily and monthly financial controls such as transactions and registers being processed, reviewed and reconciled, as well as poor monitoring of compliance with legislation. (Luthuli & Kalusopa, 2017).

Research shows that there are many challenges that are bedevilling records development and management as official business evidence (Mbatha, 2014). The supposed continual development and use of archives and records management as a means of operational continuity, legal evidence and accountability is affected by several challenges in the Gauteng Province. It is imperative to conduct this study will a view to come up with recommendations on how the development of archives and records management can be enhanced in the City of Johannesburg metropolitan municipality. Very few studies have been conducted on challenges of Records Development and Management in the Gauteng Province, general studies have been done and it has proven that no studies have been conducted in Gauteng local municipalities were most municipalities were created by the new democratic dispensation (Roberts, 1998).Given the background of records management nationally and globally, the purpose of this study was to evaluate the factors that affect the development of archives and records management in the City of Johannesburg municipality

Studies in Ghana by Woode (2008) noted that the records units in the Ghanaian organizations required professionalism owing to the scarcity of skilled personnel. This evidence reflects that the critical skills required by records personnel in records

management is crucial if a comprehensive system of records management is to be accomplished. In Ghana, for effective hospital records management to exist; there is a requirement for hospitals to generate records management awareness campaigns for personnel and also, employ staff possess the requisite skills as well as competences “to manage the records in the design, creation, storage and disposition stage” (Mensah & Adams, 2014:79).

Iwhiwhu (2005:123) conducted a survey into some Nigerian Universities and indicated that there was a “grim problem of technophobia in most offices in Africa especially among the older employees”. The author further explained that many Records Managers, Traditional Librarians as well as Archivists are very conventional and have no technological equipment such as computers. This may be as a result of generational technological gaps between the new and old records professionals which have made information managers to see computers and technological advancement as a peril to their records profession. Surveys conducted by Afolabi (2004) and Egwuyenga (2009) in Nigeria also revealed that management of records in the country had been beleaguered by factors like insufficient skills as well as inexperience among records officers, inadequate funds and the lack of prioritization of records management.

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Kauzya (2005:27) identified that in numerous countries, “the public is more concerned about the honesty and accountability of government”. Decent record keeping practises within municipalities aids in the maintenance of a high accountability level of accountability in businesses as well as International Aid Agencies to make sure that their critical investments go to nations with good governance Schellnack-Kelly (2014). An accountable as well as transparent municipal authority is a concrete evidence of a robust as well as honest government.

Motsaathebe & Mnjama (2007:184) argue “that the security and protection of records is a prerequisite for an organization to safeguard records from damage and destruction. The importance of records lies with the information they contain”. The authors further mentioned that records need management special consideration as well as attention since effectual service delivery is contingent upon information. IRMT (1999) noted records in municipalities and the judicial services need to be controlled by well-trained records management personnel.

According to Johare et al (2009), developed nations like Canada, United States of America, Australia and United Kingdom are good examples of nations that have effectively implemented computerization and automation in their various government departments. They cited that the *‘Electronic Filing System’* in organizations is utilized as a technique of plummeting the substantial difficulties of handling the record files as well as costs of keeping official documents. Johare et al (2011) specified that the various archival institutions in developed nations are the foremost advocates for the development, establishment and provision of authoritative guidance on various ERM aspects.

Motsaathebe & Mnjama (2009) cited on the African continent, the records management is a main apprehension and numerous nations are affianced in some projects to augment their systems of record keeping. In nations like South Africa, Kenya, Botswana, Uganda, Tanzania, Zambia and Gambia, the adoption of technology in records creation as well as management has been familiarized to address the challenges of service delivery bottlenecks in the missing and the loss of records in various government institutions.

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Therefore, this elevates concerns on whether the records are managed as a strategic asset in the government departments. De Wet and Du Toit (2000:74) noted that "it is essential for government departments to integrate records management more effectively with other information management functions so that records management becomes a strategic management function towards reaching a competitive advantage". In different words, to make sure that records management practice receives the deserved attention, it must be a tactical objective strategic as well as business plans of the governmental departments (NARS 2004:11).

2.4 DETERMINE THE SKILLS AND TRAINING OF THE ARCHIVES AND RECORDS MANAGEMENT STAFF AT THE CITY OF JOHANNESBURG

Training provide within the wider local governance sphere an opportunity to solve archives and records management problems. Through training and capacity building archives and records can be managed innovatively, effectively, efficiently as well as creatively within the local government policy framework. The importance of training in archives as well as records management and how lack of training affects archives and records management will be discussed.

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Johare (2001) noted that due to the changing records' nature owing to the use of information technology in information work, national institutions of archives, professional organizations and higher learning institutions have been endeavouring to develop training and education in records management. Millar (1998) has also suggested emphasis on training and education of archivists has been increasing due to due to their transforming work practises linked electronic records handling. The work performance of archivists on electronic records management bears a direct impact on electronic records preservation over time. According to Johare (2006:543) "the goal of

improving the performance of the archivists as keeper of the nations' memory is to create education and training that serve the purpose of providing the archivists knowledge and skill on electronic records so that they can improve their job performance". Fredriksson (2002), Menne-Haritz (2003) and Katuu (2003) argued that archivists should be equipped with skills and knowledge for electronic archives preservation and access.

Mariani (1999) outlined four reasons for the designing of a conducive education and training programme for archivists and administrators: a) to augment job performance in the electronic environment, b) to identify a definite professional development to augment needs, c) to have a comprehensive grasp of the technical matters that are related to handling of records, d) to promote vocational training on records management. McDonald (1998b:18) argued that, "administrative demands for accountability has led to the need for the development of education and training that should be focused on the records practitioner's ability to manage electronic records to ensure their integrity, reliability and authenticity". Training as well as education of archivists, public administrators and other archivists serves various purposes such as enhancing skills and knowledge, improving performance, preserving records in an electronic format as well as effectively delivering them to the public. The importance of training and education programs in the City of Johannesburg is that it promotes professional record keeping and personal development. ICA Council on Electronic Records (1997) noted that training and education on records should be utilised to enhance and support the personal development of archivists as the national memory preservers. King (1996) listed 2 kinds of training and education for the practitioners of records management: (a) 'continuing vocational education' (CVE) to learn new

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techniques and skills in the record work processes, and (b) focused “records management education and training” at different levels in the organization.

Training and education on records management seeks to develop archivist and records managers into specialists, who are engaged in defending record keeping and archiving interests in the organization. Thomassen (2001) called upon records and professionals’ practitioners to develop appropriate standards, procedures and strategies. Within the standards, procedures and strategies, training and education strategies should be prioritized to ensure that people responsible for record keeping infrastructure have the necessary skills, knowledge and ability to manage the records. It is interesting to note how changes have occurred in the early 1990’s pertaining the recommendations and propositions made in literature about how to develop education and training in electronic records management. Johare (2006) noted that a review of literature on training and education on management of records before the beginning of the 1990’s found that “the only consistent recommendation was that the records managers and archivists be solely responsible for the management of records”, in which the managers of records were responsible for the management of current as semi-current records in the organization and archivists had the responsibility of managing records of perpetual value (Johare,2006:544). Thus, training and education programs were targeted at skills and knowledge required by record managers as well archivists for management of records in the paper format as well as other conventional formats such as audio-visual and microform. “That recommended practice contrasted sharply with the writings that developed over the remainder of the decade”. (Johnston and Bowen, 2005:244).

Literature on management electronic records management includes critical statements on archivists’ and record managers’ lack of skills, knowledge and abilities

in the management of electronic records, and the need for re-training and re-education (Hoffman 1996, Johare 2001, Menne-Haritz 2003). Katuu's (2003:27) analysis of training and education of record practitioners in African nations "suggests that majority of Archives are not equipped thoroughly to function in the modern era of information, as electronic records needs persons knowledgeable in archival theory and practise, and with expert knowledge of computer and the related technology". Katuu's (2003) proposed standard training and education for the practitioners of government records systems to be established for the African nations. Mazikana (2009) cited that archivists as well as records managers in countries like Zimbabwe, Zambia and Mozambique are not copiously involved in electronic records management due to limited expertise as well as knowledge in the area

According to Mazikana (2009:1) "The need for the archivists as the keepers of evidence to have knowledge of managing electronic records is evident in a statement in 1996 at the DLM in Brussels". It reflects growing pressure in the backing of multidisciplinary approaches as well as possibilities for collaboration amongst records managers, administrator's IT staff and archivists who should cooperate generate and implement the electronic record keeping systems which sustain the business processes of organization. Yusof and Chells (1998) conducted a survey on the worldwide approaches to training and education in the records management discipline shows the deficiency of 'standardised court syllabi' amongst Universities globally.

One of the most comprehensive surveys on training and education on archives and records is the ICA/SAE survey that was published in August 2002. Although only twenty-three countries worldwide participated in the survey, the work revealed the situation on training and education on archives and records inclusive of the electronic records. Higher learning institutions have played a fundamental role in delivering

training and educational programmes on electronic records management in developed countries like Canada, Australia, USA, UK and Europe. According to Johare (2006), electronic records management "initiatives within the records management programmes in higher education in those countries have taken a variety of forms: accredited programmes, flexible modular programmes and distance learning; as well as traditional face to face classroom teaching which remains the most common mode of delivery". In Australia, training and education on electronic records management was established on belief that records practitioners act as advisors, consultants and educators who helps agencies to meet their responsibilities and roles in the era of freedom of information, public accountability and electronic environment (Kemoni, 2009). In many Asian countries, including South East Asian, training and education provided by the different universities is actually characterised by traditional focus on the archival management with an emphasis on the conventional records management". While many studies have focused on training and education in records management in different countries as highlighted above.

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Very few studies have focused on evaluating the factors that affect the development of archives and records management. Makhura (2005) conducted a study which focused on evaluating records management's contribution towards the competitive performance of an organization. A survey was conducted to establish the position of records management at South African National Parks (SANparks) and the manner in which the records were used by the employees. The survey results revealed that SANParks do not practise good records management as provided by section 13 of the 'National Archives and Records Service of South Africa' (No 43 of 1996 as amended). There was no consistency with regards to the filling methods and the manner of records destruction. The study revealed that there was no record manager at

SANParks. However, this study takes a different approach by investigating the factors that affect the development of archives and records management.

2.5 EVALUATION OF POLICY AND LEGISLATIVE FRAMEWORKS ON THE DEVELOPMENT OF ARCHIVES AND RECORDS

The records management policy and legislative frameworks is the cornerstone of effective archives development and records management in the organization. It demonstrates to the employees as well as stakeholders that the organization the organization strives for transparency and accountability in service delivery. Without records management policy or legislative framework, it is difficult to hold organization accountable to member of the public.

"The International Standards Organization 15489-1 (2001) provides a framework for public and private organizations in the management of its records, irrespective of the medium in which the records are created, captured and maintained. University of Texas State (2009) posited that records management programme ensures sound record-keeping practices that support business activities, assist in the capture and maintenance of corporate memory and ensures compliance with relevant legislation. The Stakeholders Theory and the Records Continuum Model adopted by Mensah and Adams (2014) to conduct a survey into both private and public organizations in Ghana reiterated that the existence of records management policies provide the mandate and overall authority for the creation, use and preservation of records, and are vital to the effective management of records in all organizations. Ngulube and Tafor (2006) in their study further explained that the adoption of records management standards and integrating them ensure that records are managed consistently for the required periods. Chaterera (2016) noted that Zimbabwe's records management policy is archaic and has to be a reviewed in line with the modern modus operandi. Policies

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and measures to manage records appropriately in the electronic environment are yet to be established in Zimbabwe".

"On the contrary, a survey by Dikopoulou & Mihiotis (2012) found out that most organizations in South Africa did not have written and approved polices for the management of their records. Studies by Kemoni (2007) and Tagbotor et al. (2015) agreed that without a records management policy, it is difficult to establish efficient records management systems that support service delivery. However, formulating records management policies within a particular department may be challenging, but integrating records and policies that involve several functional areas of an organization can be a significantly more complicated task (Amo, 2016). To the authors, records management standards serve as a guide for effective functioning of records management systems within an organization. This is due to the fact that standards provide information on "who, what, when, where and how the records management systems operate" (Amo 2016:36). The absence of records management procedures and standards impacts negatively on records creation, use, maintenance and disposal or preservation of records in organizations" (Kemoni et al., 2007).

2.5.1 Policy and Legislative Framework of South Africa

Bekink (2006) noted that South African legislation gives guidelines on what is expected of municipalities and how public records should be managed, for effective administration and management in the municipalities. In terms of chapter 7 of the Constitution of the Republic of South Africa of 1996, Section 152(1), one of the objects of local government is to ensure the provision of services to communities in a sustainable manner. Furthermore, Section 41(1) (c) stipulates that all spheres of government and organs of state must provide effective, transparent, accountable and coherent governance for the Republic as a whole. Effective records management

enables municipalities to document the delivery of services and to promote accountability and transparency. The White Paper on Local Government (March 1998) stated that municipalities have a range of delivery options to enhance service provision and their administrations need to be geared to implement the chosen delivery options in the most effective manner and to ensure maximum benefit to their communities.

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

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2.5.1.1 The Promotion of Access to Information Act (PAIA) No. 2 of 2002

The PAIA provides for the constitutional right to access information held by private or public bodies that is required for the protection or exercise of any rights (Government Gazette, 2014). This Act gives effect to the State's constitutional obligation of promoting social justice and the human rights culture. According to Katuu (2015) the PAIA is critical in fostering the effective management of records and archives in South African municipalities since it promotes accountability and transparency. The Act also empowers and educates members of the public to understand their rights to access

information held by municipalities. The Act also enable citizens to understand the operations and functions of these public bodies which gives them a platform to participate in decision making processes that influence their rights (Gazette, 2014).Under the PAIA, the City of Johannesburg is obligated to reveal the records it holdsHowever section 9 of PAIA pinpoints that such right to information is subject to some limitations, for instance limitations that are aimed at: the reasonable privacy protection, commercial confidentiality, efficient, effective and good governance. This means some rights are obstructed on these grounds as municipalities can use these to conceal certain information from members of the public. The Act forbids public bodies from permitting access, and/or permits the public body to deny access to certain information types on the grounds of the reasons mentioned in the foregoing

2.5.1.2 Protection of Personal Information Act (No. 4 of 2013) (POPIA)

The POPLA seeks to protect individual privacy rights provided by Section 14 of South Africa's constitution (Act, No. 108 of 1996). POPIA established conditions for minimum requirements for personal information processing, provides for the establishment of information regulator to exercise powers and to perform particular duties as well as functions in terms PAIA of 2002 and POPIA of 2013 (Netshakhuma, 2019). The POPIA promotes protects personal information through the provisions of persons' rights pertaining to unsolicited electronic communications as well as automated decisions making. According to Netshakhuma (2019:59) the introduction of the POPIA forms a key element to protect personal information and integrity. POPIA was gazetted on 26 November 2013 and all the sectors, including municipalities were granted a grace period for the implementation of processes as well as procedures internally to make sure that they conform to the act's requirements. However, absence of a definite and significant frame for POPIA before full compliance does not translate that

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municipalities have engendered full preparation for POPIA implementation. Municipalities gather and hold substantial personal information of the respective residents but majority of these entities do not have the resources and capacity to ensure compliance with the POPI Act (Ngoepe & Saurombe, 2016). Most municipalities are dealing pressing service delivery issues as well as financial performance priorities and as such as paying less attention to this critical issue of managing personal information. Slow progress in implementation of POPIA presents opportunities for criminal groups to target municipal as well as other government databases. The implications could include exposure of private data: ID numbers, addresses, GPS and cell phone, GPS tracking and so on.

2.5.1.3 Gauteng Provincial Archives and Records Service Act, No 5 of 2013

This Provincial Act was promulgated under the auspices of the constitution of South Africa which requires devolution and/or provincialisation of the responsibility of government for records and archives management. According to the constitution public archives are "functional areas of exclusive provincial legislative competence (Mbatha, 2015). The regulation for the Act in question was promulgated in 2015 and this led to the establishment of the Gauteng Provincial Archives repository. The Act ensures that various types of information contained in archives and records are effectively managed. According to Mbatha (2015) compliance with the policies, procedure manuals, file plans, retention schedules as well as records management is still a challenge in the province. The lack of capacity and resources has been cited as the underlying factors.

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2.5.1.4 The Public Finance Management Act (Act No. 1 of 1999) and the Municipal Finance Management Act (Act No. 56 of 2003)

This Act regulates the financial management in the public service as well as prevents corruption, by making sure that all the governmental bodies their resources, including

finance and records, carefully. The Acts are closely related to archives and records management since it sets out procedures for effective and efficient management of all assets, revenues, expenditures as well liabilities. The Acts establishes the responsibilities as well as duties of government officials mandated with finance management. This Act is critical to archives and records management since it promotes accountability, transparency and prudent financial management in public institutions.

2.5.1.5 The Electronic Communications and Transactions Act (Act No. 25 of 2002)

This Act legalizes electronic communications as well as transactions, and it seeks to build electronic records trust (Department of Sports, Arts and Culture, 2018). According to the Act "data messages are legally admissible records", provided that their reliability and authenticity are true transaction evidence can be proven beyond doubt (Ngoepe and Saurombe, 2016:5). The evidential heaviness of electronic records (inclusive of electronic mails), would rely on *inter alia* on reliability of the way in which messages are managed by the originator as well as the receiver. Should the public bodies not have properly enforced records management as well as email policy and a secure as well as reliable records keeping system, they face the risk that the evidential heaviness of the electronic records (including the emails) might be reduced (Department of Sports, Arts & Culture, 2018).

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2.6 RECORDS MANAGEMENT INFRASTRUCTURE

For organizations to execute their tasks, its dependent on the accessibility of proper infrastructure for records management. Dikopoulou & Mihiotis (2012) "mention that without a records management infrastructure, organizations cannot either manage effectively their daily operations or use of knowledge and experience of the past for

guidance. Physical infrastructure and adequate resources are needed to be in place so that records can be managed effectively.

2.6.1 Physical infrastructure

Parker (1999) argued that records in an organization are expensive to maintain and store. The author stated that records need to be kept somewhere and they need space, equipment, supplies and also staff. According to IRMT (2002), organizations need physical infrastructure for records keeping. These authors mention that managers need to have storages to deal with the load of municipal records.

They further argued that the storage for keeping records must have enough space to accommodate equipment used to keep records. They further mention that proper record management requires appropriate environmental conditions and physical security. Kemoni & Ngulube (2007) opine that the unsatisfactory management of records results in delays and poor service delivery, frustrations on the part of the public and also encourages corruption. They mention that registries in government departments are the gatekeepers for information of the department.

Studies conducted by the IRMT (1999) revealed storages such as registries and record centres are needed to keep records. Parker (1999) stated that facilities for active records need to provide enough storage space and protect the records from physical damage. According to IRMT (2011), court registry in Rwanda is responsible for the administering of current and semi current paper as well as electronic records produced by the court. The authors mention that to facilitate management of the current and semi current records, the registry has developed internal record management procedures to guide staff in the proper care. Motsaathebe & Mnjama (2009) argue that for records to be managed effectively, records centres need to keep semi-current and non-current records.

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Katuu (2015) mentioned that institutions in many African countries have a serious problem of storage due to high costs and unfavourable physical conditions. Katuu (2015) further argued that these problems are caused by the increases in the volume of records produced and lack of storage as well as preserving records for a long time. Parker (1999) argues that buildings for records must be secured and constructed from fire proof materials. More so, the buildings must be leak free and have effective drainage systems to prevent water built-up which may lead to flooding.

According to Johare et al (2009) computerization in organizations has been also used as aim of reducing backlog, reducing loss and misplace and theft of records. They also reduce the difficulties to retrieve or locate a record. They further mention that organizations where files are available through remote electronic access, information are made available more quickly and convenient. With a remote electronic system, it takes few minutes to retrieve information that can take days or weeks to retrieve if only paper files are available.

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Turner (2002) argues that as an alternative to paper files, electronic records have many advantages. More than one person can see such a document at a given time. The electronic documents are available over connections with the computer file room system. The costly steps of paper processing go away. It has been mentioned that records in electronic form are rarely if ever they get lost. Mnjama and Wamukoya (2007) stated that computerization in an organization help in reducing cost storage, improve retrieval of records, access and quicker response.

2.6.2 Information and Communication Technology infrastructure

According to Mnjama & Wamukoya (2007) for an organization to properly manage its records, information and Communication Technology (ICT) infrastructure is also needed. Nthomiwa (2007) further mentioned that facilities such as computers with

internet, fax machines photocopying machines and phones are needed. The author argues that such systems in place ensure co-ordination amongst all the key players in the life of a record.

Studies conducted by the IRMT (2011) between (2002/2011) revealed that ICT has been introduced in many countries around the world. They mention that in African countries, for example, in Rwanda and South Africa, Digital Recording Machines and Transcription systems had been introduced in municipalities and courts.

2.6.3 Office equipment

Johnson and Kallaus (1987) mention that once information in an organization has been processed, distributed and used, it must be stored for future use. They cite that in the manual records system, that information is then stored in filing cabinets. In an automated system, the information is stored on magnetic tape or computer system. These authors further indicate that storage for records must have enough cabinets to store records.

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Johnson and Kallaus (1987) further mention that to be efficient, record systems need to make full use of office equipment. They state that drawers and shelf files need to be carefully checked to avoid overcrowding. In addition, record folders need to be properly labelled and divided to make them easy for retrieval.

2.6.4 Staff

According to IRMT (2002), proper records management requires trained staff, adequate and continuous funding. Motsaathebe & Mnjama (2007) mention that managing records requires time and effort and this can be achieved through dedicated and well-trained staff". Studies done by Motsaathebe and Mnjama (2009) revealed that due to problems encountered in managing records, in Kenya, the Sub–committee on Ethics and Governance (2005:278) suggested "the standardization of training of

qualification to regulate entry level for all registry personnel and also short training courses for personnel registry".

2.7 THEORETICAL FRAMEWORK

This study focuses on evaluating the factors that affect the development of archives and records management in the City of Johannesburg municipality. The objectives of this study are; (i)To identify records management strategies that are currently in place in the development of Archives ii) 1.To determine the policy and legislative framework on the development of archives and records management iii) to determine the skills and training of the archives and records management staff at the City of Johannesburg iv) to examine whether the city of Johannesburg municipality have the records management system in place to manage the records that are created in the department. A survey of the writing assumes an essential part in offering understanding to what is of now known in connection to the exploration question. In this manner abstaining from "re-evaluating the wheel"(Neuman 2006).

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A literature review plays a significant role in providing insight to what is known already in relative to research questions, therefore avoiding "reinventing the wheel" (Neuman 2006:111). The literature review affords a theoretical context to a study and also lays a stage to learn from what was done by others in the field. The study is informed by the life cycle model as well as the continuum model.

A theoretical framework is used to elucidate concepts as well as suggested relationships amongst concepts, and utilized to expound observations and also to afford a setting to construe the study findings. "Theoretical framework is a lens through which the researcher views the phenomenon under study" (Power, 2012:16).

2.7.1 RECORD LIFE CYCLE MODEL

The record life cycle model is used because it reflects the various phases that all records pass through in spite of their form or purpose. The record life cycle model enables the researcher to identify the factors that affect the development of archives and records management at the various phases of the life cycle of a record. The model is also used because it provides a structure for effective and efficient development of archives and records management (Penn, Pennix & Coulson, 1994).

According to Yusof & Chell (2000), the RLC is one of the central concepts of the discipline of records management. The authors contend that the RLC mirrors the view that all records regardless of purpose and form pass through some well-defined stages. Yusof & Chell (2000:12) argued "that the principle behind this concept is that recorded information has similar life to that of a living organism. It is born, lives and dies. In the life cycle of records, records are viewed like living organisms". Many authors remark that records in life cycle phases created and/or received. They contend that at this phase, their physical form as well as content are established and then maintained, revised, refiled and referred. Shepered & Yeo (2003:46) and Parker (1999:27) suggested that the stages that records go through are "current stage, semi-current stage, and non- current stage". Shepered & Yeo (2003) and Parker (1999) argued that in the current stage records are commonly utilized for the organization's current business and are maintained origination or receipt place. Records in this phase are occasionally christened active records. The authors further mentioned that in the semi-current phase, records are supposed to be used frequently for the organizations current businesses while in the non- current stage, records are not required for the current business and have to either be destroyed or moved to the archival repository.

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The RLCM which was developed by an American Archivist, R.T. Schellenberg (Shepherd &Yeo, 2003) has guided paper records management in many organizations. The Model recognizes records as an “analogy of a biological organism, which is born, lives and dies, and a record, which is created, maintained and used for as long as it has continuing value and is then disposed of either by destruction or by archival” (Shepherd & Yeo, 2003:29).

The topographies of the Model suggest that it is more applicable as well as suitable for organizations working with paper records (Yusof & Chell, 2000). Life cycle theory is categorised into three stages c, which are well-defined as records creation (Born or adopted), records utilization and maintenance (living actively), as well as records destruction (death) or transferred to the archival repository (Upward, 2000). The life cycle model posits that records live once at each phase during their lifespan. Since the end of the 1930’s the life cycle philosophy has been the focal conceptual framework for records management, particularly in the paper environment.

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

Artherton (1985) mentioned that the life cycle concept has been valuable in encouraging an order sense, systematic method to the general organization of recorded information. The author argued that the stringent adherence to its principles undercuts any trend headed for greater coordination and coordination of archivist as well as record managers. Artherton (1985:68) further stated that “the records life cycle

ignores many ways in which the records management and archives operations are interrelated or even intertwined". Their professions although distinct are functioning towards the alike objectives, that is, the efficient management of records through all the phases of the continuum model from their creation to their disposal.

The records life cycle model is criticized for its ostensible shortfalls with respect to the digital records (Koerber, 2017). However, the record life circle model will be used in this study because it proffers the highest potential for efficient management of records especially where the records are kept in paper and electronic form. "The stages of the life-cycle model are seen as not being separable in the case of digital records, since activities can recur out of sequence" (Koerber, 2017). In electronic records, the data which is constitutive of the digital record is dispersed throughout the computer system, therefore it is quite problematic to imagine a record as going through distinctive phases. Reasonably, Atherton (1985:48) argued that "phases of the life cycle model should be replaced by some interrelated stages which reflect the pattern of a continuum".

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2.7.1.1 An evaluation of the Life Cycle Model

The Life-Cycle model has been instrumental in promoting order, a systematic approach, to the general management of information that is recorded. Atherton (1985) "However, strict adherence to its principles undermines any trend toward greater cooperation and coordination of archivists and records managers". The records-life cycle model ignores the various ways in which records management as well as archives operations are interrelated, even interconnected. The model can be suitable in a large bureaucracy to endeavour to clarify the roles as well as responsibilities by carefully delineating. According to Malake and Phiri (2020) "the impact of the computer on the life cycle has been striking, for with electronic data the stages in the life cycle

cannot be separated". The nature as well as volatility of recorded electronic data will not allow it. Creation, for instance, is a continuous process rather than an even in time. Thus the record that is created will be altered several times during its time of administrative use. Franks (2013) argued that while majority of the office automation systems may provide the appearance of emulating the paper system, data is certainly not processed in a same fashion. Electronic data management models separate completely the elements in a record, permitting users to bring them together, probably altered, in any expedient combination. The use of electronic data management models permits the application of schedules in a continuous process, built into the system itself, because of the fluidity and continuity of the creation and re-creation of data.

2.7.2 THE RECORDS CONTINUUM MODEL (RCM)

"The Records Continuum Model originated in Canada but was developed and adopted in Australia in the 1980s and 1990s by Australian archival theorist, Frank Upward" (Bantin, 2002:2). The RCM refers to the systematic and consistent way of record management from the advancement of record keeping arrangements to the last disposition phase that is either preservation or destruction or utilization as archives (IRMT, 2009). Jackson (2008) validates that the RCM works efficiently in an organization that functions in the electronic environment. Dikopoulou & Mihiotis (2012:2) and Kemoni et al. (2007:16) state that "the adoption of the Records Continuum Model is very useful as it facilitates policy making, constitutes organizational memory, enhances compliance and enhances security". The most noteworthy feature of the RCM is its partaking environment of the design phase whereby the records professionals as well as systems designers partake in the system designing. The RCM design phase is habitually mentioned "as the pre-natal phase" (Flynn, 2001:11).

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Ngulube & Tafor (2006:54), stress that all the above principles “the records life cycle and records continuum model are dominant theories in the archival and records management”. However, the researcher used both Records Life Cycle and the continuum models to evaluate the factors that affect the development of archives and records management in the City of Johannesburg municipality. Ngulube & Tafor (2006) contended that the synthesis of the pre-natal stage Model with the abstract stages of the RLCM originates the “Hybrid Records Life Cycle Model”. At design phase, records managers as well as archivists evaluate records and resolve on which records would back the organizational functions.

The teamwork between stakeholders in system design permits the formation of the correct records encompassing the correct information in right formats; consolidating the records to aid their utilization; methodically disposing of the records that are no longer needed; and protecting as well as preserving records. Yusof & Chell (2002:45) assert “that management in organizations should merge both the pre-natal phase of the Hybrid Records Life Cycle Model and that of the Conceptual phases of the Records Life Cycle Model in the management of records as they do not exist independently of each other”. The application of the RLCM directed the study to espouse it as its sustaining model for the study.

In the study, the model will be used to comprehend the aspects that influence the development of archives as well as records management in the City of Johannesburg municipality. Shepherd & Yeo (2003) noted that in the RCM, “management records is viewed as a continuous process where one element continuum passes seamlessly into another. The dimensions in the continuum are most time-based, but represent different perspectives on the management of records”. The authors noted the model holds the view that records work simultaneously as the organizational as well as

collective memory from their creation time. This model is grounded on the principle that a record once formed remains expedient and there is no end to it until disposal. Even primary value of the record is exhausted, they still have a secondary value which can be political and/or administrative. According to Upward (2000:16) “continuum model is being used in Australia as a metaphor to assist in getting records management right in recordkeeping environments built around electronic communications since it has a major advantage of accommodating electronic records”. Upward (2000) argued that in RCM, records subsist space time not space and time.

Bantin (2008) cited that in the model, the records managing process is considered as an incessant activity that attentions the procedures that yield records. Established on the model, the archivists as well as records managers should be involved together with the information systems designers in the creation systems that keep records. Barry (1994”19) cited that “records in an electronic environment are dynamic and recursive in nature”. The electronic records can exist in several phases of the life cycle.

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According to model, records in the organization should be created and/or received, classified, programmed and preserved. The model is pertinent to this study as the municipalities generate, collect, and preserve diverse records daily. Atherton (1985:27) suggested “a unified model consisting of four stages rather than eight stages of records life cycle and the first two are traditional model, that is, creation or receipt and classification of record”. The third phase is the information scheduling and the last stage is the conservation and information use. Atherton (1985) indicated that these four phases show the pattern of the RCM rather than that of a cycle. The author additionally mentioned that these four phases are interconnected. Collectively they produce a continuum in which both the records managers as well as archivists are involved in an on-going management of records.

“Despite claims made pertaining to the universality and importance of the records continuum model, it has not received the attention in the archival literature that would be expected from a paradigm shift” (Koerber, 2017:16). The continuum views appraisal as a process that spans the whole life cycle of the record (Dingwall 2010, 151), not merely something that happens at the creation point. However, critics question the role that the model to continuous contextual metadata accrual as the replacement for the traditional archival description. One notion that the model does not appear to have substituted is for (Dingwall, 2010) is the significance of the archival description after the records become inactive. Piggott (2012:188) noted that “archival science lacks a theory for a sociology of recordkeeping’, and that the records continuum model is “not that theory”.

It is quite doubtful that this makes up a persuasive criticism of the continuum model. Whereas it is correct that the records continuum proponents cannot claim to proffer a social theory for history in its entirety, as well as cultural diversity, of the human archival practises, the same is true for any other archival theoretical framework. Dingwall’s (2010) critique of the records continuum model is more unostentatious in its scope that other critiques. Dingwall (2010:12) effectively made two criticisms: he resonates with the interventionist stance concerns; and argued that the records continuum model is not total replacement for the records life cycle model, that “there are aspects of the life-cycle which may need be to incorporated in a continuum approach”. Therefore, to evaluate the factors that affect the development of archives and records management at the City of Johannesburg municipality, both the records continuum model and the records life cycle model will be used.

The critique of RCM by Dingwall (2010) is more uncertain in latitude than the other evaluations debated above. Dingwall effectually makes two disparagements: he

resonates apprehensions about the interventionist posture; and he contended that RCM is not a comprehensive spare for the RLCM, that there are facets of the life-cycle which might need be to amalgamated in the continuum approach. These disapprovals can be extended and advanced further, and some endeavour will be made in this study to outspread the arguments.

IRMT (2002:34) mention “that records are created and received to aid service delivery in municipalities. in organizations there is a need to create and maintain records that will not only manage service delivery, but that it may be necessary to refer to it at some later date”. They mentioned that records are fashioned to aid certain determinations but they can be utilized with future employees, managers as well as community members. Ropper & Millar (1999) indicated that in records can be utilized in the generation phase. They additionally argued that records management is vital because managers and employees refer to records either as a standard or for recovery.

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The researcher has the opinion that since RCM has a benefit to house electronic records it is more pertinent to this study since electronic records has been familiarized in South African municipalities. Studies conducted by the IRMT & World Bank between (2002-2011) revealed that due to various challenges faced records management electronic record has been familiarized in numerous nations around the globe. Johare et al (2009) contended that in nations like United Kingdom, Australia, South America and Asia computerization has familiarized electronic records management. On one hand, Thurston (2005:198) mentioned that “in some African countries such as Botswana and South Africa electronic records management has been introduced”.

An evaluation of the Records Continuum Model

The Continuum model recognises that the processes carried out (distinctly) in traditional records management domain as well as in traditional archival domain are fundamentally similar: we create or receive records, classify, appraise, control and maintain them, and we make the accessible. The Continuum model argues that these processes are integrated, interrelated and overlapping-particularly, but not only, in the electronic environment- that is counterproductive to maintain any distinction. According to Williams (2006) when presented as a theory, the continuum model represents record keeping-based activity as an ongoing movement in and through four dimensions and four axes. The axes represent the overall elements for the demonstration of accountability: 'who (identity) did what (trans-nationality), what evidence exits about this (evidentially) and how it can be recollected from documents as well as archives (record keeping containers) (Piggott, 2012).These elements transpire within four layers or dimensions representing actions taken as well as documents created: Create, Capture, Organise (ie maintain documents as well as archives) and Pluralize (make accessible as collective memory evidence).Therefore, while the life-cycle approach perceives each stage as linear with and autonomous of other stages, the continuum identifies record keeping as multidimensional. It proposes that records management is not time-based or sequential, and that actions on records are unified and simultaneous: "a record may at one and the same time be accessed for current organisational and archival purposes especially if it is in electronic form" (Piggott, 2012:26). All this landscape is quite difficult to grasp and is fairly addressed by the emerging Digital records management models. It would be difficult to endeavour rigidly to relate theory into practise, but much more instrumental to permit it to insinuate itself into people's consciousness and enhance their understanding of records as well as archives and the various actions that are performed around them.

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2.8 THE PROFILE OF THE CITY OF JOHANNESBURG

This section gives an overview of the city of Johannesburg and the role ii plays in the economy of South Africa.

2.8.1 The Hub of Economic Growth and Development

Johannesburg is the country's largest municipality in terms of size as well as diversity of its economy (it contributes about 15% of nation's Gross Domestic Product (GDP) in 2016), as well as the job numbers its economy provides (about 204 million people are employed, which represents 41.6 percent of the total employment in the Gauteng province (City of Johannesburg, draft IDP (2018/2019 Review). In the past decades, the city has been a magnet for work seekers and entrepreneurs. However, over the past few years, growth in the crucial employment creating industries such as mining and manufacturing has significantly declined. This coupled with low economic growth has contributed to high unemployment rate. This demands the city to engage in inter alia extensive investment in infrastructure to promote economic growth and job creation.

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2.8.2 Labour Dynamics, Unemployment and Poverty

The city of Johannesburg continues to grapple with unemployment and poverty. Although the jobs numbers have been increasing in the city in the recent years, job opportunities expansion has been outpaced by the numbers of the job seekers. According to Stats SA (2017: Q3) unemployment in the city was at 32% and youth unemployment was estimated to be at 40% in 2017. This is partly attributed to the demographic trends, which have seen an increase in the number of young job seekers (Stats SA, 2017).

The CoJ is trying to address unemployment through 'the Joburg 2030 process', and particularly by supporting the labour-intensive sectors like creative industries and call centres. The biggest employer in the city is the finance sector accounting 26.6% of the

total employment and it is seconded by the trade sector accounting 21.1% of the formal sector workers (Stats SA, 2017). “The agricultural sector employs the least share of the formal sector workers with only 0.4%” (IHS Markit, 2017:26). An average of 250 000 people are employed in the informal sector in the city of Johannesburg.

The municipality struggles with high poverty and inequality levels, social exclusion and low human development levels. “In 2016, there were 2.06 million people in Johannesburg living in poverty, 46.36% higher than the 1.41 million in 2006” (Stats SA. 2017:12). These issues are exacerbated by inadequate basic services, costly commutes, unequal development and policies that have not focused on ensuring distribution of benefits and inclusive socioeconomic development (City of Johannesburg, draft IDP, 2018/2019 Review). The challenges confronted by the city in terms of safety and infrastructural backlogs and job creation are compounded by the incessant influx of immigrants. “The effect of the high sustained in-migration patterns and population growth is that the growth in demand for jobs and services far outpaces the number of jobs and infrastructure available thereby putting pressure on the service delivery capacity of the City” (City of Johannesburg, draft IDP, 2018/2019 Review).

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2.8.3 Basic Services, Backlogs and Key Challenges

All municipalities South Africa are mandated by the constitution to ensure that access to basic services is afforded to all households. Basic service provision to the community of the city of Johannesburg is relatively high with approximately 95% of the households (formal as well as informal) having access to electricity, piped water and flash toilets (UN Population Division, 2016). Nonetheless, deficits continue especially in the informal settlements where majority of the households do not have access to basic sanitation.

According to Stats SA (2017) due to the incessant inward migration, a constant population growth has been experienced by the city and a bigger proportion of the population have no access to the basic services. The households' number in the city has had an average annual increase of 3 percent from 2006 to 2016 (City of Johannesburg, draft IDP, 2018/2019 Review). As the households' number increases an extra pressure is exerted on the subsisting infrastructure. In the medium term this will result in ineffective service delivery because the provision as well as maintenance of the formal household infrastructure takes some time to deliver. In order to avoid this situation, the City needs to be keenly aware of backlogs and work to neutralise these.

There is a total of 6.1 million households in the city. Of these the following service backlogs have been noted; (City of Johannesburg, draft IDP, 2018/2019 Review).

These challenges have been stemming from lack of proper archival and records management in the metropolitan which has spawned lack of accountability and transparency (City of Johannesburg Council, 2018). Lack of proper archival and records management systems and mechanism have not been put in place to secure vital information which is critical for effective service delivery, transparency and accountability in the metropolitan municipality. Although there is legislation that informs and regulates archival and records management at the City of Johannesburg municipality, records management has remained a fundamental challenge which has been inimical to effective service delivery in the metropolitan. There are scant empirical studies that have focused on Archival development and records management in the City of Johannesburg Metropolitan Municipality. There was, therefore, a need to evaluate the factors that affect the development of archives and records management in the City of Johannesburg Municipality.

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2.9 CONCLUSION

The review of an empirical literature has clearly indicated the importance of records management especially on how paper and paperless records need to be managed to improve municipality and service delivery. Various dynamics and challenges in managing records and development of archives have been identified. The review further explained the significance of records management policies, standards, procedures and proper records management practices for the perpetual existence and well-functioning of an organization. It is against this backdrop, that the research question of this study is to find out ways on the challenges can be addressed to improve service delivery by municipalities. This chapter also discovered the record life cycle and continuum theories that were deemed relevant to the study. These frameworks provided a theoretical foundation for the study to address the role records management practices in improving service in public organizations like Municipalities. Theoretical and empirical literatures were reviewed in accordance with the conceptual framework proposed for the study. Relevant literature to the objectives of the study was reviewed. The next chapter will present an overview of the study area and research methodology used for the study.

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CHAPTER THREE: RESEARCH METHODOLOGY

3.1 INTRODUCTION

The preceding Chapter focused on literature review and the purpose of this chapter is to outline the Research design and method used for the study. It will focus on discussing the research methodology and design, sampling techniques and data collection methods as well as data analysis. Its central objective is to critically explain and justify the research methodology and design, research instruments, sampling techniques and data collection that are used. The chapter also provides a brief description of the City of Johannesburg Municipality. Issues to do with pretesting, reliability and validity and adherence to ethical considerations are incorporated in this chapter .

3.2 RESEARCH METHODS

"Research methodology is a framework of procedures, practices and rules that are employed by researchers in order to solve research problems. It is a way that explains how research can be undertaken (Kumar 2005). According to Myers and Avison (2002:2), "Research methodology is a strategy of enquiry which moves from the underlying philosophical assumption to the research design and data collection". The term methodology merely means the way in which one proceeds to solve problems. In the context of research, it means the process one follows to answer the research questions or to solve the research problem. More so, Creswell et al (2003) maintains that research methodology refers to the entire process of a study".

There are various approaches to research methodology and these include the quantitative approach, qualitative approach and historical approach. Quantitative research can best be explained as a, "phenomena that collects numerical data that is

analysed using mathematically based methods (in particular statistics)" (Aliaga and Gunderson, 2000). Qualitative research methodologies on the other hand is a scientific approach that attempts to give meaning to certain experiences by describing human behaviour, belief systems and cultural phenomena (Langren, 2008). Historical research meanwhile as put across by Borg (1963) is, "the systematic and objective location, evaluation and synthesis of evidence in order to establish facts and draw conclusions about past events". In order to get a deeper understanding of the factors that affect the development of archives and records management; this study will use both qualitative and quantitative methodology. This combination of both qualitative and quantitative methods of research is also known as triangulation".

3.2.1 Triangulation

"Creswell, (2003) postulated that triangulation of research are defined as a method that merge elements of both quantitative and qualitative research method. Triangulation offers better generality and particularity, as well as magnitude and dimensionality verification and deeper understanding. It is inclusive, pluralistic, and complementary and it also encourages an assortment of approaches to the selection of methods and thinking and the actual conducting of the research (Johnson & Onwuegbuzie, 2004). The uniqueness of triangulation is that it utilises both quantitative and qualitative approaches to get an understanding and in depth meaning of a certain phenomenon utilising statistics and epistemological analysis

The complementarity of qualitative and quantitative approaches also intensifies the effect and enriches the adaptability of the research design (Gilbert, 2006). The qualitative and quantitative methods are complementary; the combining of the two methods is useful for a better understanding of the problem. According to Ngoepe and van der Walt (2010), the combining of the two approaches can lead to insights and

understanding that might be missed when a single method strategy is used. Each approach adds something essential to the ultimate findings. Ngoepe & van der Walt (2010) both qualitative and quantitative methods in their studies on records management programs. Both text as well as numeric information was utilized as the ultimate information denotes both qualitative and quantitative information.

Qualitative was collected through in-depth interviews, observations and document analyses and the extracted qualitative data was triangulated with quantitative data elicited through questionnaires. Claire (2014) stated that this approach combines the advantages of qualitative and quantitative methods and offset their disadvantages. The combination of both qualitative and quantitative approaches enabled the researcher to collect both qualitative and quantitative data and find ways of complement the two types of data. In order to evaluate factors that affect the development of archives and records management, the units of analysis that were used are managers, archivists, cleaners, records clerks and office assistance at the City of Johannesburg municipality".

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3.2.2 Qualitative

"Denzin and Lincoln (2005), qualitative research can be defined as a situated activity which studies things in their natural settings, in an attempt to make sense of, or interpret, phenomena in terms of the meanings people bring to them. Qualitative research enables the researcher to have deeper understanding of activities of people and social realities with regard to the development of archives and records management. Thus, to obtain an in-depth understanding of people's experiences, one needs to adopt a qualitative method of research which will assist the researcher to report on the findings. The researcher built a complex holistic picture, analysed words; reports detailed views of informants and conducted the study in a natural setting. The

qualitative approach examines the how and why certain decisions are made, not only the where, what and when. (Creswell, 2009:25)".

Although qualitative method has some disadvantages (time consuming and lacks generalizability), some psychological and social realities are best revealed through this research method. The intention is to understand the views of participants on a specific phenomenon, and, as such, the phenomenon can be understood from the perspective of participants (Creswell, 2003). In-depth interviews were used so as to extract qualitative data from municipal manager at the City of Johannesburg Metropolitan Municipality".

3.2.3 Quantitative

"According to Babbie (2007), quantitative research is an inquiry into an identified problem, based on testing a theory composed of numbers, measured with numbers and analysing using statistical techniques and the goal is to determine whether the predictive generalizations of a theory hold true. The quantitative approach, with proper sampling allows for the measurement of many subjects' reactions to a set of questions. Since each question has a limited set of answers, the results can be compared and analysed statistically. In addition, they can also be generalized to the larger population within the known limits of error (Warwick & Lininger, 1975; Patton 1986). Quantitative method relies on measurements to compare and analyse different variables. Bless et al (2006) state that this form of research considers how often a variable is present and generally uses numbers to communicate the amount.

Quantitative method helps the researcher to be able to compare the respondents' answers. Surveys make use of large samples which permit more detailed analysis and quantitative surveys are also good at generalizing about large groups, for instance questionnaires can be distributed to hundreds possibly thousands of people and the

survey findings can be generalized to the whole population. The form of Quantitative research that was used was the survey in which archivists, clerks, and administrators at City of Johannesburg Municipality were asked a series of questions and it is greatly ideal for studying large numbers of people .

3.3 RESEARCH DESIGN

This study used a case study research design. The term research design is defined from different perspectives. Babbie & Mouton (2001:46) defined a research design as a road map outlining how the researcher will conduct the research. Bromley (1990) defined it as a systematic or methodical inquiry into an event/s with an aim to explain or describe the phenomenon under study. Research design is defined as a plan or structured framework of how the researcher intended to conduct the research process in order to solve the research problem (Babbie & Mutton, 2001). A case study is defined as an empirical inquiry that investigates a contemporary phenomenon within its real-life context. George & Bennett (2005) mentioned that case studies are used to illustrate problems and provide opportunities to gain understanding in complex situations. A case study is known as triangulated research strategy. Yin (2013) mentioned that the need for triangulation arises from the ethical need to confirm the validity of the presentation in case studies. This could be done by using multiple sources of data collection methods. Data collection methods such as questionnaires and interviews were employed in this study to collect information from the respondents. The research design is based on inductive reasoning. Once the data is generated, relationships and patterns are discovered through close scrutiny of the data. The data was analysed and interpreted by means of inductive abstraction and generalization as outlined by De Vos & Strydom (1998: 336) .

3.4 POPULATION AND DATA COLLECTION TECHNIQUE

"According to DeVos (2005), a population is a set of entities where all the measurements of interest to the researcher are represented. Population is the collection of all the observations that the researcher is interested on (Quinn & Keough 2002:14). Target population in the city of JHB Municipality is 80 people in the records management department of the municipality. The researcher called the municipal manager of the Johannesburg city municipality and ask for the number of people who work under the sector of knowledge management, this 80 includes managers, archivists, cleaners, records clerks and office assistance

The census method was used to select all the 80 members of the records management department in the metropolitan municipality. According to (Ott & Longnecker, 2015) when the whole population is used for a study, the method is called a census. A census and a sample survey have numerous common features such as use of questionnaires for data collection, as well as the need for data processing and editing. The census method has a merit that data is obtained from each and every unit thereby enabling totals for the population group. Although the census method has the disadvantage that it is costly and time-consuming, it has a merit that it is reliable and accurate. A census method was used because data saturation was anticipated to be attained when the whole population was used for the study.

The researcher interviewed 4 records managers and also administer 28 questionnaires which gives a total of 70 respondents which will be from 4 archives (15 archivists, 36 administrators 20 clerks and 5 secretaries from these four institutions the research only took those with the qualification of Archives & Records Management and the categories for this respondents will be administrators, archivists clerks, records managers.

In the social researches, especially in a qualitative research, people are mainly units of analysis. The widely accepted rule is that data should be collected on the lowest level unit of analysis possible (Bernard & Grey, 2010). The underlying philosophical underpinning of sampling is the fact that accurate information about the entire population may be obtained by examining a portion of the total group (group). Therefore, to obtain information on the nature of records management, the researcher selected the entire population which is composed municipality workers and management. Hence a total of 105 participants was selected for the study. A small sample was taken so as to avoid data redundancy where the researcher will continue to receive the same information from many people. The adequacy of the research data was attained when sufficient data had been collected so that saturation and variation were both understood and accounted for".

3.5 METHODS OF DATA COLLECTION

Burns and Grove (2005) defined data collection as the precise and methodical collection of data related to explicit objectives and questions of the research study. The research instruments used in data collection were informed by the objectives of the study. For the purpose of this research, the data collection tools/techniques and instruments that were used includes in-depth interviews, survey questionnaires and document analysis.

3.5.1 Questionnaire

Questionnaires were used to elicit information from archivists, clerks, and administrators at City of Johannesburg Municipality. The main purpose of using a questionnaire is to obtain facts and opinions about a phenomenon from people who are informed about a particular issue. The main reason for using a questionnaire in

this study was to evaluate the factors that affect the development of archives and records management in the City of Johannesburg municipality.

In this study self-administered questionnaire with closed and open - ended questions were used to gather information. Self-administered questionnaires are easily distributed to a large number of people and they allow anonymity. Bless and Smith (2006) mention that questionnaires tend to encourage frank answers and also help to eliminate interviewer bias. According to Powell (1985), questionnaires also save time and the researcher can facilitate the collection of large amount of data in a relative short period of time. Questionnaires allow respondents to answer them on their own time. According to Wimmer & Dominick (1991), open ended questions have advantages that allow the respondents freedom in answering questions and the chance to provide in- depth responses.

Bailey (1978) mentions that a closed question helps respondents to understand the meaning of the question better. Questions in a closed questionnaire can be answered within the frame work and responses can consequently be compared better with one another (Bailey, 1978). The questionnaire in this study was constructed in such a way to gain useful and relevant information from the participants. All questions were based on the objectives of the study. The questionnaires were distributed to archivists, clerks and administrators. The completed questionnaires were collected from the participants after by the researcher after two days.

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3.5.2 Design of a Questionnaire

The Questionnaire was designed to befit the objectives of the study which were outlined in chapter 1. The questionnaire was designed in such a way that some sections will be closed ended so as to extract quantitative data and some sections will

be open ended so as to extract qualitative data. The design of the questionnaire was outlined as follows:

For the purpose of this study, the questionnaire was made up of thirty (30) questions. The questionnaire was structured into close-ended and a few open- ended questions. The questions in the questionnaire focused on awareness and knowledge of records management which were close-ended questions; records keeping systems which were mostly close-ended whiles a few were open-ended questions; compliances on good records practices were mostly close-ended and a few open-ended questions; records management challenges and suggestions were entirely open-ended questions.

3.5.3 In-depth Interviews

In-depth interviews will be used to extract information from 4 managers at the City of Johannesburg Municipality. In-depth interview is defined as a data collection technique that is employed in qualitative research and it involves holding exhaustive individual interviews with a smaller number of participants in order to elicit their views, perspectives and opinions on a particular program, event, idea or situation (Boyce & Neale 2006:3). The researcher conducted a face-to-face interview with the records managers to gather vital information that the questionnaire was not able to provide. In view of that, an in-depth interview guide was designed to elicit vital information from the records professionals at the municipality to support the findings from the questionnaire. The face-to-face interview with the head of records unit was necessary because the study wanted to ascertain the records keeping practices, records keeping standards, records management systems and strategies, the challenges the municipality is encountering in their attempt to keeping records and most importantly,

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the involvement of records professionals in the designing of records keeping systems for the municipality.

3.5.4 Interview Guide

An interview schedule was used to administer the in-depth interviews to the records managers. The interview guide consisted of ten (10) questions which covered areas such as records management standards and systems, programs, archival information, ICT information and challenges in managing records. The information collected from the records management unit was used to complement the findings derived from the questionnaires. The interview questions in the in-depth interview schedule were open-ended so as to permit the participants to disclose their feelings, thoughts, views and perceptions pertaining to the factors that affect the development of archives and records management. Topics in the interview schedule will be derived from the research objectives and questions. The interview schedule helped the researcher to ascertain the fundamental areas that were supposed to be covered in the interviews. According to De Vos. (2005:36) an interview schedule enable a researcher "to think about difficulties that might be encountered, for example in terms of question wording or sensitive areas". The length of the interview sessions varied. The interviews guide provided consistency and structure to the gathering of information amongst the records managers and especially befitted to the evaluation of the factors that affect the development of archives and records management in the City of Johannesburg municipality. The interview questions were in the form of open-ended questions in order to allow detailed opinions and perceptions of the participants.

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3.5.5 Document Analysis

According to Bowen (2009:3) document analysis is a systematic procedure for reviewing or evaluating documents—both printed and electronic (computer-based and Internet-transmitted) material. Like other analytical methods in qualitative research,

document analysis requires that data be examined and interpreted in order to elicit meaning, gain understanding, and develop empirical knowledge (Corbin and Strauss, 2008). The researcher acquired data to be used in this study from different secondary sources and databases. These included government reports, nongovernmental organizations report and publications. Literary work, such as articles and relevant books concerning the development of archives and records centres in City of Johannesburg Municipality were used. The researcher deemed that it is necessary to make use of critical text in practical view, text obtained in public and private libraries as the source of information

3.6 RELIABILITY AND VALIDITY

The study ensured reliability and validity through pre-testing of the questionnaire and interview guide, which led to revision and refinement of the questionnaire to make sure that respondents understood the questions as intended by the researcher., The questionnaires were piloted on a small group of people at the City of Johannesburg Municipality before administering the questionnaires to the municipality workers. The people involved in the pilot study were ICT archivist, clerks and administrators and managers at the University of Forte Hare. The pilot study tested whether the questions were clear and that could be understood by different respondents. The questionnaire and the interview guide designed proved to be reliable after the pilot study. The pilot study revealed that the questionnaire should not take more than thirty-five (35) minutes to complete.

3.6.1 Pre-Testing

Pretesting is a very crucial procedure when conducting research so as to ascertain reliability and validity in qualitative studies (Kumar, 2005). It validates both the data collection techniques and the interpretation of findings. A pilot study will be undertaken

to assess if there are any challenges. The pretesting in survey studies should involve the administering of questionnaires to a small group of people who have the same characteristics as those in the target population (Kumar, 2005).

The researcher embarked on two (2) separate pre-testing to check for the clarity of expressions and effectiveness of the questionnaire. The aim of the pre-test was mainly to eliminate ambiguity and ensure that respondents understood the questions as intended by the researcher. The pre-testing of the questionnaire was mainly done by the researcher. After the design of the questionnaire, about 25% of the questions were open-ended whiles the remaining 75% were close-ended. Totally, the questionnaire had thirty (30) questions.

The first piloting was done to find out how well the people understood each question and the time it would take to respond to each questionnaire. There were five (5) people involved in the first pre-testing stage. The outcome of the first pre-testing revealed that the questions were sometimes technical while the average time used for answering the initial five (5) questionnaires was fifty-five (55) minutes. The ten (10) questions that were considered to be technical were expunged from the questionnaire.

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The second pre-testing was done after providing corrections to the issues raised at the initial pre-testing stage. There were five (5) people involved in the second pre-testing stage. The five (5) people involved in the second pre-testing were different from the initial five (5) people involved in the first pre-testing. The outcome of the second pre-testing reduced the average time from fifty five (55) minutes to thirty two (32) minutes and the number of questions was reduced from thirty five (35) to 30 thereby allowing the researcher to rely on the thirty (30) questions in the questionnaire to collect data at City of Johannesburg Municipality.

3.7 TRUSTWORTHINESS

It is of overriding significance that every research commenced warranties trustworthiness. “To achieve this, the researcher should observe these four concepts namely: credibility, dependability, transferability and confirmability” (Riege, 2003:25).

3.7.1 CREDIBILITY

Credibility refers to the congruence degree between the findings and reality (Shenton, 2004). Thus credibility calls for the presentation of the true picture of the phenomena under investigation. In this study the researcher ensured that the credibility criterion is observed and trustworthiness is established through the adherence to the appropriate and recognized research methods.

3.7.2 DEPENDABILITY

Dependability or reliability in quantitative research refers to the consistency and accuracy of the research findings over an extended period of time (Golafshani, 2003). According to Shenton (2004) it is not an easy task to ensure that a study is dependable or reliable. To meet this criterion in the study future researchers will be allowed to repeat the study.

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3.7.3 TRANSFERABILITY AND CONFORMABILITY

To ensure transferability the researcher provided a comprehensive depiction of the setting in which the study was being conducted. This allowed the other researchers and stakeholders to judge for themselves whether the contexts are the same and whether the findings can be transferable to other settings. Conformability is more relevant in quantitative compared to qualitative research (Tappen, 2011). Triangulation in this study also ensured that the researcher remains objective throughout the study.

3.8 DATA ANALYSIS AND INTERPRETATION

"Data analysis is the process of extracting, gathering and modelling data so as to obtain processed information used to reach conclusions, predict results or to make decisions in various fields" (Criswell, 2009:24). Data analysis is the process of data evaluation using logical and analytical reasoning to scrutinize each element of the provided data to understand whether there are trends or patterns that are identifiable or sequestered, or to establish common themes in interpretation.

Qualitative data that was gathered from participants were transliterated and analysed thematically. Klenke (2016:76) defines "thematic analysis as a process of encoding qualitative information and the encoding requires an explicit code". Thematic analysis allowed the researcher to persue a comprehensive discussion the common themes from the in-depth interviews. Specifically, the data that was gathered was categorised into themes which consisted specific and broad groups. Broad categories were derived from the study objectives whilst specific categories were established from a detailed data examination after the identification significant or frequent themes. Headings were consigned to the various categories in order to classify their meaning and content.

Quantitative data collected was analysed through the use of the SPSS ('Statistical Package for Social Sciences') (Version 25) method. SPSS is a software package that is utilized to compute statistical analysis. SPSS is a quantifiable method for data analysis and relies on the use of standardized procedures for statistics. Azen & Walker (2014:23) cited that "therefore, quantitative analysis (SPSS) makes it possible to see patterns of similarity and variability i.e. factors contributing to the size and direction of change and the significance of any differences between groups under study". Since statistical techniques are regular, analysis logic identical across all the cases and is less likely to be susceptible to researcher bias (Grey & Kinnear, 2012). The pro of

employing SPSS statistics is that allows the users to use innovative data preparation and analysis tools within Excel.

3.9 ETHICAL CONSIDERATIONS

Jonasson & Ingason (2013) noted that ethics denotes to what is good and just for individuals, groups, organizations and society Jacobs (2007:44) defined “research ethics as a set of rules, codes and norms which govern what is acceptable or unacceptable when conducting a research”. This study was guided by ethical considerations at all times. Professional bodies propound that ethics should espouse issues like; collaborative researchers’ relationship, intellectual property, mentoring relationships, data fabrication and plagiarism among others (Nueman 2000:45). Research ethics administers the interaction between participants and researchers. There was strict observance of the ethical considerations process of research. There are several ethical issues researchers are supposed to consider when conducting a research. During the entire study, the researcher jettisoned all potentials of engaging in unethical practices which could have affected reliability and validity of the study. The study participants were educated about the overall nature and purpose of the research so that they could have informed consent before participating in the study. The participants were asked to fill an informed consent form which is attached at the appendices section. Only those who consented and were willing to take part were interviewed.

The participants right to privacy and confidentiality was also strictly observed by making sure that all their responses were confidential. This was attained through the avoidance of presenting information in ways in which other participants could easily learn how some or a particular respondent might have answer back to certain statements or questions. Anonymity was also guaranteed through the separation of

the respondents' identities from the information they provided by the use of alias names or pseudo-names. The researcher also observed other essential principles of the ethics of research; the respondents were provided with the freedom to withdraw their participation at any stage of the process of research. This research was piloted as per the Research Protocol of the University of Fort Hare. The researcher sought permission from the University of Fort Hare Ethics Committee. The researcher named sources where the information used in the study was not his own. Information gathered for this study was used for academic purposes only and was preserved with strict discretion.

3.10 CHAPTER CONCLUSION

This chapter discussed the methods, processes and instruments used for the entire study. It has critically explained and justified the research methodology and design, research instruments, sampling techniques and data collection that are used. In view of that, a combination of qualitative and quantitative approaches was adopted for the study. A semi-structured questionnaire and an interview guide were designed to elicit information from the staff and records managers at the City of Johannesburg Municipality. Although the study relied on both primary and secondary data, the primary data was basically used for the analyses and discussions. The data was analysed using Microsoft Excel 2007.

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CHAPTER FOUR

DATA ANALYSIS AND DISCUSSION OF FINDINGS

4.1. INTRODUCTION

This chapter provides an analysis, interpretation and discussion of the data collected through questionnaires. The aim of the study was to evaluate the factors that affect the development of archives and records management in the City of Johannesburg municipality. The objectives of the study were to:

- Identify records management strategies that are currently in place for the development of Archives and records management.
- Establish whether the City of Johannesburg municipality has a policy and a legislative framework on the development of archives and records management.
- Identify whether staff receive training and acquire skills for the preservation and conservation of records.
- Examine whether the City of Johannesburg municipality have the records management system in place to manage the records that are created in the department.

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A combination of qualitative and quantitative approaches was adopted for the study. Creswell & Creswell (2017) postulated that these approaches are defined as a method that merges elements of both quantitative and qualitative research methods. This approach was used because it is inclusive, pluralistic, and complementary and it also encourages an assortment of approaches to the selection of methods and thinking and the actual conducting of the research (Harpreet & Chandigarh, 2015). It offers

better generality and particularity, as well as magnitude and dimensionality verification and deeper understanding. In this study, qualitative and quantitative methods complimented each other, which was useful for a better understanding of the problem.

Respectively, semi-structured questionnaire and an interview guide were designed to elicit information from the staff and records managers at the City of Johannesburg Municipality. The census method was used to select all the 80 members of the records management department in the metropolitan municipality. The census method was used because data for small areas was available, and a satisfactory response rates are achieved. The study gathered both primary and secondary data for analysis and discussions. In-depth interviews were conducted with 4 records managers in order to collect qualitative data. Questionnaires were distributed to 76 personnel (of which 36 were administrators, 15 were archivists, 20 were clerks and 5 secretaries all in the records management department. There was a 100% response rate.

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The response rate for the study was very high, as highlighted by the analysis below, which means there were sufficient responses to the most of the questions in the research instruments. The descriptive statistical analysis technique was used to analyze qualitative data. Quantitative data was analyzed using a computer software programs, (SPSS Version 25) and Microsoft excel. The findings are analyzed and presented, under the rubric of two theoretical frameworks. The Continuum Model and the Record Life Cycle Model. Furthermore, the findings were analysed and interpreted in relation to the research objectives.

In conducting qualitative data analysis, the researcher engaged data reduction processes in which the qualitative data obtained from field notes, interview transcripts, and observations were selected, reduced organized, simplified, abstracted and

transformed to make it more understandable and manageable. Presentation of data was done in accordance with the core themes of this study, which includes records management strategies, policy and legislative frameworks, training and skills development, records management system and challenges for development of archives and records management at the City of Johannesburg municipality.

4.1.1 BIOGRAPHIC DETAILS

This section provides the biographic details of all the respondents in the department of records management at the City of Johannesburg municipality. Biographic details are very crucial in understanding of factors that affect the development of archives and records management. Furthermore, biographic information is very significant in the sense that it influences the responses of the participants. For instance, the perspectives of the respondents on the subject under study was influenced by their age and gender, which is critical to the conceptualisation of variables under study.

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4.1.1.1 Gender of the Respondents

Gender is crucial in research as it influences communication, decision-making, and uptake of interventions like training and development programs in the department of records management. Gender identity, gender relations and institutionalized gender influence the way in which an implementation strategy works, for whom, under what circumstances and why. Different views were extracted from each gender category and this produced rich findings, which adequately answered the research questions and reflected on the reality pertaining to development of archives and records management in the department of records management. Fig 4.1 shows the gender characteristics of respondents

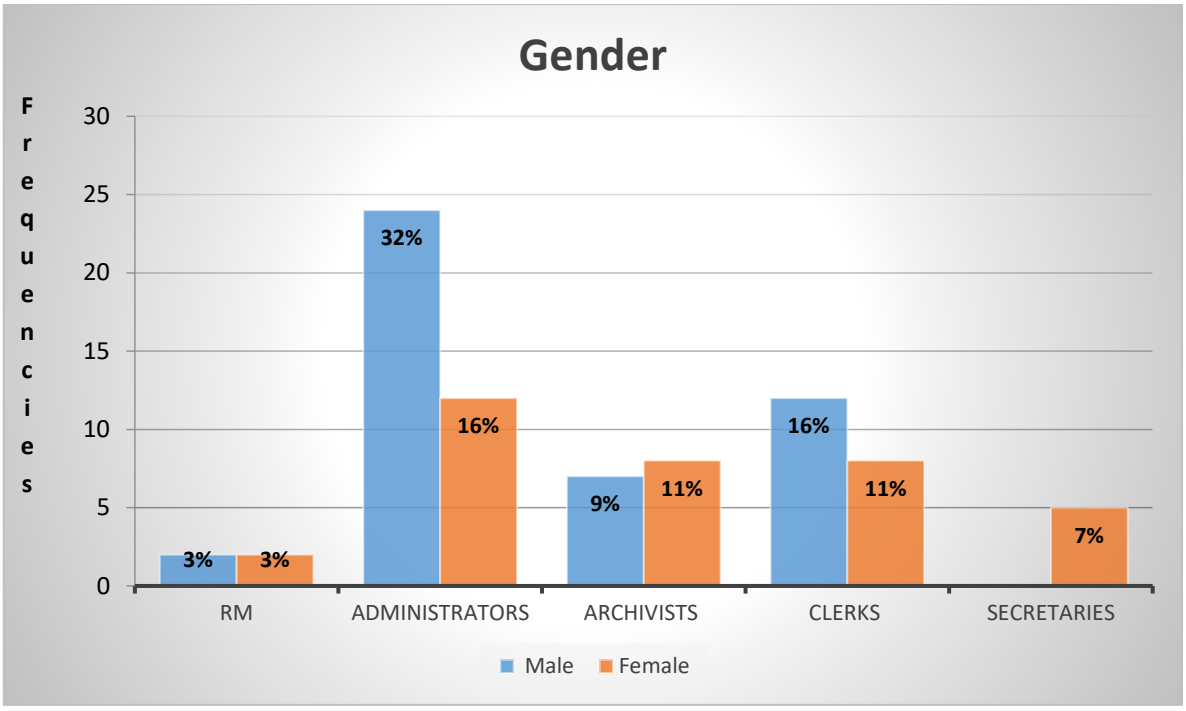

Figure 4.1: Gender Characteristics of respondents

Gender analysis took into account all the 80 study participants (4 records managers who were interviewed, 36 administrators, 15 archivists, 20 clerks and 5 secretaries were participated in the survey). This was significant to ascertain whether there is gender balance in the organization. However, the other quantitative analyses in the preceding sections will focus on 76 employees who participated in the survey.

The total number of male participants was 48 (60%) and the total number of female participants was 32 (40%). The City of a Johannesburg still needs to do more to ensure that there is more representation of females, particularly in the records administrator position. Nonetheless, the numbers of males and females were substantial and enabled the researcher to get diverse views from both males and females which adequately answered the research objectives.

4.1.1.2 Age of the Respondents

Age is significant in research as it reflects the job efficiency, experience, adaptability to technological changes in the field of records management, and receptiveness to training and development programs (Niessen *et al,* 2010). The analysis of the ages of the staff in the records management highlighted majority of the workforce is still youthful. Below the age of 40 and a minority are almost reaching retirement; in the age range of 51-60 years. Table 4.1 reflects the age of respondents.

Table 4.1: Age of Respondents Frequency Table

Variable	**Frequency**	**Percent**
Participants		
Under 20	11	14
21-30	32	42
31-40	19	25
41-50	7	9
51-60	52	7
60	76	3
Total		100

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The demographic data shows that the highest numbers of people who participated in the study were in the age range 21-30 years were 32 (42%); The table also shows that 19 (25%) of the participants; fell in the age range of 31-40. The number of participants who fell under 20 years were 11 (14%). About 7(9%) of the participants; fell in the age range of 41-50 of which, 7 (9%) of the participants fell in the age range of 51-60.

The lowest number of the participants was in the age range of 60 years and above were 2 (3%). The diverse age groups meant that the researcher was able to solicit diverse views and perceptions due to different work experiences in the records management department. This enabled the researcher to come with in-depth information regarding factors that affect the development of archives and records management in the department of records management at the City of Johannesburg Municipality. According to Malinga (2017) age is a key aspect in analyzing research findings.

4.2 PROFESSIONAL DESIGNATIONS AND ROLES OF THE PARTICIPANTS IN THE ARCHIVES DEPARTMENT

Knowledge of the professional designations of the participants was important in assessing whether they had the capacity to answer the researcher's questions. The professional designations were also key in assessing whether the participants were capacitated to leverage development of archives and records management in the municipality. Respondents were asked about their professional designations. All the responses are depicted on Fig 4.2.

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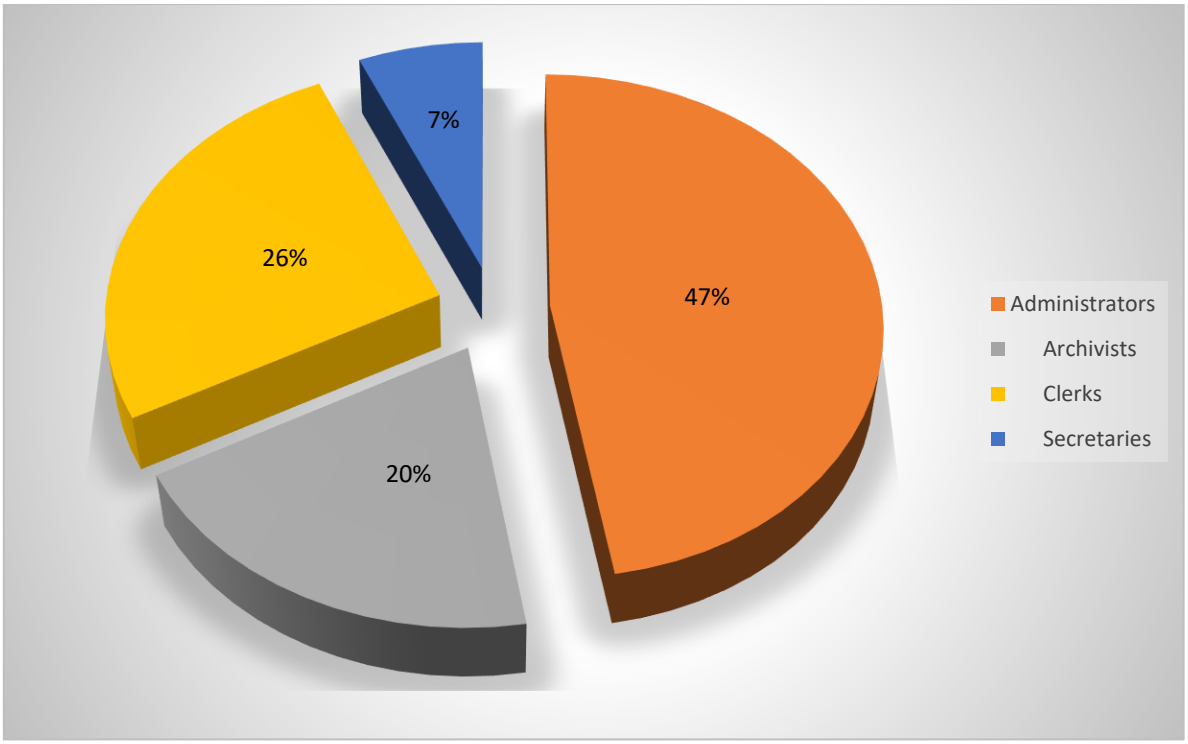

Figure 4.2: Professional Designations of Participants

As depicted in Fig 4.2 the professional designations of the 76 participants who participated in the survey 36 (47%) were administrators, 15 (20%) were archivists, 20 (26%) were clerks and 7% (5) were secretaries. All these personnel directly deal with records in the department of records management at the municipality.

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4.2.1 HIGHEST QUALIFICATIONS OF THE PARTICIPANTS

Education levels were categorized into six groups that is Grade 7, Matric, Certificate, Diploma, Degree and Master's Degree. Respondents were asked about their highest qualifications. The responses are depicted in Figure 4.3.

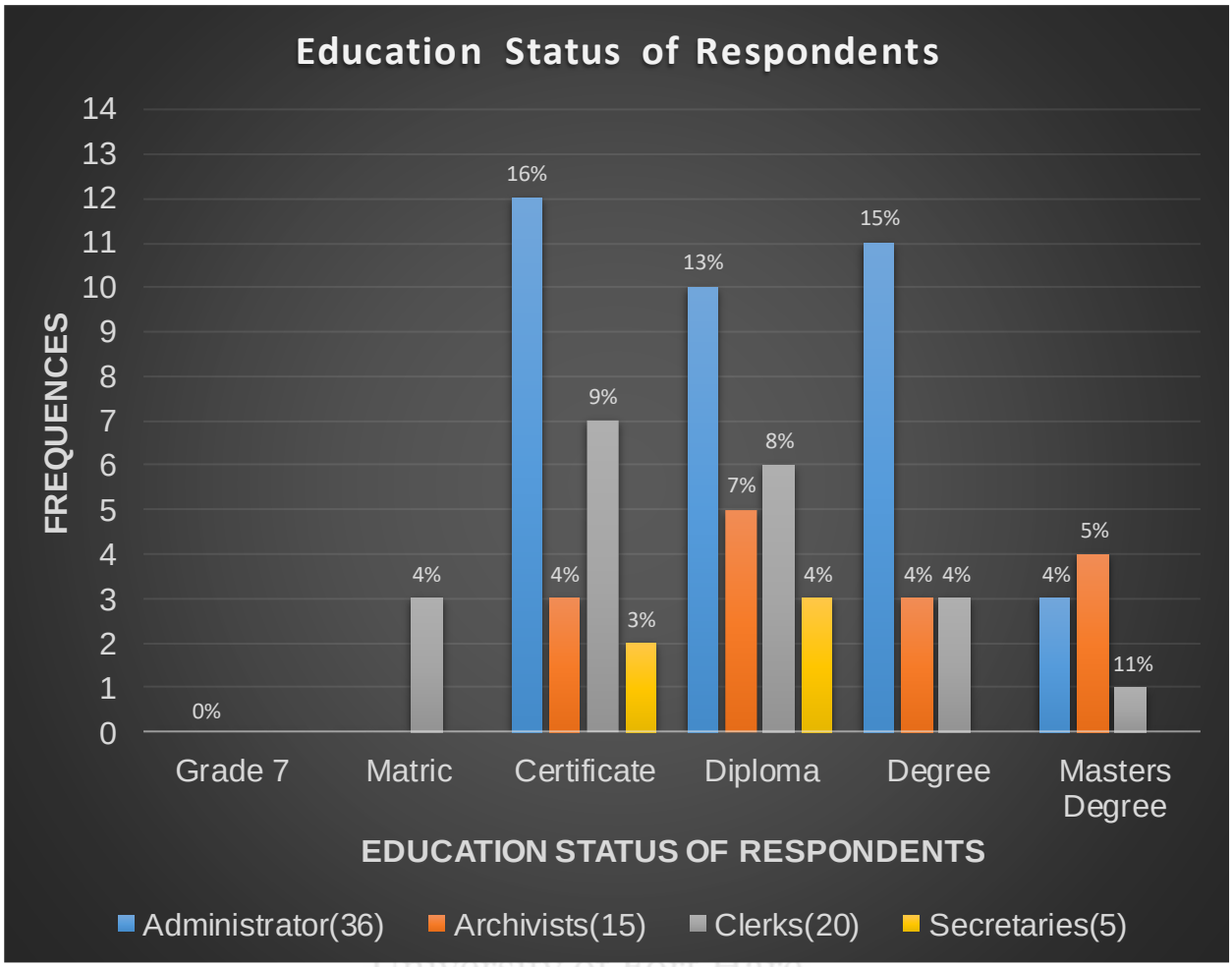

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Figure 4.3:Education Status of Participants

As depicted on the diagram, they were only 3 (4%) (Clerks) participants who had the lowest qualification in the form of matric certificate; 24 (32%) of the participants; had a certificate; Also, 24 (32%) of the participants had a diploma; 17 (22%) of the participants had higher institution degrees and 8 (11%) of the participants had a master's degree. Education plays an integral role in empowering people on the economic, political and social conditions in the organization. According to Gupta, (2016) education is instrumental in the development of archives and records management.

Education increases the stock of human capital, which in turn enhances labor productivity and output (Smith *et al.* 2016). Therefore, an analysis of the educational

levels of the participants in this study was crucial in evaluating the factors that affect development of archives and records management at the City of Johannesburg municipality. The analysis generally reflects that majority of the participants have basic education in the form of certificates which is crucial for development of archives and records management at the Municipality.

4.3 SECTION B. IDENTIFICATION OF RECORDS MANAGEMENT STRATEGIES THAT ARE CURRENTLY IN PLACE IN THE DEVELOPMENT OF ARCHIVES

4.3.1 Strategies in Place for Records Management

This subtopic addresses one of the study objectives, which sought to identify the records management strategies that are currently in place in the records management. Records management strategies are key in determining the types of records used, the archival development and records management system used, the records management policy and the kind of personnel employed in the records management department (Franks, 2013). Therefore, the participants were asked to indicate the records management strategies used in the organization and their responses are illustrated on Fig 4.4.

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Figure 4.4: Strategies put in place for records management

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Records management strategy is key for information and records management governance framework. The records management strategy outlines the organization's strategy for the management of record assets and information (Franks, 2013). Therefore, the respondents were asked to indicate their records management strategy at the City of Johannesburg. As depicted on Fig 4.4, all the participants 76 (100%) indicated that archiving of files is the dominant records management strategy adapted at City of Johannesburg Municipality. The horizontal labels like *'A single RM System Integrated across the Whole Organization', 'Outsource/Cloud Service', 'We have no strategy for electronic Records'* are empty because there were Zero responses under these labels.

Archiving of files as a records management strategy is an offline storage of files and records for audit, legal, historical and other purposes making use of CDs, tapes, hard drives, flush disks or other long-term media. The majority of the participants 51 (67%) of the participants indicated that they back up their e-mails as records management strategy in the organization. An email backup entails collection of the data stored on (usually detachable) non-volatile storage media for recovery purposes in case the data original copy is misplaced or becomes inaccessible. “Thus, a backup contains a snapshot of the current state of the mail store. It does not contain the emails deleted from the mailbox or downloaded to the user’s PC between two backups” (Uttam, 2016:24). Approved retention times must be applied to backups containing copies of the email records.

4.3.2 Effectiveness of the Strategies in Enhancing Archival Development and Records Management at the Municipality.

This subtopic addresses one of the study objectives, which sought to identify the records management strategies that are currently in the records management department. The respondents were asked to indicate on the effectiveness of the records management strategies in place at in the records management department at the City of Johannesburg municipality and their responses are depicted, on Fig 4.5

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Figure 4.5: Effectiveness of strategies

As depicted on the diagram all the participants, 76 (100%) of the respondents indicated that the records management strategies are in place (Archiving Files and Email Backups) in the records management department are slow. The horizontal labels like *'Not yet effective', 'It is still being Implemented but it is promising', 'It is not effective at all', Not effective due to Resource Constraints', 'Not yet sure at this implementation phase'* are empty because there were Zero responses under these labels.

This affects the progress for the development of archives and records management. Although, the respondents felt they were going in the right direction. Archiving of files and email back-ups are important but not ideal on their own in dynamic technological and electronic records management contexts or environment. The continuum model prescribes the archivists, records administrators and managers to be involved together with information systems designers in the creation of technologically advanced and secure records management systems (Svärd, 2013).

4.3.3 Presence of Separate Records Repositories.

This subtopic addresses one of the study's objective, which sought to identify the records management strategies that are currently in the records management department. The participants were asked whether there are separate repositories in the records management department and their responses are depicted on Fig 4.6. Separate records repositories are important because they keep records that are permanently valuable to the municipality. Repositories act as the substitute for the meeting of other pertinent best practice standards or guidance, which applies to records management and archival development.

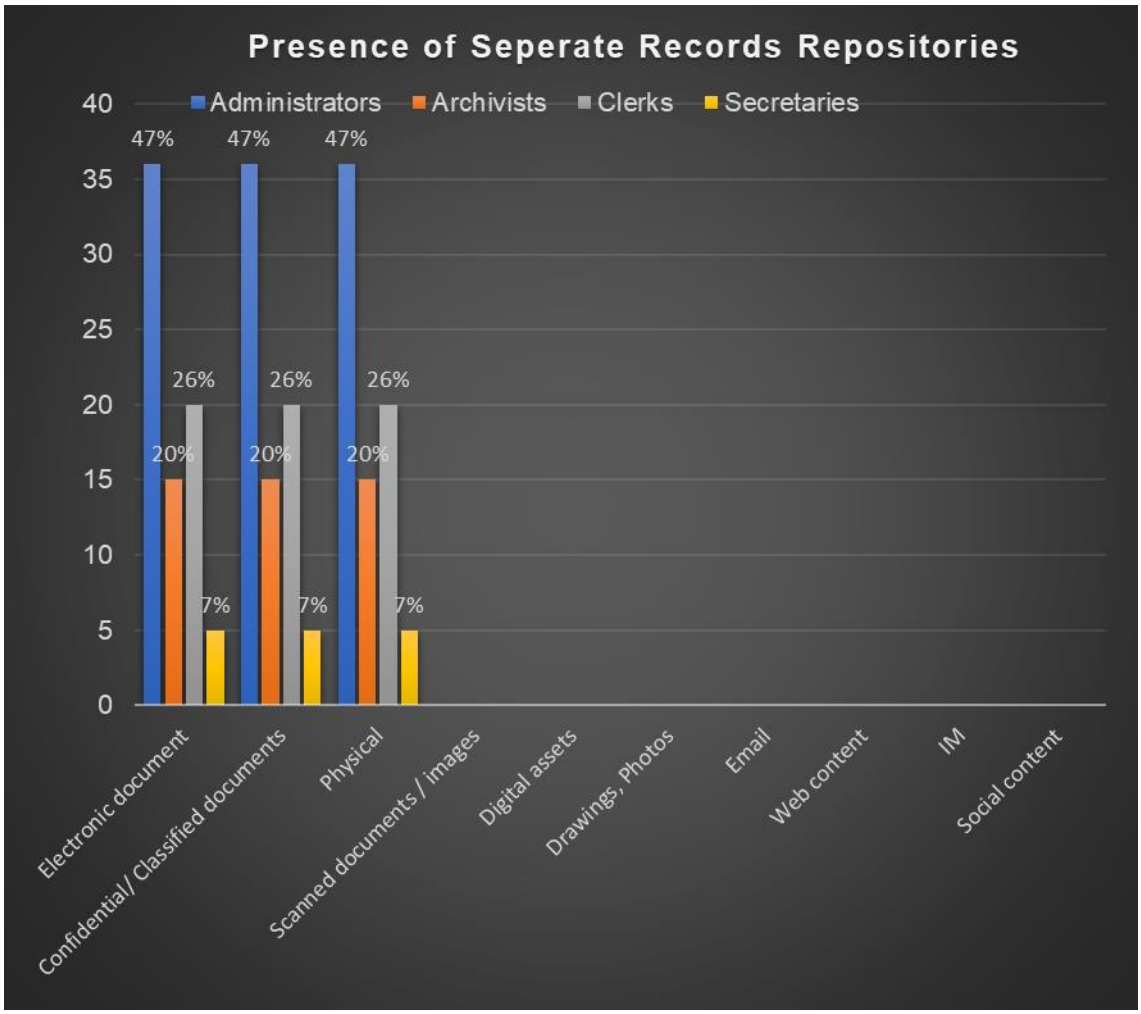

Figure 4.6: Presence of separate repositories

The participants were asked whether there is a separate records repository. As illustrated by the diagram all participants; As illustrated by the diagram all participants; 76 (100%); 36 (47%) administrators, 15 (20%) archivists, 20 (26%) clerks and 5 (7%) secretaries indicated that they had separate records repositories for electronic documents, confidential classified documents and physical records. The horizontal labels like *'Scanned Documents/Images, 'Digital assets', 'Drawings, Photos', 'Email', 'Web content', 'IM', 'Social Content'* are empty because there were Zero responses under these labels. According to Bjork et al (2013:18) it generally a best practice to 'send active, passive and even data" into separate repositories.

The researcher observed that the department of records management at the City of Johannesburg Municipality has at least managed to split data either on geographical locations of their offices and subnet for electronic, Confidential/Classified documents and physical records. The researcher observed that each repository is assigned an Internet Protocol range for electronic records and the assignment of a separate repository to each geographically separated office make the evaluation and analysis of records an easy process. While similar records evaluation and analysis can still be conducted records were sent to the same records repository, it will be easier and simpler when repositories are separated and logically arranged in the organization. Records in the separate records repository remain the custody of the organization that created them or received them, hence the creating organization controls access to the separate records repository (Lappin, 2010).

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4.3.4 Restructuring of the File Plans

On the same objective the study, sought to identify the restructuring of the existing file plans in the department of records management. File plans entail the organizations pre-defined classification systems that are implemented by the whole organization

(Weisinger, 2014). A file plan facilitates the efficient storage, retrieval as well as disposal of records. The primary purpose of restructuring file plans is to improve the filing, storage and retrieval of records (Weisinger, 2014). The participants were asked whether they had restructured their file plans so as to simplify and improve user accuracy. The responses of the participants are depicted on Fig 4.7.

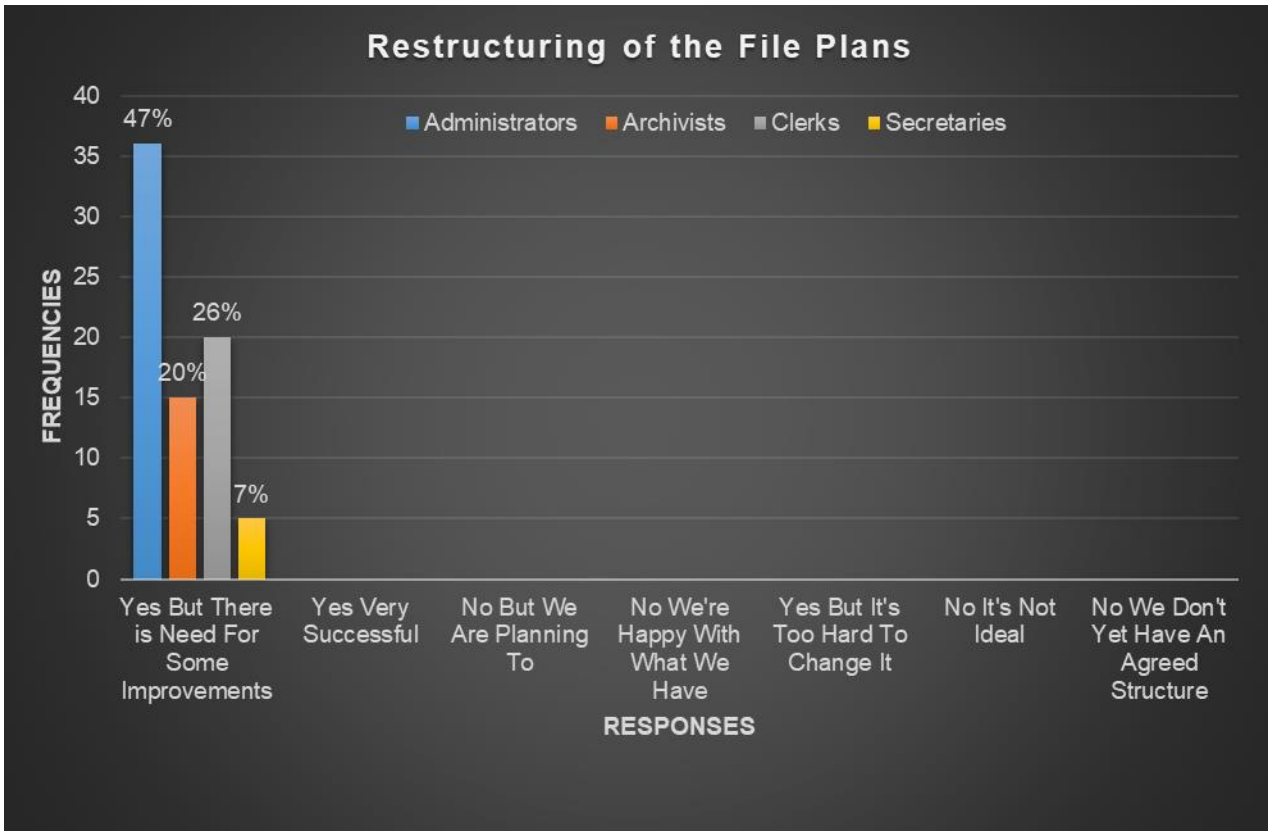

Figure 4.7: Restructuring of the file plans

All the participants 76 (100%) indicated that they had restructured their file plans but there was need for some improvement in their file plans. The horizontal labels like *'Very Successful' No but we are planning to', No we are happy with what we have', 'Yes but it's too hard to change it', 'No its not ideal', 'No we do not have an agreed structure,* are empty because there were Zero responses under these labels. Ineffectiveness in file restructuring results in control systems that are ineffective or

fallen into disuse and many closed files may accumulate making it even more difficult to for records retrieval (Read & Ginn, 2015).

Consistent restructuring of file plans ensures that records are physically protected and evidence-based paper remains accessible and readable overtime. Ngulube & Ngope (2010:29) point out “that a record classification system provides the means of knowing what records exist and where they are kept in an organization and if they are easily retrievable”. Ngulube (2010) stated that the formation or adoption of a good system of records classification by an organization can save time that is spent single record searches. The author additionally mentioned that there are numerous kinds of classification systems used for classifying records. Records must be managed in an effectual manner every time. Where records are managed properly, records staff can spend most office time searching for a single record.

4.3.5 Consideration of the cloud system at City of Johannesburg Municipality.

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This subtopic assesses the consideration of the cloud system as a strategy in the records management department. Technological revolution in records management compels records managers to consistently adapt to the various technological changes and should be able to proactively solve records management problems in the wake of the dynamic technological environments as well as new formats for information. (Richards, 2018). The participants were asked whether the department of records management at the City of Johannesburg Municipality was considering using a cloud system as a records management strategy in the department. The responses of the participants are illustrated on Fig 4.8.

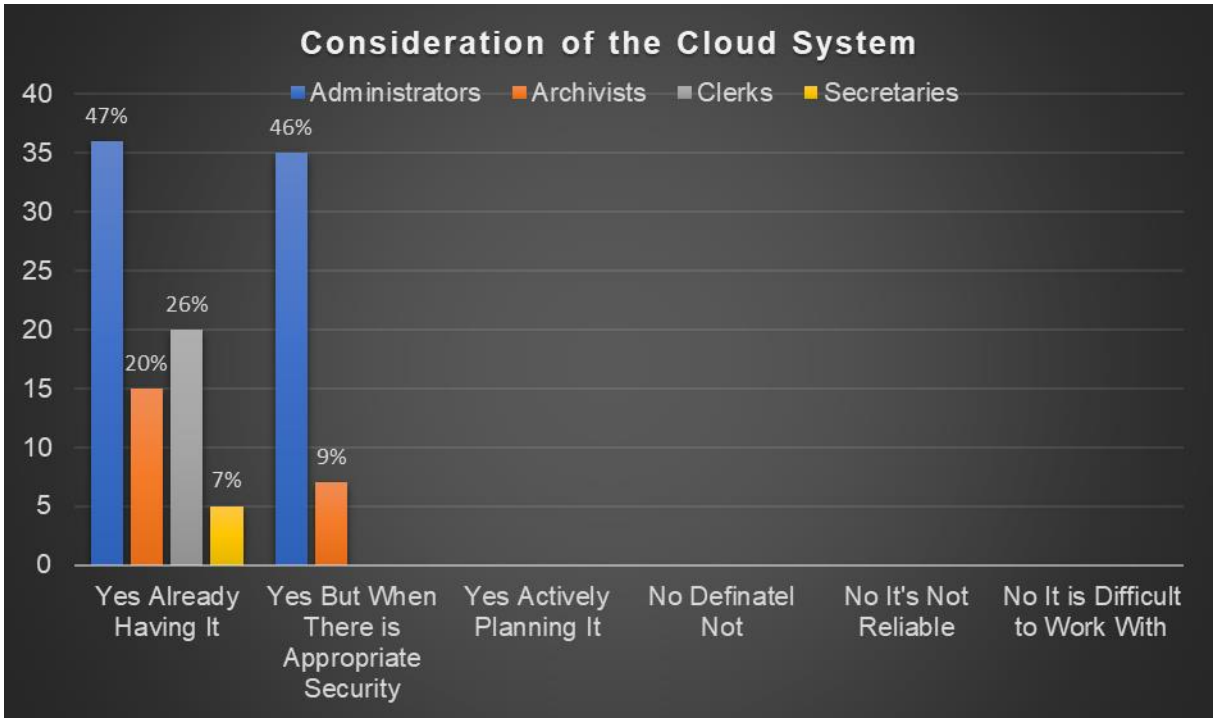

Figure 4.8: Consideration of the cloud system

All the participants 76 (100%)) indicated that they already had a cloud system at the City of Johannesburg Municipality and 42 (55%) participants indicated that the cloud system is there but it will only be used when there is appropriate security. The findings indicate that the records management department at the City of Johannesburg have incorporated the cloud system in their records management systems. However, a substantial of participants have indicated that although the cloud system is available it is not integrated into the records management systems due to security reasons.

According to the City of Johannesburg Draft IDP 2018/2019 Review, the municipality has not invested in digital records security in the department of records management and therefore, implementation of advanced records management systems like the Cloud Based records management system and integrated records management systems have not been fully implemented due to security reasons. Storage of information in the system can be fully virtualized where the internet itself serves as the storage space. Therefore, data stored in cloud is utilized in the form of distributed

storage. With the cloud-based system, records or files will be “in the clouds” rather than a location that is known like the organizational network or hard drives. Therefore, with the current records management system records are prone to misplacement and destruction.

4.4 SECTION C: POLICY AND LEGISLATIVE FRAMEWORK ON THE DEVELOPMENT OF ARCHIVES AND RECORDS MANAGEMENT

The third objective sought to determine the policy and legislative framework on the development of archives and records management. Policy and legislative frameworks on the development of archives guides on records management practices. The filing, storage and retrieval of records should be governed by a practise code or a law. The respondents were asked whether there is a policy for the development of archives and records management and their responses are depicted on Fig 4.9.

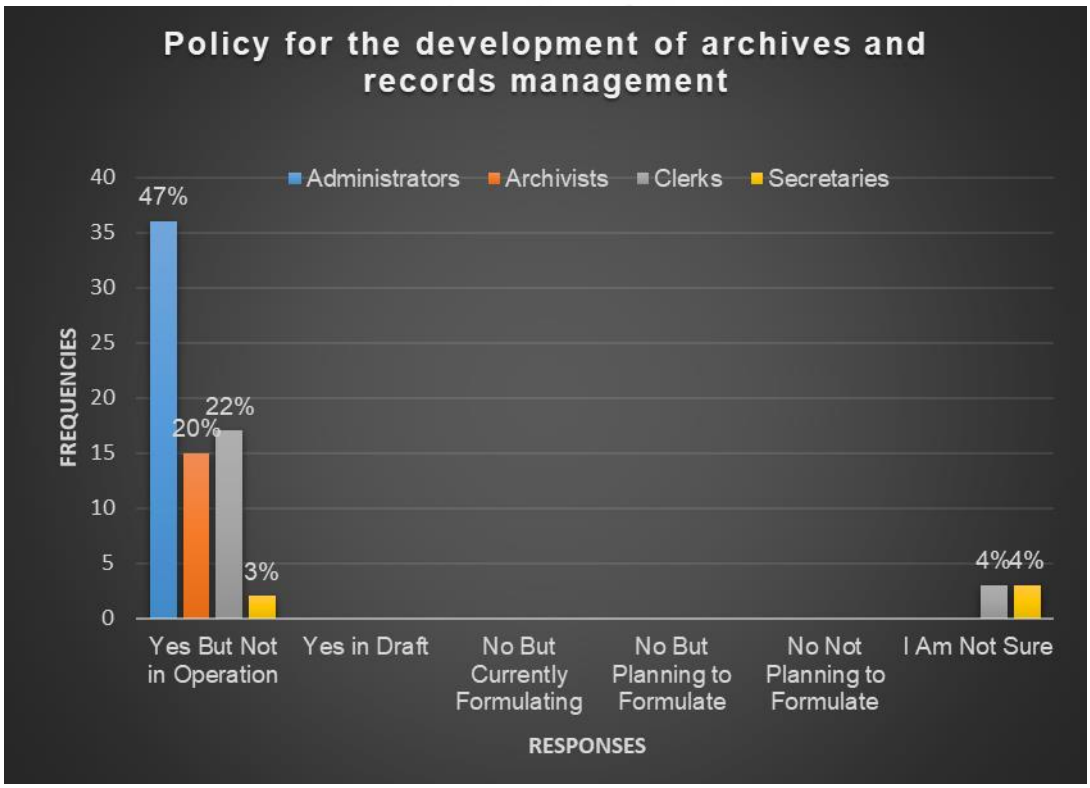

Figure 4.9: Policy for the development of archives and records

The participants were asked whether the department of records management at the City of Johannesburg Municipality had a policy for the development of archives and records management. As depicted on Fig 4.9; 70 (92%) of the participants) indicated that there was a policy for development of archives and records management in the department however, it was not in operation. About 6 (8%) of the participants) indicated that there were not sure whether there was an archival development or records management policy or not. The absence of operational and sound policy framework with effective implementation mechanisms spawns disorder in the records management department. The goals of policy in records management cannot be attained if the subsisting policy is not constantly evaluated and analyzed and operationalized (Smith, 2016). Implementation of the records continuum model will facilitate effective policymaking and operationalization as well as enhancement of compliance and security in the records management department. It is the onus of the records management staff to make sure that policy archival development and records management is implemented effectively, consistently adapted to dynamic environment, persistently fulfilling the needs, expectations and demands of modern records management systems. According to Seniwoliba (2017) the records continuum model emphasizes advanced records management strategies and policies in order to ensure the systematic preservation, retrieval and disposal of records. As the records management systems shift from the narrow physical records management as well as imaging into the broader electronic records world there is need for the municipality to embrace more advanced records management policies.

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4.4.1 The Municipal Policy Enhancing Archival Development and Records Management in the Municipality

This subtopic addresses one of the study's objectives which sought to determine the policy and legislative framework on the development of archives and records management. Participants were asked to what extent they agree or disagreed with the statement *'The municipal policy enhancing archival development and records management in the municipality'.* The responses of the participants on the Likert Scale are depicted on Fig 4.10.

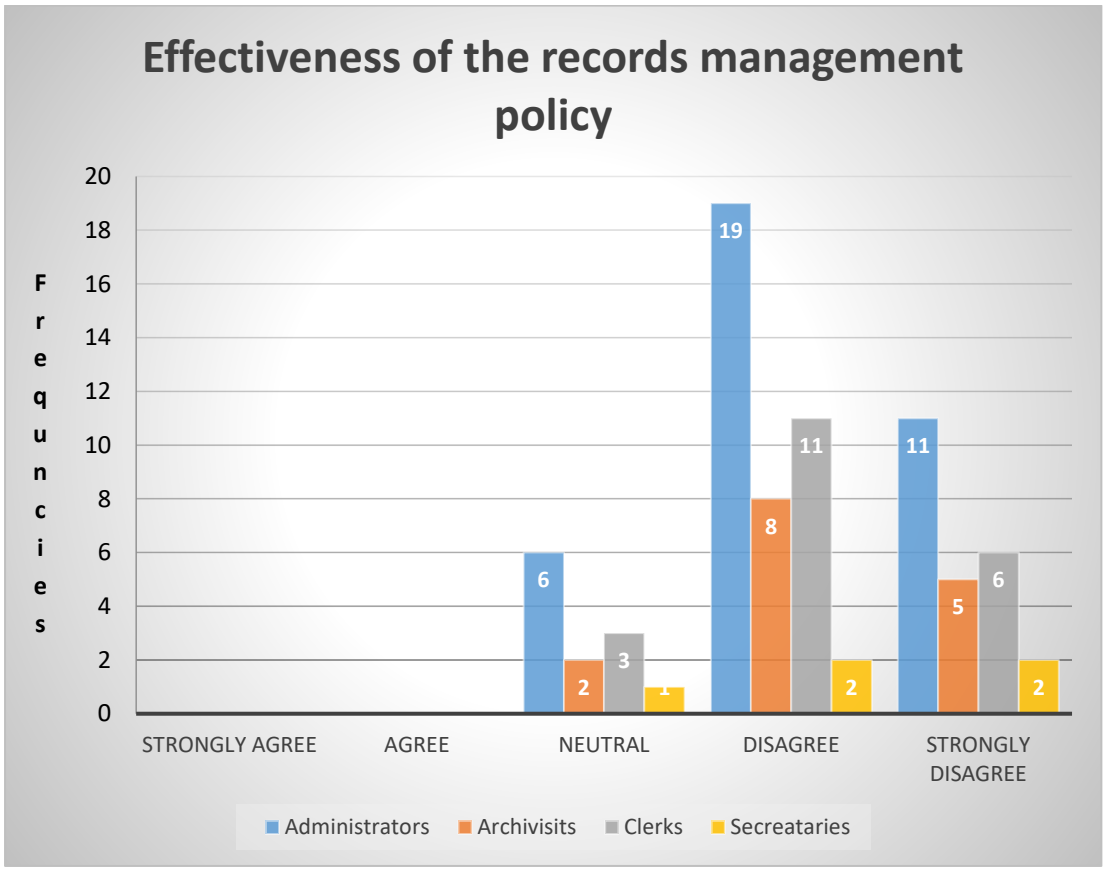

Figure 4.10: Effectiveness of the records management policy

As depicted on graph, 40 (53%) of the participants indicated that they *Disagreed* with the statement. About 24 (32%) of the participants (indicated that they *Strongly Agreed* with the statement. Only 12 (15%) participants were neutral on whether the records management policy was effective or not. This shows that the lack of development of

archives and records management in the City of Johannesburg is due to a dysfunctional policy.

The absence of proper policy negatively affects the control of storage content as well as volume of records, increases vulnerability to financial loss or legal challenge. Moreover, it also engenders disco-ordination of information and storage systems, which affects development of archives and records management at the City of Johannesburg Municipality.

4.4.2 Adherence to the Legal and Regulatory Requirements of Records Management

The policy for records management in any organization requires stricter adherence to compliance guidelines. The participants were asked whether the department of records management at the City of Johannesburg Municipality adheres to the legal and regulatory requirements of records management. The responses of the participants were indicated by a 'Yes' or 'No' scale and these are depicted on Table 4.2.

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Table 4.2: Adherence to the legal and regulatory requirements of records management Frequency Table

Variable	Frequency	Percent
Participants		
Administrators	36	47.0
Archivists	15	20.0
Clerks	20	26
Secretaries	5	7
Total	76	100

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As depicted on Table 4.2, all the participants 76 (100%) indicated that the department adheres to Legal and regulatory requirements. However, compliance with legal and regulatory requirements of records management in the absence of an operational policy is always a challenge. Organizational policy ensures that compliance with laws and regulations provide guidance for decision-making and streamline the internal processes.

4.5 SECTION D: DETERMINE THE SKILLS AND TRAINING PF THE ARCHIVES AND RECORDS MANAGWEMENT STAFFAT THE CITY OF JOHANNESBURG

The fourth objectives sought to identify whether there are training and skills development in the records management. Participants were asked whether they receive training to acquire skills on the preservation and conservation of records in the

records management department. The responses of the participants are depicted on Table 4.3.

Table 4.3: Training and skills development on the preservation of records in the department frequency table

Variable	Frequency	Percent
Participants		
Administrators	36	47.0
Archivists	15	20.0
Clerks	20	26
Secretaries	5	7
Total	76	100

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As depicted on table, all the participants 100%, indicated that they receive training and skills development on the preservation and conservation of records in the department of records management at the City of Johannesburg Municipality. According to Elnaga & Imran (2013:122) “staff training is a vital investment in all organizations, but there is no guarantee for its success if there is no proper planning as well as effective implementation of the learned skills”. Literature indicate that the relationship between employees and managers plays a key role in unlocking the trainees’ potential to do learning transfer. “Positive relationship results in a positive skills transfer and inversely a negative relationship results in the failure by trainees to transfer the learned skills. Program for managers should be considered seriously if transfer of learning is to be effective.

The records continuum model seeks to enhance the consistent and systematic management of records in an electronic environment and this requires records management staff to be imparted with concomitant skills and knowledge. For the City of Johannesburg Municipality to be able to fully adopt the systematic capture, preservation, use and disposal of records it is prerequisite for the municipality to partner with stakeholders that provide the requisite training and development services. Training transfer which refers to the implementation, maintenance and generalization of trained skills on the workplace should be operationalized through deployment of adequate resources and personnel.

Managing records in the electronic environment is not only a major challenge but also increasingly a strategic issue for organizations in both the public and private sectors (Asogwa, 2012). A key factor in meeting both the challenge and addressing the strategic management is the provision of education and/or training for employees and potential employees (i.e. students).

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4.5.1 Focus of the Training

Participants were asked to identify the kind of training that they had undergone in the records management department at the City of Johannesburg Municipality.

Ideally this speaks to identifying gaps within the organisation that can be perfected through training and development. In the continuum model, competency assessments help form the basis for training programs and learning content, both formal and informal. The participants were asked to identify the kind of training that they had undergone in the records management department at the City of Johannesburg Municipality. Table 4.4 reflect the kinds of training

Table 4.4: Training and Skills Acquired

Administrators 36(47%)	Records administration and records management Communication skills, team building and coordination, life skills, delegation, management principles and financial management perspicacity, critical and innovative thinking, problem-solving and effectively working in culturally diverse environments
Archivists 15 (20%)	records management procedures, precautions exercised in records management, health and occupational safety
Clerks 20 (26%)	Records management procedures, precautions exercised in records management, health and occupational safety Clerical work, capturing and retrieval of records, Data storage.
Secretaries 5 (7%)	communication skills, teamwork, life skills, data capture, problem solving, innovativeness and independence at work as well as accountability and responsibility

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As depicted on the table, All the 36 (47%) administrators and archivists 15 (20) received training on communication skills, team building and coordination, life skills, delegation, management principles and financial management while the employees received training on communication skills, teamwork, life skills, data capture, problem

solving, innovativeness and independence at work as well as accountability and responsibility.

Records capturing was identified as the main training received by clerks because of the backlogs of uncaptured records in the City of Johannesburg municipality. All the participants, 36 administrators, 15 archivists, 20 Clerks and 5 secretaries said they been trained in records management procedures, precautions exercised in records management, health and occupational safety. Most of them showed increased knowledge of the necessary steps to ensure that the working environment is healthy and safe. Interviewed workers showed knowledge of health and safety instructions at their workplaces. More so they indicated that they have been trained to report any accident or dangerous behavior in their workplaces to supervisors.

Most of the workers have been educated on their right to a safe working environment and how they are required to perform their duties in a fashion that does not jeopardize their health or safety or that of other workers. All the participants that responded highlighted that they have been trained in life skills such as perspicacity, critical and innovative thinking, problem-solving and effectively working in culturally diverse environments.

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4.5.2 Training and Development of Archives and Records Management at the City of Johannesburg Municipality

This subtopic addresses one of the study's objectives that sought to identify whether staff members receive training and acquire skills for the preservation of records. Therefore, participants were asked whether they felt the training and skills development has enhanced records management and archives development at the City of Johannesburg Municipality. The responses of the participants were indicated on the 'Yes' or 'No' scale and these are depicted on Table 4.5 and Figure 4.11.

Table 4.5: Training and Development

	Yes Fr	Yes %	No Fr	No %
Administrators	22	29%	14	18%
Archivists	8	10%	7	9%
Clerks	11	15%	9	12%
Secretaries	3	4%	2	3%
Total	44	58%	32	42%

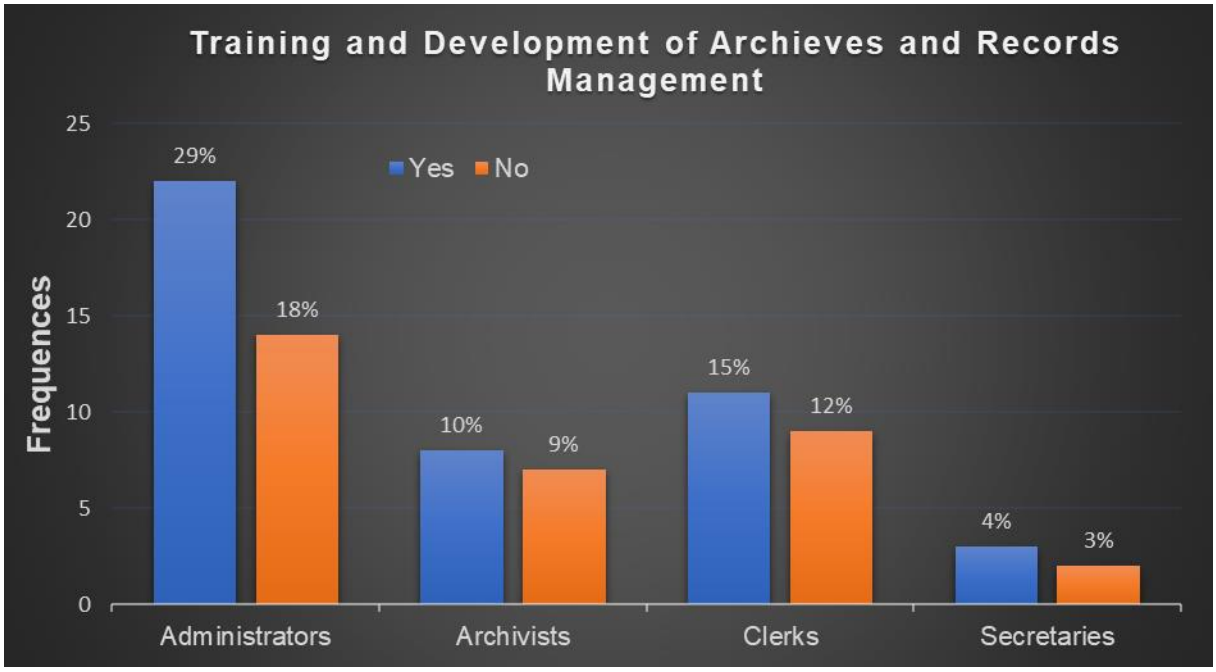

Figure 4.11: Training and development of archives and records management

It can be deduced from the findings that the training and development programs provide widespread general education and occupational competences, which form the foundation of social capabilities to innovate, transfer and absorb new technologies, foster creativity and innovations, diversify the production structure into higher value-added activities and take advantage of available opportunities. The majority of the

participants 44 (58%) (of which 22 were administrators, 8 were archivists and 11 were clerks and 3 were secretaries) indicated that the training and development programs were very important in building their competencies at work and were somewhat enhancing records management and archives development at the City of Johannesburg Municipality. They had improved skills in delegation, organizing as well as task management, communication, building teams and coordination which enhanced records management and archives development at the City of Johannesburg Municipality.

The staff indicated that some methods used such as role modelling, coaching and simulation had improved their competency in records capturing, storage and retrieval interpersonal skills, time management and efficiency as well as creative thinking and solving problems independently. Minority of the participants 32 (42%) (of which 14 were administrators, 7 were archivists, 9 were clerks and 2 were secretaries) indicated that training did not enhance records management and archives development at the City of Johannesburg Municipality. These participants felt that their job competency is still the same after the training and development program for records management and archives development in the department.

One respondent decried that the failure of the organization to come with post-training interventions to make sure that the trainees were successfully transferring the learned skills as a factor which has weighed down the prospects of the improvement of the competencies of the employees. They reported that they would risk forgetting the skills since they were not given the opportunity and time to practice the newly acquired skills. These respondents further indicated that although the training they received was relevant, they were not sure if their competencies had improved due to lack of opportunity and time to put what they learnt into practice. According to

Mangukunegara & Waris (2015), the competency of employees should be improved in order to accomplish the organization's goals and good training can create a professional employee. Literature shows that the more skills are applied on the workplace, the easier it will be for the entire organization to adapt to changes that may arise within the overall municipality (Raliphada, 2014).

The study established that although the training and development were pertinent to the job requirement of most staff members in the records management department in the municipality were challenge when it comes to skills transfer. Raliphada (2014) posited that the definitive goal of all the training and development programs rests in the ability of all the trainees to apply the learned skills, techniques or behavior in real life situations. The failure of the organization to come with post-training interventions to make sure that the trainees were successfully transferring the learned skills is one of the factors which has weighed down the prospects of the improvement of the competencies of the employees. The trainees risk forgetting the skills since they were not given the opportunity and time to practice the newly acquired skills. These respondents further indicated that although the training they received was relevant, they were not sure if their competencies had improved due to lack of opportunity and time to put what they learnt into practice.

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4.5.3 Training and Employee Understanding of Development of Archives and Records Management

This subtopic addresses one of the study's objectives that sought to identify whether staff members receive training and acquire skills for the preservation and conservation of records. One of the key goals of employee training is to ensure that employees understand the organizational goals and objectives which are crucial in the performance and efficiency of employees. According to Isiaka (2016) it is crucial that training be aligned with the given goals of the organisation and tasks required to achieve the organisational goals. This relates to behaviour changes required for the job as well as skills, knowledge and attitudes. Therefore, the participants were asked whether they felt that the training had improved their understanding of records management and archives development or not. The responses of the participants were supposed to be indicated on a 'Yes' or 'No' scale and these are depicted Fig 4.12.

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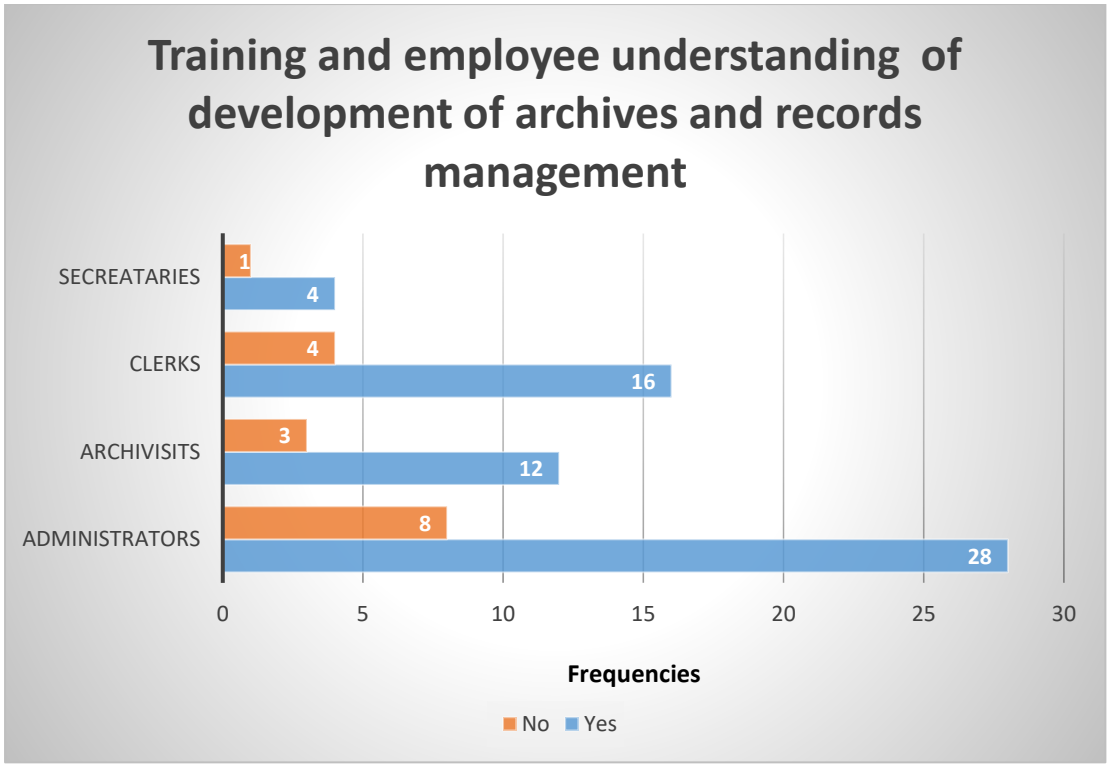

Figure 4.12: Training and employee understanding of development of archives and records management

As depicted on the diagram and table, 60 (78%) of the participants (of which 28 were administrators, 12 were archivists, 16 were clerks and 4 were secretaries) indicated that the training had improved their understanding of records management and archives development. These respondents highlighted that the training that they have received has gone a long way in helping them understand records management and administration, records capturing, storage, retrieval and disposal. The training further helped them to understand the state of records, the backlogs in terms of records capture and the objectives of the organization to ensure effective records management and archives development. According to Grossman & Salas (2011) effective training can be instrumental in improving the work quality, increase motivation of employees, enhancing higher productivity which is integral in achieving the organizational goals. A minority 16 (22 %) of which 8 were administrators, 3 were archivists, 4 were clerks

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and 1 was secretary) indicated that the training did improve their understanding of records management and archival development at City of Johannesburg Municipality.

The organization failed to establish the specific needs of this minority groups for the establishment of the instruments for the assessment of needs and competency. This is premised on the fact that the capacity to determine which training and capacity building is needed on each category of staff in the municipality is crucial. It is critical for the municipality to locate their deficiencies and responds proactively in order to curb job incompetence's and poor records management in the organization. Lack of continuous training needs assessment system amongst employees affects the capacity of the organization for self-criticality and renewal (Xavier, 2010).

4.5.4 Training and Skills Development in Archives and Records Management

To what extent do you agree or disagree with the following statements?

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This subtopic addresses one of the study's objectives that sought to identify whether staff members receive training and acquire skills for the preservation and conservation of records. One of the key objectives and goals of training and development programs is to make sure that employees are equipped with skills, which are vital for employee and organizational performance. Therefore, the participants were asked the extent to which they agreed or disagreed with the statement, *'The training provided has improved my skills in archival development and records management'.* The responses of the participants are depicted in frequencies on Fig 4.13.

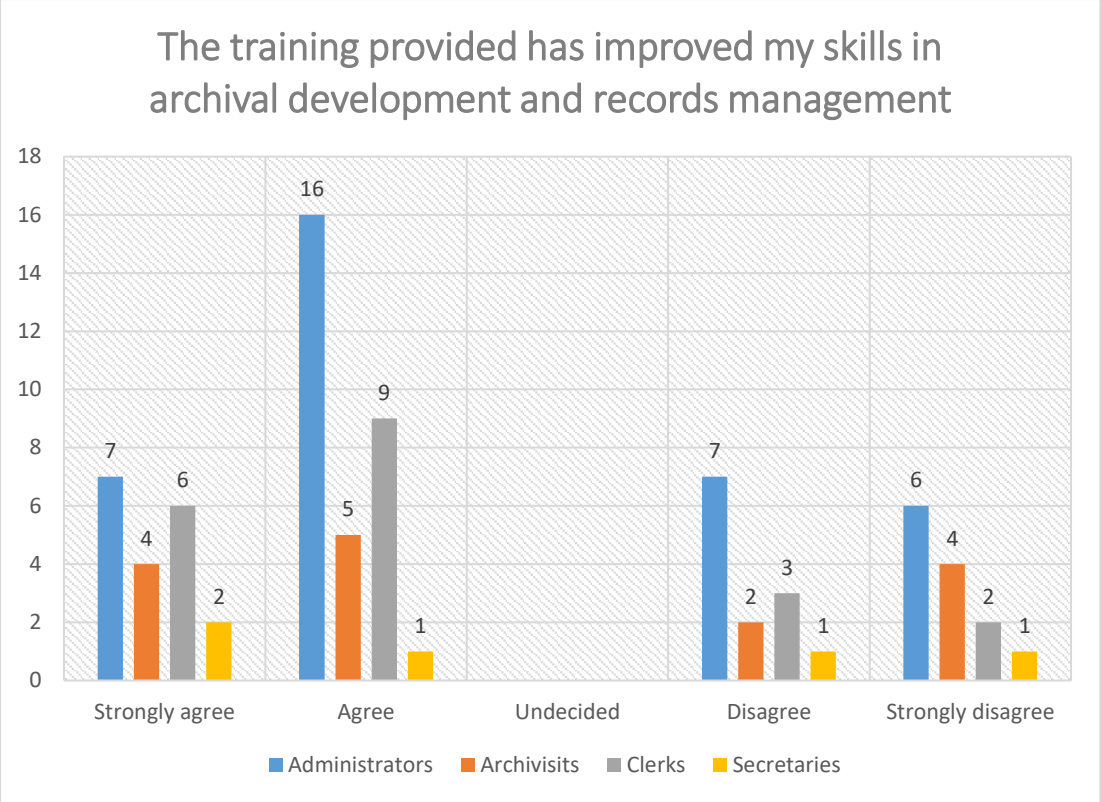

Figure 4.13: Training and improvement of skills in archival development and records management

As depicted on Fig 4.13,50 (66%) of the participants of which 23 administrators (7 strongly agreed and 16 agreed), 9 archivists (4 strongly agreed and 5 agreed), 15 clerks (6 strongly agreed and 9 agreed) and 3 secretaries (2 strongly agreed and 1 agreed) indicated that the training had improved their skills in records management and archival development. According to Elnaga & Imran (2013) one of the key known benefits of training is the motivation to improve skills amongst those who receive it which in turn increases job performance. He further stated that motivating other people is about the training, which seeks to improve organizational as well as individual performance (Elnaga & Imran, 2013). The results indicate that the training in the records department at the City of Johannesburg fairly met its intended objectives.

The results of the study are in line with empirical literature which has shown that training and development program positively impacts employee job performance

through improving their skills which enables them to know and perform their job better (Appiah 2010). However, the study also established that 26 (34%) of the participants, of which 13 administrators (7 disagreed and 6 strongly disagreed), 6 archivists (2 disagreed and 4 strongly disagreed), 5 clerks (3 disagreed and 2 strongly disagreed) and 2 secretaries 1 disagreed and 1 strongly disagreed) of the staff who participated in the survey indicated that training had not improved their skills.

Majority of the participants felt that the training and development program provided the opportunity to identify their potential for further career development as well as progression within the organization which augments their job performance potential. As evidenced from the findings of this study the majority of workers agreed that training builds up and improves competences and confidence and, develops their career in a process of lifelong learning. Training provides employees a more understanding of their roles and responsibilities and builds their confidence which is critical in their lifelong careers (Saks, 2015). Saravanan & Vasumathi (2017) argue that while training provided to workers does not necessarily develop their maturity it instead gives them skills as well as increases their confidence and self-esteem. Saravanan and Vasumathi (2017) however, believe that the capability and performance depend on the attitude and emotional maturity of the trainees.

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4.5.5 Utilization of Gained Skills in Archives and Records Management

This subtopic addresses one of the study's objectives that sought to identify whether staff members receive training and acquire skills for the preservation and conservation of records. After training and development programs, it is key for the employees to transfer the learned skills so that development of archives and records management can be leveraged. Therefore, the participants were asked to indicate on a Likert scale, the degree to which they agreed with the following statement;

"I am able to fully utilize the skills that I gained from the training and development programs". The responses of the participants are depicted in frequencies on Fig 4.14.

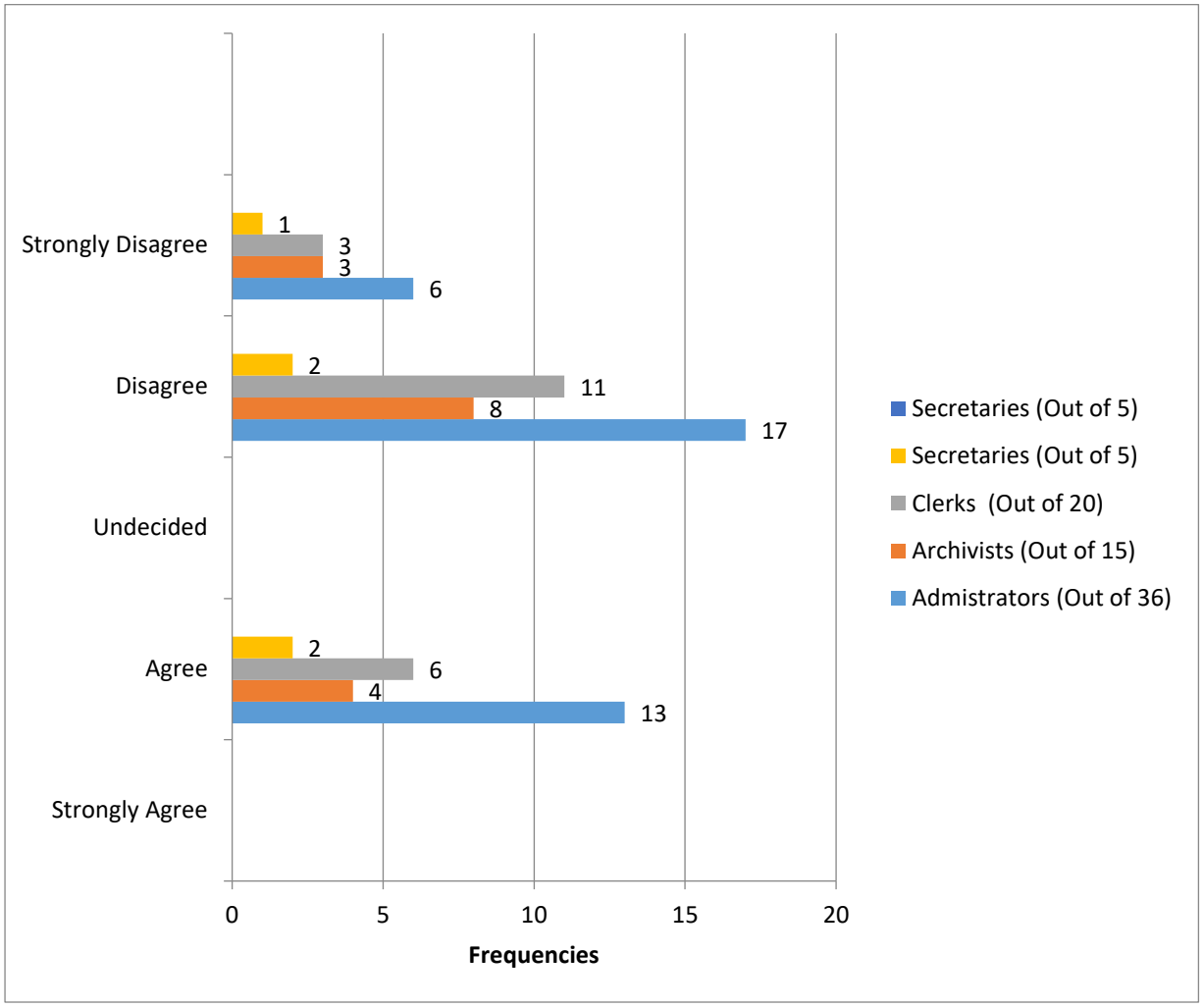

Figure 4.14: Utilization of skills gained from training and development programs

As depicted minority 25 (33%) participants of which 13 administrators, 4 archivists, 6 clerks and 2 secretaries agreed that they were able to fully utilize the skills that they gained from the training and development programs. The evaluation of the implementation of the training and development program can never be complete whether the employee's department of records management is able to apply the learned skills. This is very important in terms of giving a perspective of what is

impeding the realization of the goals of this strategic plan. This is very important in terms of helping to identify areas of intervention and measures that can be taken so that the objectives and goals of the training and development programs plan can be achieved.

Literature shows that the more skills are applied on the workplace, the easier it will be for the entire organization to adapt to changes that may arise with the overall municipality (Raliphada, 2014). However, 38 (67%) of the participants of which 17 administrators, 8 archivists, 11 clerks and 2 secretaries Disagreed and 13 (17%) of the participants of which 6 administrators, 3 archivists, 3 clerks and 1 secretary Strongly Disagreed to the statement; *'I am able to fully utilize the skills that I gained from the training and development programs'.* These employees indicated that they had not had the opportunity to utilize most of the skills they had learned in their workplaces. According to Vinesh (2014) it is the responsibility of management to facilitate skills transfer amongst employees in the organization. Employees should be given the resources and time for them to be able to utilize the learned skills so that skills transfer can take place in the department. Literature further indicates that if there no systems such as monitoring and evaluation systems to ensure skills transfer training and development programs may not achieve their goals.

The continuum model clearly highlights that electronic records management systems are getting more complicated and complex due to technological advancements and as such systems and mechanisms for skills transfer in the department of records management are a priority. Records management staff should be afforded a chance to have hands on experience so that their skills can be commensurate with the modern electronic records management systems.

Skills Development Act (No 97 of 1998) provides legal framework for the development of and transfer skills amongst the South African workforce and thereby increasing the quality of working life for workers, improve productivity of the workplace, improving self-employment as well as delivery of social services to the communities. Johare *et al (*2009) state that developed countries such as the United States of America, United Kingdom and Australia are examples of countries that have successfully transformed their electronic records management systems through effective skills transfer programs. In most African countries, electronic records keeping systems have been introduced in few countries but these have not been effectively utilized due to poor skills transfer programs.

4.5.6 Factors that are hindering you from utilizing the Skills that you acquired from the Training and Development Programs

This subtopic also addresses one of the study's objectives that sought to identify whether staff members receive training and acquire skills for the preservation and conservation of records. Skills transfer is hindered by several factors and this has a long-term impact on the development of archives and records management. Therefore, the participants were asked to indicate factors hindering them from utilizing the skills that they acquired from training and development. The responses of the participants are indicated on Table 4.6.

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Table 4.6: Factors hindering the utilization of skills acquired from training and development programs; n= 76

Factors hindering utilization of skills		Limited supervisor support	Limited resources	Limited Time	No post training programs	Lack of monitoring and evaluation systems	No factors hindering us
Administrators	Percentage	33%	33%	33%	33	33%	14%
	Frequency	25	25	25	25	25	11
Archivists	Percentage	12%	12%	12%	12%	12%	8%
	Frequency	9	9	9	9	9	6
Clerks	Percentage	17%	17%	17%	17%	17%	9%
	Frequency	13	13	13	13	13	7
Secretaries	Percentage	4%	4%	4%	4%	4%	3%
	Frequency	3	3	3	3	3	2

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The evaluation of the implementation of the training and development program can never be complete without highlighting the challenges that the archivists, administrators, clerks and secretaries face Lack of supervisors' exposure in the new area in trying to apply the learned skills. This is very important in terms of giving a perspective of what is impeding the realization of the goals of effective records

management and archival development. This is very important in terms of helping to identify areas of intervention and measures that can be taken so that the objectives and goals of the training and skills development in the City of Johannesburg Municipality are realized.

Majority of the participants fifty (66%) of which 25 were administrators, 9 were archivists, 13 were clerks and 3 were secretaries) indicated that they were some factors which were hindering and demotivating them to effectively transfer skills in records management and archival development practices and these include inadequate support from superiors and co-workers and resources such as computers and financial resource to practice the learned skills. They also mentioned limited time to practice the learned skills as one of the outstanding factors hindering effective skills transfer in the department of records management. Furthermore, they indicated that indicated that there were inadequate resources (equipment, information, materials) provided to motivate and encourage transfer of learning in the municipality. They said that they were no systems such as monitoring and evaluation systems to ensure skills transfer. Administrators and archivists cited lack of time as a hindrance in ensuring that they implement what they have learned.

The study established that the organization had not planned post training interventions so that learning transfer can be supported and facilitated. The staff also highlighted the lack of readiness by supervisors to assume their respective roles as one of the outstanding barriers to learning transfer. The study further established that lack of skills transfer in the organization was also aggravated by the supervisors' lack of exposure in the new area that the subordinate had been exposed to in the training.

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Managers and supervisors were reported to just ignorantly permit the employees to attend the training and development programs without an understanding of the course content or provision of the necessary guidance. Besides the fact that there was lack of knowledge as well as understanding of the areas that the subordinates wanted to transfer their skills on, another barrier which was cited was mistrust. The managers and supervisors did not trust the employees to execute their responsibilities independently. Govender (2017) highlighted the significance of supervisor/manager support in the transfer of skills. He further conceptualized supervisor support as the behavior which is exhibited by the supervisor which enhances the employees' utilization of skills, knowledge as well as the attitudes gained during training; the supervisor support may be emotional or instrumental.

Resistance to change was also another factor which was mentioned by the participants of the employees which was hindering skills transfer in the department of records management. One employee indicated that there was no clear plan of action or outline of steps, which employees and managers were supposed to take to facilitate skills transfer and also helping in maintaining focus. Empirical literature shows that although the employees might learn from their training experiences, it is always difficult to apply or transfer trained competencies to the workplace (Department of Public and Development Administration, 2017). A minority of the participants 26 (34%) of which 11 were administrators, 6 were archivists, 7 were clerks and 2 were secretaries indicated that they were no factors hindering them from utilizing the skills that they acquired from the training and development programs.

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4.6 SECTION D. EXAMINATION OF THE RECORDS MANAGEMENT SYSTEM IN PLACE TO MANAGE THE RECORDS THAT ARE CREATED IN THE DEPARTMENT

This objective sought to examine the records management system in place in order to identity the factors that are effecting the development of archives and records at the City of Johannesburg Municipality

4.6.1 Examination of the Records Management System in Place

This subtopic addresses one of the study's objectives which sought to examine the records management system in place to manage the records that are created in the municipality's records management department. The fact that archives and records are not in a good state compelled that researcher to examine the records management system in place in the municipality. The records management system determines the state of archives and records in any organization. Therefore, participants were asked to indicate whether there is a records management system in place in the municipality. The responses of the participants were indicated on a 'Yes' or 'No' scale and these are depicted in frequencies on Fig 4.15.

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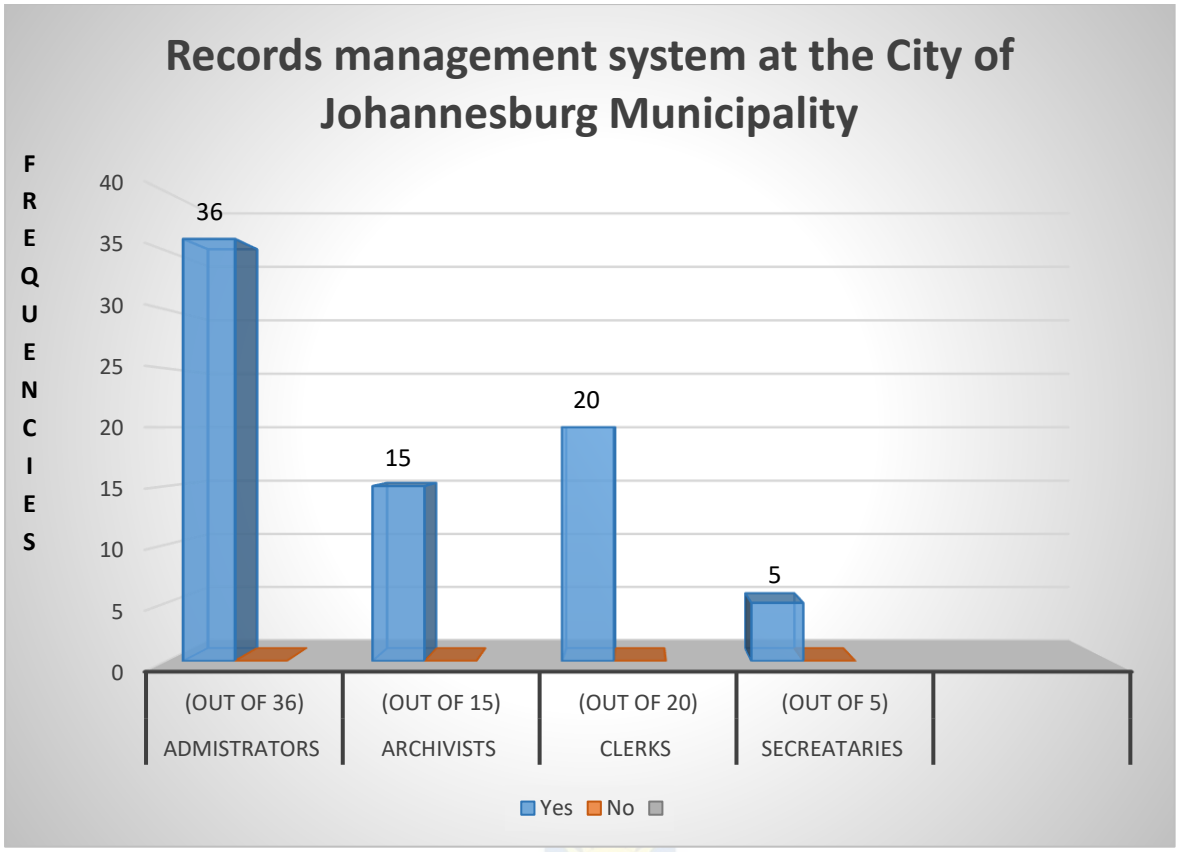

Figure 4.15: Records management system at the City of Johannesburg Municipality

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A records management system is crucial in ensuring the effective creation, storage, maintenance and retrieval of documents. As depicted on Fig 4.20, 76 (100%) of the participants of which 36 were administrators, 15 were archivists, 20 were clerks and 5 were secretaries, indicated that there is a records management system in the department. Electronic records management has become the standard for how most municipal organizations control their records and information.

The study established that the department of records at the City of Johannesburg Municipality uses Enterprise Records Management Software however it is not updated and as such reports of missing records, misplacement of records and retrieval challenges have been abounding.

Therefore, records management systems should be streamlined and logical to aid limit the time spent on the organization, storage and retrieval of records. In other an updated records management system helps the organization to run more efficiently (Penn, and Pennix, 2017). The continuum model propounds that managing records should be seen as an unremitting process where one element of the continuum passes seamlessly into another and this can only be aided by a records management system that is up to the modus operandi.

The systematic capture, storage, maintenance and retrieval of records can only be facilitated through an updated records management system. According to Gunnlaugsdottir (2012) in order to keep pace with the dynamic digital world and the shift from paper to electronic records, it is significant for an organization to have an operational and updated Management Systems for Records (MSR). The MSR is a management system suitable for purposes of controlling and directing the records system of an organization. A records management system is a critical to ensure transparency and accountability in the municipality.

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4.6.2 Rating of the Archives Development and Records Management System

In order to address objective 4, which sought to examine the records management system in place to manage the records that are created in the department, the researcher asked the participants to rate the archives and records management system in the municipality's records management department. To determine the effectiveness of the archives development and records management system, the participants were asked to rate the system on a Likert Scale which is depicted in frequencies on Fig 4.16.

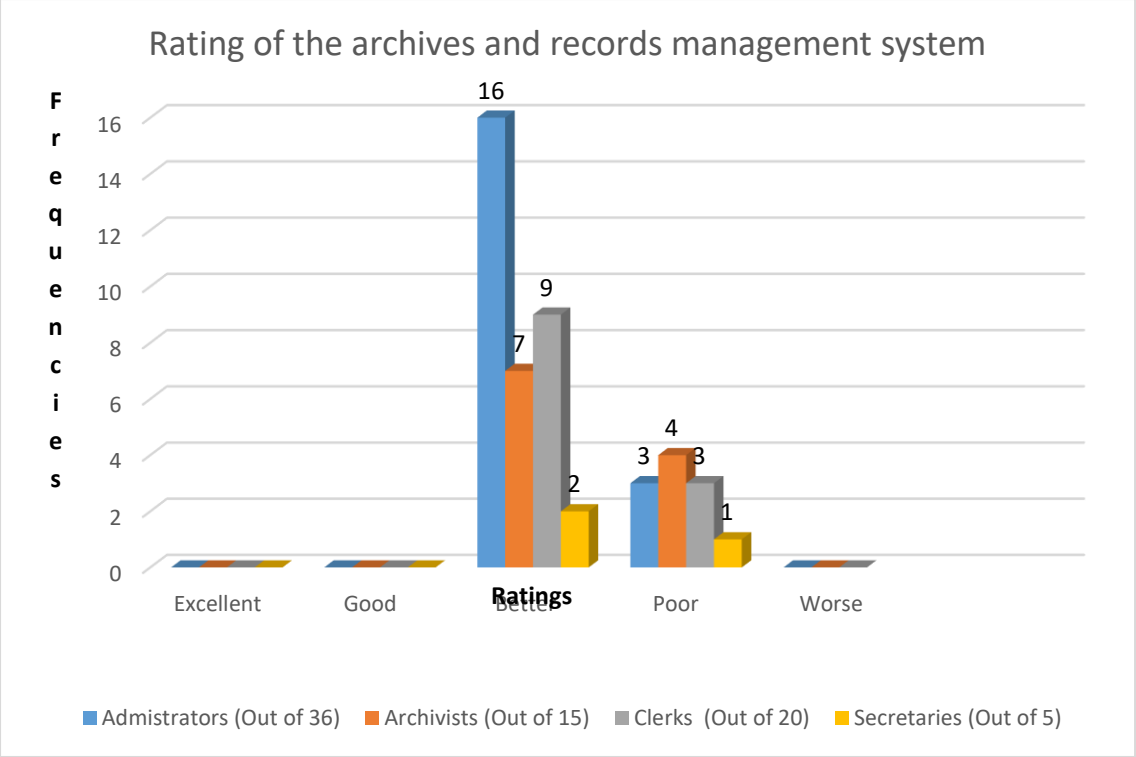

Figure 4.16: Rating of the archives and records management system

As can be depicted on the diagram, a minority 34 (45 %) of the participants, of which 16 were administrators, 7 were archivists, 9 were clerks and 2 were secretaries) indicated that the archival development and records management in the department of records management in the municipality was 'Better'. Another minority 11 (14%) of the participants of which 3 were administrators, 4 were archivists, 3 were clerks and 1 was a secretaries) indicated that the archival development and records management in the department of records management in the municipality was 'Poor'. The rest of the participants did not indicate anything on the rating scale. This shows that the Enterprise Records Management Software is not optimally operating and it needs to be updated and streamlined so that it can enhance in the storage, retention and disposition of records and records series. The continuum model is useful in developing an effective records management system in recordkeeping environments built around electronic communications since it has a major advantage of

accommodating electronic records. The Model provides that archivists and records managers need to be involved together with information systems designers in the creation of effective records keeping systems. Johare *et al* (2009) mentioned that Enterprise Records Management Software are also a way of reducing the considerable demands of handling records as well as long term costs of storing official documents.

4.6.3 Types of Records that are Created, Received and Maintained

The types records received, created and maintained in the organization affect the development of archives and records management. Therefore, the participants were asked to indicate the type of records that were created, received and maintained by the City of Johannesburg Municipality. The participants' responses are depicted on Table 4.7 and Fig 4.17.

Table 4.7: Types of records created, received and maintained

	Both electronic and paper	Paper	Electronic	Both electronic and paper %
Administrators	36	0	0	47%
Archivists	15	0	0	20%
Clerks	20	0	0	26%
Secretaries	5	0	0	7%
Total	76	0	0	100%

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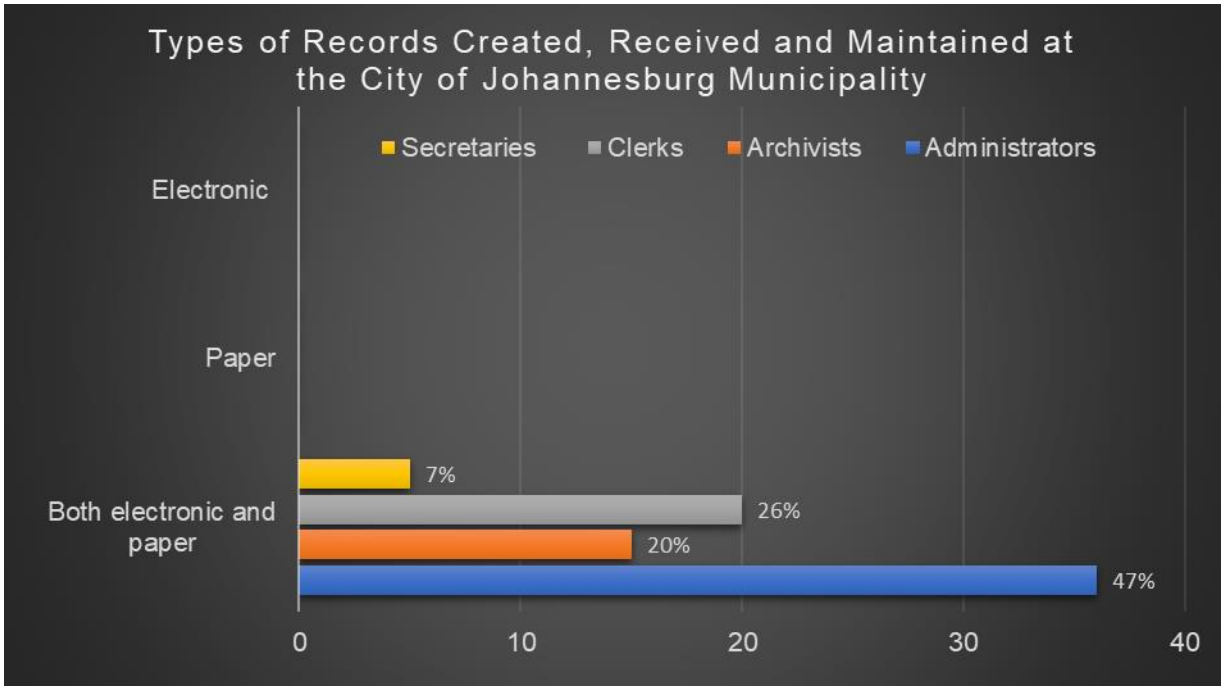

Figure 4.17: Types of records created, received and maintained

As depicted on Fig 4.17, all the participants 76 (100%) of the participants of which 36 were administrators, 15 were archivists, 20 were clerks and 5 were secretaries indicated that both electronic and paper records were created, stored and maintained in the department of records management. Although paper records have their own advantages, for instance it is simple and less expensive to keep paper records and less risk of corrupt data, electronic records management systems are more prompted in the contemporary world as they ensure that records are safely stored through regular backups (Masimba, 2014).

The study established that paper records have been misplaced or loss in the departments of records management. Electronic records work with records management systems that provide efficiency in the capture, storage, maintenance and retrieval of records. Electronic records management systems enable archivists to make daily records backups in case of theft, fire or natural disasters. While paper records may work in small organizations, most big organization like municipalities use

electronic record keeping systems which make it easier to capture information, generate reports and meet legal requirements.

4.6.4 Factors Affecting Development of Archives and Records Management System

The poor state of archives and records in the records management in the City of Johannesburg municipality motivated this study. Therefore, an understanding of the various factors that affect the development of archives and records management in the department was fundamental in modelling pathways for the development of archives and records management.

Table 4.8: Factors affecting development of archives and records management system

Lack of capacity	Lack of financial resources	Lack of expertise	Lack of proper equipment	Managerial incompetence	Lack of Skills Transfer	Lack of Managerial Support

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The participants were asked to highlight the factors affecting the development if archives and records management system at the City of Johannesburg. All the participants, 76 (100%) of the participants of which 36 were administrators, 15 were archivists, 20 were clerks and 5 were secretaries, indicated lack of capacity, lack of financial resources, lack of expertise and managerial incompetence as the factors affecting the development of archives and records management system at the City of Johannesburg Municipality. According to Yuba (2013) the development of archives and records management system needs investment in capacity building, human capital and expertise and so on. There has not been adequate investment in these key aspects in the records management department at the City of Johannesburg municipality and hence reports of records loss and misplacement. The continuum

views appraisal as a process that spans the whole life cycle of the record (Dingwall 2010, 151), not merely something that happens at the creation point. Continues appraisal of the various factors affecting the development of archives and records management system in the department of records is fundamental.

4.6.5 Advantages of the Current Organizational Records Management System

The advantages of a records management system can actually reflect its effectiveness in the development of archives and records management system in the organization. Therefore, the participants were asked to indicate the advantages of the current organizational management system**.** The responses of the participants are depicted on Fig 4.18.

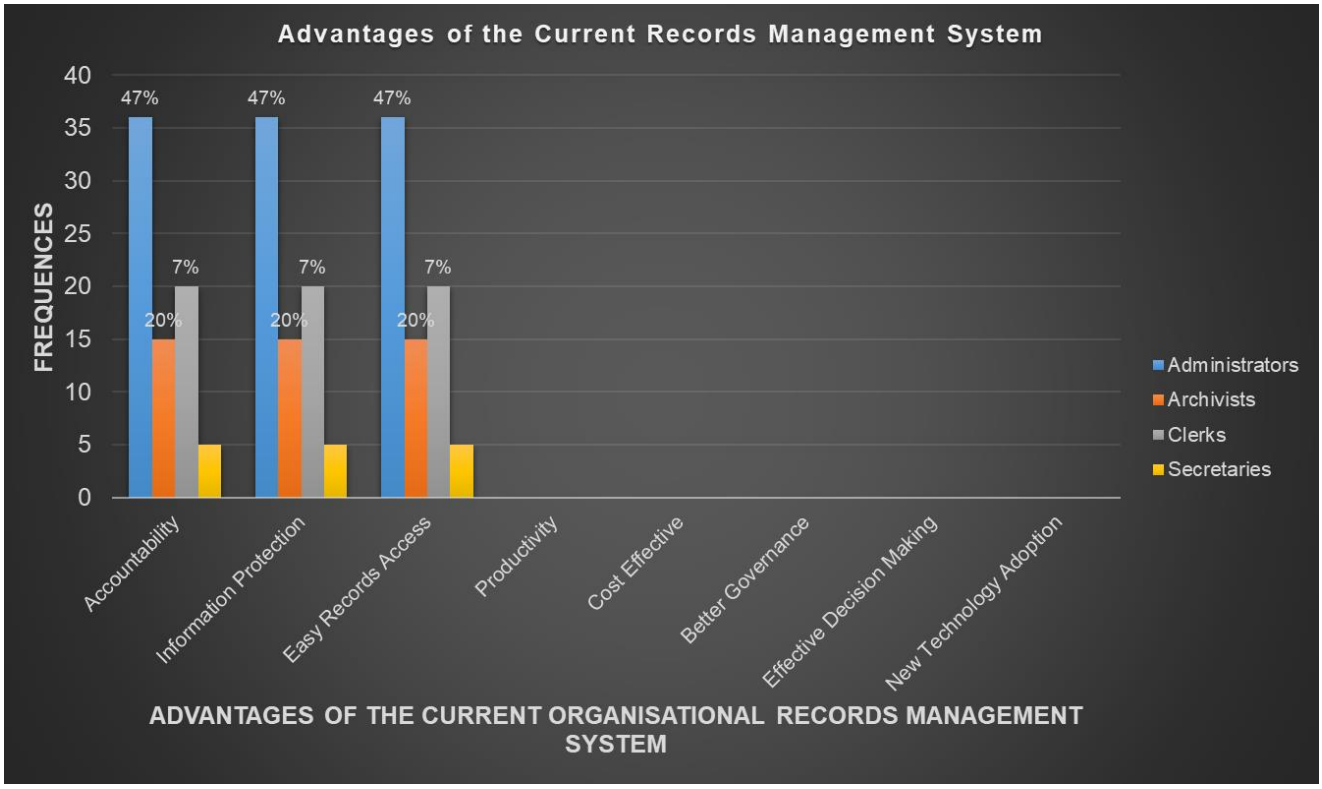

Figure 4.18:Advantages of the current records management system

As depicted on the graph, 76 (100%) of the participants, of which 36 were administrators, 15 were archivists, 20 were clerks and 5 secretaries, indicated only

three advantages of the current organizational records management system in the department of records management; accountability in the organization, protection of vital information and easy access to records. The participants did not indicate other advantages that were listed as options like increased productivity, Cost-effective, Minimization of Litigation risks, Better Governance, Effective Organizational decision-making and Capability to adapt new technologies. An effective records management system should be able to provide all these advantages as is propounded by the Records Continuum model theorists (McKemmish, 2010).

The current records management system has not been upgraded; therefore, it is not effective in enhancing development archives and records management. Penn & Pennix (2017) noted that the records management system of an organization should be regularly updated failure of which the system will be overwhelmed by the growing numbers of records. Records management systems are vital for efficient and effective records administration, but if they are poorly managed, they can become a liability, thereby affecting development of archives and records management in the organization.

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4.6.6 Disadvantages of the Current Organizational Records Management System

The disadvantages of a records management system can actually reflect its shortfalls and inadequacies in the development of archives and records management system in the organization. Therefore, the participants were asked to indicate the disadvantages of the current organizational management system. The responses of the participants are indicated in frequencies on Fig 4.19.

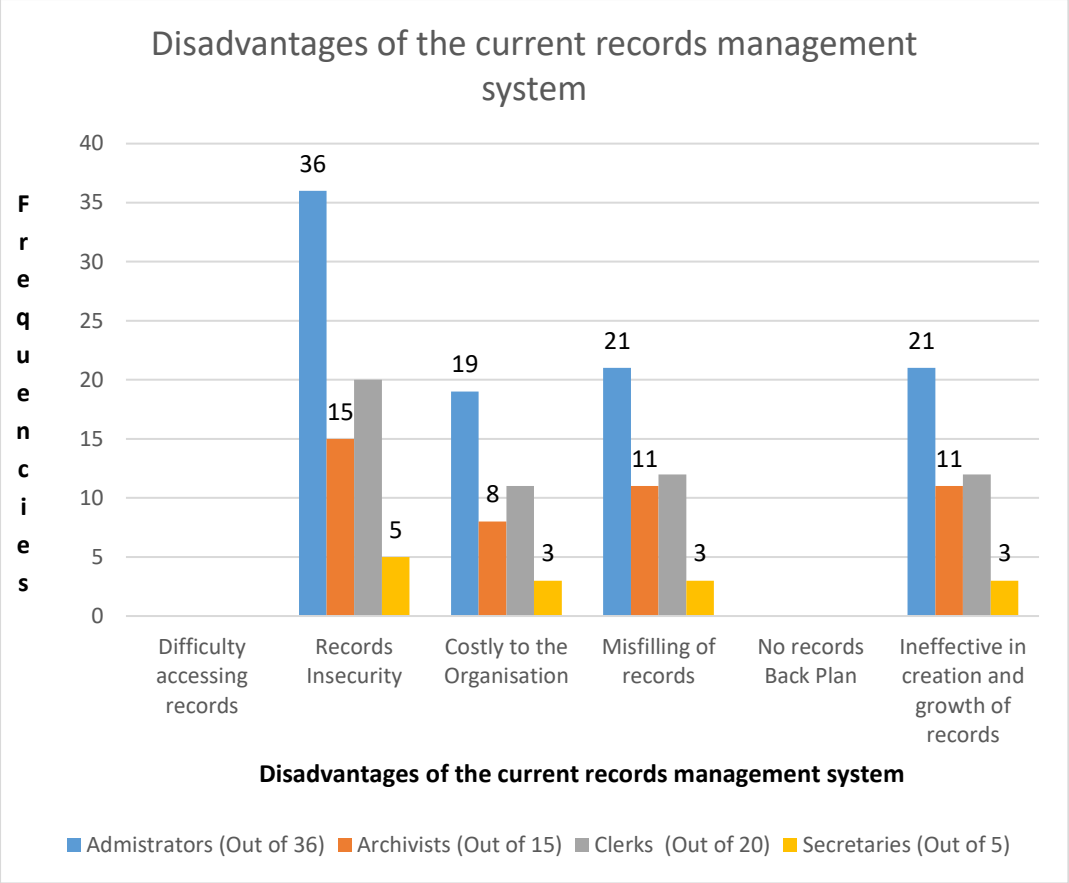

Figure 4.19: Disadvantages of the current organizational records management system

As depicted on the graph, 41 (54%) of the participants, of which (19 were administrators, 8 were archivists, 11 were clerks and 3 were secretaries indicated the current records management system it was costly to the organization, 41 (62%) of the participants, of which 21 were administrators, 11 were archivists, 12 were clerks and 3 were secretaries, indicated that it was ineffective in creation and growth of records and 41 (62%) of the participants; of which 21 were administrators, 11 were archivists, 12 were clerks and 3 were secretaries, indicated the system spawned misfiling of records. Therefore, the records management system in the department of records management has too many shortfalls which warrant attention from management.

For the records managers to be effective in the electronic age, they are supposed to implement advanced records management systems and technologies in their work

places and should identify implementation opportunities (Kasumba (2013). An effective records management system should include hardware and software, people, procedures and policies all relating to the storage, procession and accessing of records. A records management system should not be exclusively equated with corresponding filing system or central registry. The absence of a functional records management has spawned inappropriate management of records at the City of Johannesburg municipality. There is lack of consistent policy and guidelines for the management of records. Staff is not fully capacitated to understand and preform their responsibilities with regard to municipal records.

4.7 FINDINGS FROM INDEPTH INTERVIEWS ON STATE OF ARCHIVES AND RECORDS AT THE CITY OF JOHANNESBURG MUNICIPALITY

The poor state of records and archives in the records management department motivated this study and therefore the researcher wanted to start by understanding the complete picture of the state of records and archives at the City of Johannesburg municipality. This was elicited through in-depth interviews with records managers. The record managers were asked to explain the status of records and archives and also to rate archives development and records management at the City of Johannesburg Municipality.

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4.7.1 SECTION E: POLICY AND LEGISLATIVE FRAMEWORK ON THE DEVELOPMENT OF ARCHIVES AND RECORDS MANAGEMENT

The study established that the department had a formal records management policy but it was not operational at the moment and the timeline for the implementation was indefinite.

One manager said, *"Our records management department is not operating at its optimum now since our archives and records management department is not currently operational and our Electronic Records Management system is yet to be updated"*

The absence of an operational policy and an updated electronic records management system has spawned several challenges which include; lack of accountability, inconsistent records management practices, difficulty in accessing archives and records, misplacement of records, archival and records insecurity, misfiling of records among others. The records management world is changing rapidly and this calls for a comprehensively operational records management policy and system in the department of records management.

The study established that there were shortcomings in the department in terms of expertise and skill in electronic records management. The found that the department of records requirements are not applied consistently and the transition to a more robust digital information and records management system is incomplete. A more recent report on the state of the archival system of South Africa cites that the national archival system of South Africa that has the mandate of managing public records public records (Katuu, 2015; Katuu & Ngoepe, 2015). The fact that the archival development and records management policy for City of Johannesburg municipality is not operational has increased the complexity issues of compliance requirements which greatly affect development of archives and records management.

The municipality is expected to comply with local laws as well as international regulations and laws. This requires the municipality to adopt more complex records and information keeping processes. Unegbu & Adenike (2013) noted that what keeps civil service going in the modern government systems are effective records

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management systems, which are utilized for planning, making decisions as well as controlling the organization. Therefore, the need for an interact records management systems in all the organizations cannot be overemphasized in the digital age. Asogwa (2013) argued lack of records management policy guidelines and bad records management in the Nigerian public service records management program led to inefficiency in the administration and loss of important information that was critical decision making. Due to mounting of information being gathered a lot of time is wasted in sorting as well as in locating the information from the records kept. Therefore, this leads to low productivity in the municipality and as such there was a need to investigate the factors affecting development of archives and records management in the department of records with a view to model solutions.

4.7.2 SECTION F: IDENTIFICATION OF RECORDS MANAGEMENT STRATEGIES THAT ARE CURRENTLY IN PLACE IN THE DEVELOPMENT OF ARCHIVES

4.7.2.1 Strategies Currently in Place for Records Management and Development of Archives

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This objective was addressed in the quantitative analysis and it was also used to elicit information from records managers through the use of in-depth interviews. Strategies for records management and archives development determines the state of records and archives in the records management department. The poor state of records and archives in the records management motivated the researcher to evaluate the strategies that are currently in place for records management and development of archives. The managers were asked if the department of records management had any strategies currently in place for records management and development of archives. One manager said that;

"We are considering reviewing our records management policy and making sure it is fully functional by early next year to leverage development of archives and records management in the department"

Development of archives and records management cannot be successfully leveraged without a streamlined functional, stable and consistent policy. According to the goals of policy cannot be attained if the subsisting policy is not constantly evaluated and analysed so that it can be constantly adapted to the dynamic archives and records environment, persistently fulfilling the broader vision of the municipality. The absence of a sound and functional policy framework with effective implementation mechanisms spawns poor and inconsistent records management practises and failure of the records management system.

Scholars have noted that effective policy implementation and institutional capacity bolster development of archives and records management in the records management department. Idyllically, formal policy frameworks for development of archives and records management should stem from a common national vision and provide direction and guidance for sound development of archives and records management. A coherent national policy framework can play a key guiding role in attaining such as a concord. All the respondents (4/4) records managers highlighted that building of the institutional capacity was one of the strategies that the records management department was implementing.

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4.7.3 RESOURCES AVAILABLE

Resources such as *inter alia* records capturing, storage and retrieval facilities, human capital and finance are key for the development of records and archives in any records management. Lack of adequate resources affect the preservation and security of records which is inimical to the development of records and archives in the

organization. Therefore, the record managers were asked about the resources that are available in the organization for the development of records and archives. Although all the records managers (4) revealed although they had good electronic equipment they were still struggling with proper storage for paper records. One of the managers had this to say:

> *"Good electronic equipment is there but the main challenge lies on the equipment storage for the storage of paper records"*

Also the studies done by the Motsaathebe and Mnjama (2009) revealed that in most countries, the public sector of most African countries is facing the problem of storage facilities. These studies revealed that most countries were facing the problem of poor records management infrastructure.

Rounds and Kussman (2012) argue that effective records management needs physical infrastructure storage, offices and resources. They mention that paper records and computer hardware need storage that provides adequate space. They further state that records need a range of stationery and office equipment such as cabinets, shelves and drawers. Subsystems are also needed to capture, classify, maintain and dispose of records to ensure that they remain accessible in future.

One participant said:

> *"The lack of storage facilities in records management is one of the contributing factors to ineffective records management At the City of Johannesburg municipality".*

The problem of storage facilities in the public sector of most countries around the country has led to the introduction of computerization to store courts records. For

example, in UK, USA, Asia, and Australia to mention few, the Electronic Filing Systems are used for the filing, maintenance and use of records.

The problem of inadequate resources such as funding is a challenge in managing records in the department of records management. This problem affects development of archives and records management in the department. The researcher wanted to know whether the department of records had enough resources to manage records. All of the records managers (4/4) indicated that the records management department did not have enough resources to manage court records.

According to University of Tasmania Records Management Guidelines (2014) resources such as office furniture and equipment, computers, photocopying and fax machines, scanners as well as the stationery such as registers, file covers and papers are required for effective records management. The respondents were asked if the department had enough office furniture such as cabinets, desks, chairs, shelves and stationery to keep records. All respondents confirmed that their offices had enough office furniture. Cabinets and shelves are used to keep records. They were further asked to indicate the kinds of cabinets were used to keep records safely. All of respondents (4/4 managers) said wooden and steel cabinets were used to keep case records.

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The respondents were further asked whether their offices had enough computers, scanners, fax and photocopying machines. All respondents indicated that the department does not have enough computers, scanners, fax and photocopying machines. The researcher observed the department of records management had few computers. The researcher sought to know whether the department of records

management had enough staff to manage records. Three of the managers revealed that the department had enough staff while one respondent had this to say:

> *"The department of records management is short of Information Technology experts and that is why our archives and records management systems are not in a very good state. The department has not been hiring such critical human capital".*

The evolution in electronic records management and Information Technologies calls for more IT experts in the records management department of City of Johannesburg municipality. The fact that the department of records management has not been hiring IT experts has spawned more challenges to the development of archives and records management in the department, as the records management system is flawed; does not have a policy, the records management software is not updated among other blemishes. The organization tends to overlook the significance of electronic records management expertise in setting their records management system and electronic records risk being lost because of the poor system.

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Prior studies have identified that the public sector of South Africa tends to overlook the problems as well as the outcomes of poor electronic management. Since the important role of records management is the creation and preservation of records through which the municipal departments can be held accountable, improper management of digital records can affect public accountability.

One of the managers indicated that *"there have a limited a shortage of resources since our annual budget is not enough".*

An effective records management system can be leveraged through among other things; financial, technological and human capital development investments (Penn

and Pennix, 2017). The lack of robust investment in the records management department has spawned challenges like delays in capturing, storage and retrieval of records as well as records insecurity, lack of accountability, unnecessary duplication, misplacement or misfiling of records.

4.7.4 EXAMINATION OF THE RECORDS MANAGEMENT SYSTEM IN PLACE TO MANAGE THE RECORDS THAT ARE CREATED IN THE DEPARTMENT

While the study discovered that the records management department was implementing a commendable records management system, the Enterprise Records Management Software was not updated and it was not being utilized effectively. Among the reasons for ineffective use of the Enterprise Records Management Software were inclusive of staff lacking the appropriate competencies and skills in the new Information Technologies and the lack of security and long-term preservation strategies within the system. Ngoepe (2014) noted that there is 'little evidence of synergies' between records management researchers and records management practitioners in the public sector of South Africa.

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The study also explored the educational background of staff members in the department of records management in order to ascertain amongst other things, their responsibility areas, their skills and competencies and the extent to which they could use digital records management systems. The study established that some staff members were not highly skilled or qualified but a majority could access the Electronic Document Management System. While the study established that there were many shortcomings in the Electronic Records Management system, the same goes with paper records where there are loopholes in terms of records security, storage and retrieval which was one of the main challenges as there was no sound system to manage paper records.

One of the records managers said, “There is no strategic and material support for the appointment and training of records management professionals at City of Johannesburg Municipality and this has affected development of archives and records management. Strategic as well as material support for human capital development in the department of records management is key to the development archives and records management. The lack of these have spawned challenges in the department like lack of resources, lack of equipment, lack of expertise and electronic records management skills, lack of capacity, difficult accessing records, records insecurity among others.

The indispensability of strategic as well as material support was highlighted in Limpopo Department of Health and Social Development where a senior officer was appointed and given the mandate to provide strategic as well as material support for records management in the province’s health institutions (Open Democracy Advice Centre and South African Human Rights Commission, 2010: 7). This contributed largely to the Limpopo Department of Health and Social Development to its recognition in the ‘Golden Key Awards’ in 2008 as the most performing provincial department in South Africa (Open Democracy Advice Centre and South African Human Rights Commission, 2010).

For instance, the provincial administration in Limpopo appointed a senior officer responsible for records management who provided strategic and material support for the appointment and training of records management professionals in health institutions. This likely contributed immensely to the Limpopo Department of Health and Social Development being recognized in the Golden Key Awards in 2008 as the best performing provincial department in the country (Open Democracy Advice Centre and South African Human Rights Commission, 2009).

4.7.4.1 Factors Affecting Development of Archives and Records Management

Studies conducted by Nengomasha (2013) Sub Saharan Africa is facing challenges of managing its records. Storage and lack of resources are major factors bedeviling development of archives and records management in the City of Johannesburg. The lack of skills transfer in department of records management is also another challenge. One manager said,

> *"There are numerous challenges for development of archives and management of records in the department of records management and these include lack of capacity, lack of adequate experience on electronic records management and lack of resources".*

The management of digital records poses serious challenges to most records management department in South African departments because most of these organizations are struggling to keep pace with the technological evolutions (Kwatsha, 2010). Nonetheless most relevant studies on electronic records in South African municipalities have not given much prominence. The managers also highlighted that the implementation of digital records management systems like EDRM (Electronic Document and Records Management) systems and Enterprise Records Management Software have posed some challenges because employees have been learning these Information Technologies gradually.

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The study established that the factors that the factors that affect implementation of the digital records management system are varied including: technical factors (such as system functionality as well integration in the records management department and social factors (like top management support to trained employees, the lack of a pre-training needs assessment before training, and the lack of effective communication

between top managers and subordinates, change management .In line with Katuu's (2015) the study furthermore established these different factors are interrelated and there are always in intricately affecting the development of archives and records management in the department of records management at the City of Johannesburg municipality.

4.7.5 DETERMINE THE SKILLS AND TRAINING OF THE ARCHIVES AND RECORDS MANAGEMENT STAFF AT THE CITY OF JOHANNESBURG

4.7.5.1 Training and Development

Training and acquisition of skills and knowledge largely influence the development of archives and records management. The field of records management is transforming due to the evolution of Information and Communication Technologies and therefore training and development programs are requisite to keep records management personnel in in touch with the records management dynamics. Therefore, the study assessed whether the staff receives training and if so, it sought to assess whether the training was effective in enhancing development of archives and records management in the municipality.

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The study established that the administrators and managers received training on records management systems, information technology, records management software's, communication skills, team building and coordination, life skills, delegation, records management principles. The study also established that employees received training on communication skills, teamwork, life skills, capture, storage and retrieval of records, problem solving, innovativeness and independence at work as well as accountability and responsibility. It should be noted that Jackson, Schuler & Werner (2011) emphasized that training develops workers to ensure they meet the job

requirements, thus improving their competency which is instrumental in in leveraging development of archives and records management at the City of Johannesburg. According to Diseko (2014) training helps to change the behavior of the workers so as to perform in their jobs on acceptable criterions. It is mainly aimed at ensuring that relevant skills and knowledge are acquired by the workers in order to improve performance. Moreover, training is meant to be completed within a specified period of time and those training increases the effectiveness of workers. One manager said,

> *"All the employees have recently received training archival development and records management but we have not seen improvement in terms of performance of the department because there are no limited skills transfer due to lack of resources, time and a proper post-training and development intervention plan".*

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Literature shows that the more skills are applied on the workplace, the easier it will be for the entire organization to adapt to changes that may arise with the overall municipality (Raliphada, 2014). Although 2/4 records management felt that the training and development programs in the records management was effective and was increasing the capabilities of employees with less time and fewer financial resources they pointed out that unless the learned skills are put into practice, these skills and ideas tend to be forgotten soon after the program. The managers also highlighted that there were no systems such as monitoring and evaluation systems to ensure skills transfer

It is therefore essential to ensure that learners practice what they learned in different context to ensure effective skills transfer. Since the works department of records management also works in an electronic environment; which is dynamic it is supposed

to be a learning organization that facilitates the learning of its staff and constantly transforms itself as propounded by the Continuum model theorists.

According to Kozlowski & Salas (2009) staff training is a vital investment in all organizations, but there is no guarantee for its success if there is no proper planning as well as effective implementation of the learned skills. Literature shows that the relationship between the managers and employees plays a critical role in unlocking the potential of trainees to do learning transfer. Positive relationship results in a positive skills transfer and inversely a negative relationship results in the failure by trainees to transfer the learned skills.

Programs for managers should be considered seriously if transfer of learning is to be effective. Saravanan & Vasumathi (2017) argue that while training provided to workers does not necessarily develop their maturity it instead gives them skills as well as increases their confidence and self-esteem. Saravanan & Vasumathi (2017) however, believe that the capability and performance depend on the attitude and emotional maturity of the trainees.

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4.8 CONCLUSION

This chapter provides the interpretation and analysis of the data collected through questionnaires, in-depth interviews and observations. This study combined qualitative and quantitative approaches which was suitable in answering the research questions of this study. A single pronged methodological approach could not provide deeper insights. The integration of methodological approaches reinforces the research design, as the strengths of one approach offsets the weaknesses of the other and can proffer a more substantial and comprehensive evidence than the mono-method studies. A semi-structured questionnaire and an interview guide were designed to elicit information from the staff and records managers respectively, at the City of

Johannesburg Municipality. Although the study relied on both primary and secondary data, the primary data was basically used for the analyses and discussions. Qualitative data was analyzed thematically and quantitative data was analyzed using both SPSS Statistics Version 25 and Microsoft Excel 2007.Based on the findings, it is clear that development of archives and records management at the City of Johannesburg is affected by an array of factors, which includes lack of appropriate education and IT expertise, the absence of strategic and material support for the appointment and training of records management professionals. Furthermore, lack of skills transfer, lack of an operational policy, limited budget, lack of capacity, lack of equipment (like computers, scanners, fax, photocopying machines), errors in file plan restructuring, lack of adequate strategies for records management and development of archives. The department of records uses Enterprise Records Management software, which however is not updated and thus frequent reports of missing records, misplacement of records and retrieval challenges. Therefore, the development of archives and records management is not taking place because the municipality's records management system is flawed; without a formally operating policy, update records management software, effective records management strategies or skills transfer plans. The discussion of findings was as per each objective point. The following chapter provides a detailed discussion of the research findings, conclusions and recommendation.

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CHAPTER FIVE

SUMMARY AND DISCUSSIONS OF FINDINGS, CONCLUSION AND RECOMMENDATIONS

5.1 INTRODUCTION

This chapter summarizes the findings from chapter four as well as providing recommendations on the way forward on challenges and discrepancies indicated by the participants during data collection. This chapter provides a summary of the major points that were discussed in the study. It also reflects how the analysis responded to the problem statement and objectives of the study. The chapter also provides a way forward in which the researcher articulates strategies, plans, polices and ways that should be adopted so as to address the factors that affect the development of archives and records management in the department of records management at City of Johannesburg municipality. A qualitative and quantitative methodology that was employed in this study facilitated the extraction of findings, which adequately addressed the aims and objectives of the study. Four records managers were interviewed and 76 employees participated in the survey conducted at the City of Johannesburg municipality.

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5.2 FINDINGS OF THE STUDY PER OBJECTIVE

Each of the study's objectives has been achieved as is discussed.

5.2.1 Records Management Strategies those are currently in Place in the Development of Archives

The study established that archiving of file and backing up of emails are some of the records management strategies in place. The study established although email backups and archiving of files are important strategies, more effective and modern

strategies like Integrated Records Management system across the entire organization and the cloud system have not been put in place. Lack of funding and IT expertise has been cited by the records managers as one of the obstacles to the implementation of modern and advanced records management strategies. Further regular training of staff has been mentioned as one of the records management strategies. The study established that although training and development programs were rolled out, skills transfer was not fully taking place due to lack of; equipment, time, managerial support and post-training interventions. One of the records managers mentioned infrastructural development and boosting of funding as some of the strategies in place. Records management strategies in the department of records management have not been effective due to lack of an operational policy and funding. The goals of policy cannot be attained if the subsisting policy is not constantly evaluated and analyzed (Jamart & Rodeghier, 2009).

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5.2.2 Policy and a Legislative Framework on the Development of Archives and Records Management

The study established that there is a records management policy in the department of records management, however it is not operational. The records management policy is the flagship and constitutes a core component of the organization's records management system and therefore, the absence of an operational policy spawns more records management challenges (Inglis, 2015). The lack of an operational records management policy has spawned challenges like records insecurity, lack of accountability, difficulty in accessing records, misfiling and misplacement of records. The lack of a functional policy has furthermore has also spawned an ineffective records management system as well as challenges compliance with national policies

and legislations. Transparent and accountable records management "cannot be promoted if inter alia the policy is not laid down and implemented" (Meiring 2015:2).

5.2.3 The skills and training of the archives and records management staff at the City of Johannesburg

5.2.4 Records Management System in Place to Manage the Records that are created in the Department

The study established that there is a records management system in the department of records management at the City of Johannesburg. The department uses both paper and electronic records. The study established that the department uses Enterprise Records Management Software (ERMS), nonetheless updated and as such reports of missing records, misplacement of records and retrieval challenges have been abounding. Furthermore, the records management system of the City of Johannesburg municipality is operating without a policy, which has reproduced more challenges for development of archives and records management. Lack of funding and IT expertise has resulted in an ineffective and obsolete records management system, which has disproportionately affected development of archives and records management at the City of Johannesburg municipality. To that, this study makes the following recommendation.

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5.3 CONCLUSION OF THE STUDY PER OBJECTIVE

This section provides a summary of the study. This study sought to evaluate the factors that affect the development of libraries and archives: a case study of City of Johannesburg municipality. Respectively, semi-structured questionnaire and an interview guide were designed to elicit information from 76 employees and 4 records managers at the City of Johannesburg Metropolitan Municipality. The discussion of findings was as per each objective point. Based on the findings, it is clear that

development of archives and records management at the City of Johannesburg is affected by an array of factors which includes lack of appropriate education and IT expertise, the absence of strategic and material support for the appointment and training of records management professionals, lack of skills transfer, lack of an operational policy, limited budget, lack of capacity, lack of equipment (like computers, scanners, fax, photocopying machines), errors in file plan restructuring, lack of adequate strategies for records management and development of archives.

5.3.1 Records Management Strategies that are currently in Place in the Development of Archives

A strategy for records management and development of archives is indispensable to an effective and sound records management program (Wright, 2013). An effective records management strategy should be designed in way that ensures that the organization's records management programme is aligned the overall corporate objectives, with achievable and clear goals as well as priorities, in the short term. Mulllon (2013) noted that an effective strategy for records management should constitute an approach for the realization of, 1) increased accountability, 2) cost reduction, 3) reduction of risk, 4) compliance with regulatory, statutory as well as standards requirements, 5) effective information assets management from creation to disposition. Records management in electronic environment constitute an intricate and complex strategic issue for all the organizations due to the fact that IT systems influence business operations as well as the nature and management of records they create and therefore the significance of training and skills transfer cannot be over emphasized (McLeod, Hare &Johare, 2004).

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5.3.2 Policy and a Legislative Framework on the Development of Archives and Records Management

The training policy of the organisation should reflect the attitude of the organisation towards worker training and development. The department of records uses Enterprise Records Management software which however is not updated and thus frequent reports of missing records, misplacement of records and retrieval challenges. Therefore, the development of archives and records management is not taking place because the municipality's records management system is flawed; without a formally operating policy, update records management software, effective records management strategies or skills transfer plans.

5.3.3 The skills and training of the archives and records management staff at the City of Johannesburg

Research indicates that organizations should not take the completion of training and development programs as the end. "Training should be followed up with after action reviews, discussions, practice and feedback in order to promote skills transfer" (Moskowitz, 2008:6). The author further suggested that job aids are also a simple technique to increase the possibility that trained skills will be applied to the job. Training transfer which refers to the implementation, maintenance and generalization of trained skills on the workplace should be operationalized through deployment of adequate resources and personnel. According to Department of Public and Development Administration (2017) managers should ensure that they set up some work situations which provide a platform to implement the skills learned by employees. It is also imperative to make sure that the work situations immediately trial training so as to assist the employees in retaining the new skills. All the records management personnel need to have a macro-understanding, combined with the micro-level

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knowledge as well as practical skills, determined by their responsibility, roles and systems interface level. Effective training provides the new professionals with the knowledge of theory of records management and it also helps the records management personnel to explore the contemporary practice. Mumford, Campion & Morgeson, (2007) argue that the existing literature endorses a constricted focus on the knowledge, skills, and abilities because of its constant focus on individuals and this has consequences for effective employee development. The literature review highlighted that training should be customized so that it meets the learning needs of the employees in the organization. Armstrong & Taylor, (2014) highlighted that competency models are widely used in business for defining and assessing competencies within organizations in both hard and soft skills. Ideally this speaks to identifying gaps within the organization that can be perfected through training and development.

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5.3.4 Records Management System in Place to Manage the Records that are created in the Department.

Records management in electronic environment constitute an intricate and complex strategic issue for all the organizations due to the fact that IT systems influence business operations as well as the nature and management of records they create and therefore the significance of training and skills transfer cannot be over emphasized. The lack of funding, resources and post-training programs and plans also critically affects skills transfer in the department of records management.

Since each organization “is different, with differing priorities and infrastructure”, it is always advisable to take the municipality’s specific needs into account before implementation of any records management system (Nguyen, Swatman & Fraunholz, 2007). The archival development and records management policy should guide the

organizational records management strategies of which this has not been happening at the City of Johannesburg municipality because the records management policy is not operational. The following section articulates strategies, plans, polices and ways that should be adopted so as to address the factors that affect the development of archives and records management in the department of records management at City of Johannesburg municipality

5.4 RECOMMENDATIONS

The following recommendations were established to improve the records management at the City of Johannesburg Municipality.

5.4.1 Integrated Records Management System

"As organizations increasingly have to manage several compliance frameworks simultaneously, it is recommended to implement an integrated management system. MSR integration with other management systems can help organizations manage records properly, knowing that most of these systems rely heavily on documentation. Providing an organization with the proper records and information management systems associates with recognizing potential risks in maintaining records, and acquiring a strategic plan to moderate the likelihood of damaged or loss data. The impact of data loss in the organization's overall business operations should be taken into account, and systems should be set up to identify methods to protect vital records, monitoring, maintenance systems, improvement processes and the addition of records as required".

5.4.2 Support Strategic Direction

A proper records management system backs the organization's growth because MSR (Management System for Records) necessities application should be aligned with the business's strategic direction. The organization's vision, mission, values as well as

objectives should be uninterruptedly communicated to pertinent interested parties to make that they are agreed by them. This culture entrenched in the organization will bring about improvement of the management system.

5.4.3 Operationalization of Records Management Policy

Firstly, the government needs to operationalize the records management policy to address factors that are affecting records management and archival development in the records management department. The policy implementation process requires a collaborative and collective effort amongst key stakeholders in the department. As stressed by Blackman (2002:21) all the stakeholders should be involved for the sustainability of any project. The policy needs to capture the advanced electronic management systems and lay out how these can be operationalized in the records management department. There should be a policy shift to the modern modus operandi so as to ensure Records Management Integration throughout the municipal departments. This legal approach will address all the structural impediments that are affecting the development of archives and records management in the department. It is the onus of the records management staff to make sure that the policy is effectively implemented, constantly adapted to the dynamic environment, persistently aligning to the demands of the dynamic records management environment. Records management policing as well as appropriate implementation of the policy is the principal vanguard against corruption in the department of records management Idyllically, formal records management policy frameworks should be implemented in line with common national vision and provide direction and guidance in the records management department.

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5.4.4 Provide Detailed Information on the Relevance of Training and Development Programs to Employees

"Participants suggested that before the beginning of training and training programs in the organization there need for the trainers to provide information which detail why the new knowledge and skills the employees will get in the training sessions is requisite. There is need for trainers to make sure that the employees understand the connection between the training and their jobs. There is need to do a needs and skills analysis to determine the real need for employee training and development as well as to make sure the opportunity you are pursuing or the problem you are solving is a training issue.

It was also established by this study that there is need to create a context for the employee training and development. The participant's managers should provide information to the employee about the relevance of the training and skill enhancement to our jobs. This contextual information will help create an attitude of motivation as the employee attends the training.

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One manager suggested that there is need to make sure those managers and trainers take an extra step by describing how the skills to be learned by the employees could contribute to City of Johannesburg municipality's objectives. It was also suggested that when choosing courses trainers should make sure that the training and development programs are specific to skills which the employees needs to develop. For instance, it is a waste of resources and time if managers or supervisors to send the employees to do a general communication course, when the employees require training on how to deal with the complaints of customers.

5.4.5 Operationalize Skills Transfer

A total of 10 out of 15 employees suggested that there is need for management to give them a chance to implement their newly acquired skills. Without practice, the newly acquired knowledge and skills can be lost easily. Therefore, it is imperative that

completion of training, employees should be provided a chance to implement. Employees argued that the more the trainees practice what they learnt in different contexts and situations and use innovation in practicing, the more successful is learning transfer. It is therefore, indispensable to make sure that employees practice the learned skills in various contexts to make sure that there are effective skills transfer. Managers also suggested that training courses should be timed to allow staff to immediately begin to transition into using the new tools or systems in their work. Financial as well as time constraints were raised by most of the participants as some of the impediments to effective skills transfer in the organization. The participants therefore suggested that the organization must budget enough funds for post training interventions. Municipalities must set aside enough budget to cover the training costs for, at least, scarce and critical skills to ensure effective service delivery. Job description must also be drafted for all employees.

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5.4.6 Post-Training Programs

According to Kozlowski & Salas (2009) in similar fashion as the pre-training meeting, managers should review with employees the training content as well as the overall training experience. The post-training debriefing is ideal to plan identify, and consent on the next steps including how skills transfer will be done. Managers and supervisors are at pivotal positions to set the stage for the success of training and development programs. Competency-Based Model

This study recommends the Competency-Based Training model for the local government employees which will serve as a basis for capacity building in the local government sphere. Competency-Based Training model entails an educational system which emphasizes the learning, demonstration and specification of those competencies (behavior, knowledge and skills). This study defines the Competency-

Based Training (CBT) as a system of organizing, instructing and evaluating aimed at improving skills, knowledge as well the behavior of trainees to be competent on task completion. The model as an approach to build capacity will be catalytic in enhancing the production of competent, professional and self-driven human capital for the local government which is integral to the development of archives and records management. It will also provide within the wider local governance sphere in South Africa, an opportunity to solve problems and backlogs of service delivery effectively, innovatively, efficiently and creatively within the policy framework of the local government of South Africa. Figure 1, depicts the proposed model that is proposed to be adapted for employee training in the department of records management at the City of Johannesburg municipality.

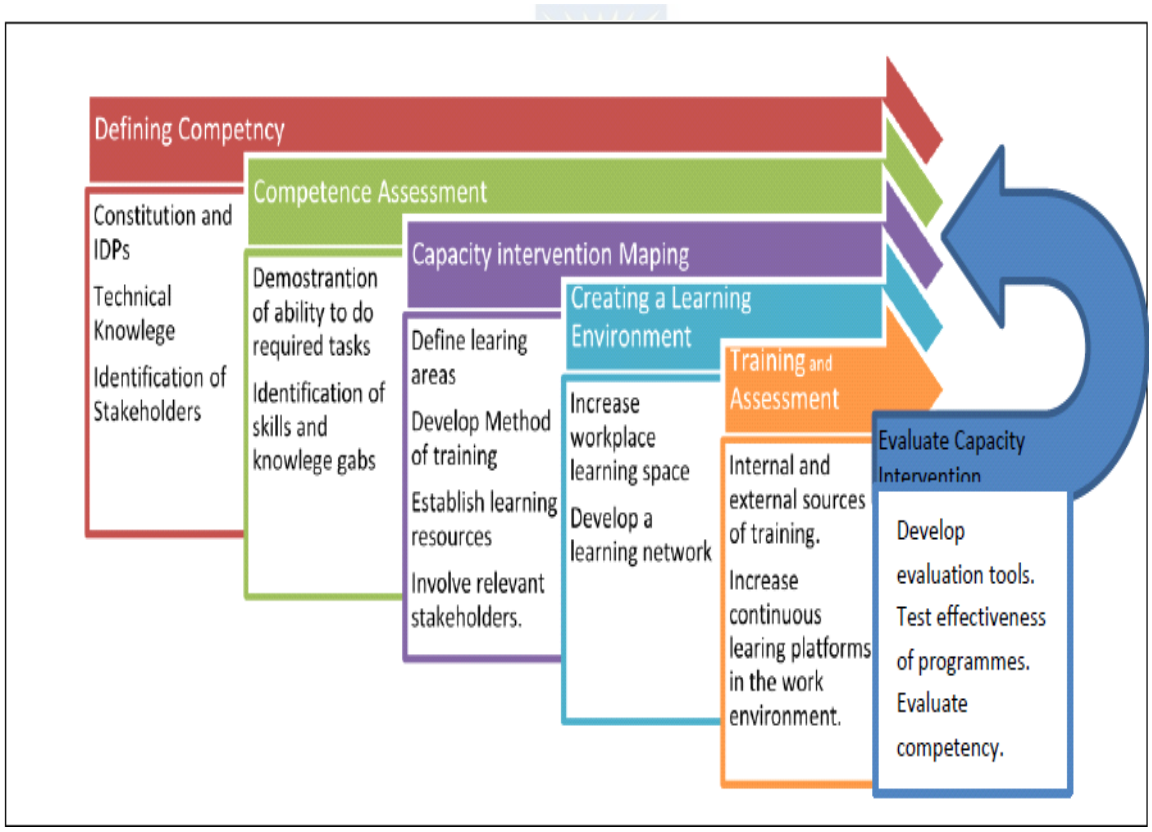

Figure 1: A Competency Based Model Map

Source: Ndou, 2015

The diagram is an attempted CBT map which can used as a capacity building model amongst municipalities in South Africa. The model can be modified to meet the different needs of the different municipalities. The first crucial point is defining the local government constitution where strategic frameworks for the Republic as the IDPs and the constitution are consulted. The establishment of the technical knowledge context required for task performance is very critical. A further prerequisite is relevant stakeholder identification guided by the local government and knowledge market context. Competency assessment is the second step required and it should be established through demonstration of capacity by officials to execute the required tasks, where discrepancies and shortcomings are identified. The third step which is required is the creation of a learning environment for employees, through increasing the learning space, thereby permitting employees to identify the learning need. At this phase the municipalities develop some learning networks, through the establishment of relationships with the relevant stakeholders like researchers and universities. The fourth step focuses training and assessing, through internal as well as external sources of capacity building training. The next stage focuses on evaluating the capacity building training and development programs. This is to make sure that the training models and methods utilized continue to be assessed and evaluated so as to meet the needs of the municipalities for capacity. Adjustment of every stage can be carried to make sure that it fits the capacity building of each area, which can either be managers, employees, the municipalities or their environmental context.

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5.4.7 Establish Instruments for the Assessment of Needs and Competency

Managers indicated that there is need for the establishment of the instruments for the assessment of needs and competency. This is premised on the fact that the capacity to determine when training and capacity building is needed in the municipality is crucial

When the local governments fail to deliver on these indictors, it becomes critical for the municipalities to locate their deficiencies and respond proactively prior the eruption of poor service delivery unrests, and undesirable financial management incompetence.

All participants suggested that there should be a continuous needs assessment in the municipalities utilizing peer assessment, internal as well external instruments for assessment. They further alluded that continuous needs assessment ensures that municipal employees have the capacity for higher competencies, productivity as well as competitiveness for effective service delivery to the communities. These instruments ensure that municipalities are capable of self-criticality and renewal and hence embracing the characteristics of the learning organizations. As a way forward, there it is necessary to make training more effective and relevant to the needs of employees through a continuous needs assessment.

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5.4.8 Development of a Comprehensive Records Management System

The study recommends that the institution considers developing a records management program, appoint IT specialists as well as introducing SharePoint as a document and records management application to assist with management of records (Coetzer, 2012).Australia's recent example from the audit of the Department of Health lessons on how merely implementing an EDRMS application is not a panacea but requires a number of additional components including an overarching governance framework as well as specific records management guidelines and expertise".

5.4.9 Cloud Based Records Management Systems

One of the main contributors to effective records management systems in the contemporary world has been cloud based records management systems that have introduced new software, new formats, and new sources into organizations. These

systems have enhanced records and archives security; therefore, this study recommends operationalization of the cloud system in the records management department.

5.5 AREAS FOR FURTHER RESEARCH

There is need for further research into training and development in records management in the context of ICTs

There is need for an analysis of the records management policy frameworks in South African municipalities

5.6 SUMMARY

An analysis of the organization's records management policy shows that the policy is not well integrated to municipality's overall policy framework. The policy framework does not clearly outline how related the overall municipal and national policies. Furthermore, the policy is not integrated to the municipal's technical policy governing selection of new kinds of technology that processes electronic records, as well as preservation or maintenance policies that seek to addresses the on-going feasibility of such records. The lack of a policy has also reproduced deficiencies of procedures dealing with the day-to-day operations of records management as well as disposal schedules. According to the National Archives (2010) the records management policy is the flagship of the records management department as it constitutes details of the records management strategies and implementation procedures and plans which are critical for the development of archives and records management in the organization. Since the policy is not constantly updated, it does not reflect the current records management needs of the City of Johannesburg municipality.

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Technological advancement and revolution of ICTs (Information Communication Technologies) affects records and archives which support the organizational operations and brings the need to review and update the records management policy and procedures that underpin records management. The study established that the records management is not frequently reviewed or amended so that it remains abreast with the needs of the organization. Research on training as well as human capital development has not adequately addressed critical aspects of the process of transfer or created a comprehensive knowledge body.

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LIST OF APPENNDICES

Appendix 1: ETHICAL CLEARANCE

ATTACHED AS SEPARATE DOCUMENT

Appendix 2: Interview Guide

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INTERVIEW GUIDE FOR RECORDS MANAGERS

1) What is the state of archives and records at the City of Johannesburg?

2) How do you rate the archives development and records management at the City of Johannesburg Municipality?

3) Does the City of Johannesburg Municipality follow the Legal and Regulatory requirements of records management?

4) Is there a policy and legislative framework regarding the development of archives and management of records in the City of Johannesburg municipality?

5) If yes, do you think the framework is effective in enhancing records development and management at the City of Johannesburg Municipality?

6) What strategies are currently in place for records management and development of archives at the City of Johannesburg Municipality?

7) Which resources does the municipality have for archives development and records management?

8) Do you think the resources are adequate for effective archives development and records management?

9) In your view, what could be the factors affecting development of archives and records management at the City of Johannesburg Municipality?

10) Does the records management staff receive any training on archives development and records management?

11) If yes, do you think the training is effective in enhancing archives development and records management in the municipality?

12) What can be done to effectively deal with the factors affecting archives development and records management at the City of Johannesburg Municipality?

13) What do you recommended to enhance effective archives development and records management at the City of Johannesburg Municipality?

THANK YOU FOR YOU PARTICIPATION AND TIME

Appendix 3: Questionnaire

QUESTIONNAIRE FOR ARCHIVISTS, CLERKS ADMINISTRATORS AT

THE CITY OF JOHANESSBURG MUNICIPALITY

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My name is Mauls Vela, a student from the University Of Fort Hare in Alice pursuing a Master's Degree. I am conducting a research focused evaluating factors that affect the development of archives and records management in City of Johannesburg Municipality. You are kindly invited to participate in this study as it will be beneficial to the records management department at the City of Johannesburg Municipality on how records and archives can be developed and managed effectively. Your participation is key to the success of this study. Your participation in this study will remain confidential and all the information given here will be used for academic purpose only. Completion of this questionnaire is voluntary and anonymous. Your contribution will be greatly appreciated.

	Date……..2018

Questionnaire Number ……	

SECTION A) PERSONAL DETAILS

1 What is your gender?

Gender	Male	Female

2) How old are you?

Under 20	21-30	31-40	41-50	51-60	60+

3) What your position in the Archives Department at the City of Johannesburg Municipality?

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Archivist	**Clerk**	**Administrator**

4) What is your highest qualification?

Grade 7	Matric	Certificate	Diploma	Degree

SECTION B. OBJECTIVE 1: MANAGEMENT STRATEGIES THAT ARE CURRENTLY IN PLACE IN THE DEVELOPMENT OF ARCHIVES

5) What strategies are currently in place for records management and development of archives at the City of Johannesburg Municipality? Please tick on the options provided below

Archive our files	
Backup our emails	
A single RM system integrated across the whole organization	
Outsource/Cloud Service	
We have no strategy for electronic records	

6) Do you think the strategies are effective in enhancing archival development and records management at the municipality? Please tick in the boxes below where appropriate

Very Effective	
Not yet fully implemented	
Progress is slow, but we're going in the right direction	
It is still being implemented but it is promising	
It is not effective at all	
Not effective due to resource constraints	
Not yet sure at this implementation phase	

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7) Do you have separate record repositories for the following record content types?

	Yes	No
Electronic documents		
Confidential/classified documents		
Scanned documents/images		
Digital assets		
Drawings, Photos		
Email		
Web content		
IM		
Social content		
Physical		

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8) Have you re-structured file plans to simplify use and improve user accuracy, or reflect (Please tick in the boxes below where applicable)

Yes — very successfully	**No, but we are planning to**
Yes — some improvement	**No, we're happy with what we have**
Yes- but it's too hard to change it	**No, it's not ideal**
	No, we don't yet have an agreed structure

9) Would you consider adapting a cloud system for your records?

Yes-Already having it	**No-definitely not**

Yes-but when there is appropriate security	**No- it's not reliable**
Yes actively planning it	**No-It is difficult to work with**

SECTION C. OBJECTIVE 2: POLICY AND A LEGISLATIVE FRAMEWORK ON THE DEVELOPMENT OF ARCHIVES AND RECORDS MANAGEMENT.

10) Does the City of Johannesburg Municipality have a policy for the development of archives and records management? Please tick in the boxes provided below where applicable.

Yes-complete, active and in operation	
Yes but not in operation	
Yes in draft	
No-but currently formulating one	
No- but planning to formulate one	
No-not planning to formulate one	
I am not sure	

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10(i) If yes; Please Specify the policy …….....

11) To what extent do you agree or disagree with the following statements?

The municipal policy enhancing archival development and records management in the municipality

Agree	Strongly Agree	Neutral	Disagree	Strongly Disagree

12) Does the City of Johannesburg Municipality have a legislative framework for the development of archives and records management? Please tick in the boxes provided below where applicable.

Yes-complete, active and in operation	
Yes but not in operation	
Yes in draft	
No-but currently formulating one	
No- but planning to formulate one	
No-not planning to formulate one	
I am not sure	

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13) Does the City of Johannesburg Municipality follow the Legal and Regulatory requirements of records management?

Yes	No

13(i) If no, explain why the municipality fails to follow the regulatory and legal requirements?.....

.....

.....

SECTION D: ACQUIRE SKILLS FOR THE PRESERVATION AND CONSERVATION OF RECORDS.

14) Does the staff receive training to acquire skills on the preservation and conservation of records in the department?

Yes	No

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15 The training provided is focused on what? Tick in the boxes provided below where applicable.

Records Administration	Records Management	Clerical work	Capturing and retrieval	Data Storage
Other Specify				

16) Do you think the training received has improved archives development and records management at the City of Johannesburg Municipality?

Yes	No

17 Do you feel that the training conducted has improved your understanding of development of archives and records management?

Yes	No

17) To what extent do you agree or disagree with the following statements?

i) The training provided has improved my skills in archival development and records management

Disagree	Strongly Disagree	Undecided	Agree	Strongly Agree

ii) I am able to fully utilize the skills that I gained from the training and development programs

Disagree	Strongly Agree	Undecided	Agree	Strongly Disagree

iii) The training and development programs improves my competence in archival development and records management

Disagree	Strongly Agree	Neutral	Agree	Strongly Disagree

iv) Factors that are hindering you from utilizing the skills that you acquired from the training and development programs

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Lack of financial Resources	**Lack of managerial support**	**Lack of equipment**	**Lack of time**	**Lack of managerial support**

Other Specify	

SECTION D. OBJECTIVE 4: RECORDS MANAGEMENT SYSTEM IN PLACE TO MANAGE THE RECORDS 18) Do you have a records management system at the City of Johannesburg Municipality?

Yes	**No**

19) How do you rate the archives development and records management system at the City of Johannesburg Municipality?

Excellence	**Good**	**Better**	**Poor**	**Worse**

20) What types of records are created, received and maintained by the City of Johannesburg Municipality?

Electronic Records	**Paper Records**	**Both electronic and paper records**

21) Which records management software is used at the City of Johannesburg municipality? Please tick in the boxes provided below where appropriate

Cloud-Based Records Management Software	**Enterprise Records Management Software**	**Others; Please specify …… …….. ……..**

22) In your view, what could be the factors affecting development of archives and records management system at the City of Johannesburg Municipality?

Lack of capacity	**Lack of financial resources**	**Lack of expertise**	**Lack of proper equipment**	**Managerial incompetence**	**Other specify…… …..**

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23) Any advantages of the current organizational records management system? Please tick in the boxes provided below where applicable?

	Yes	**No**
Increase of productivity		
Accountability in the organization		
Cost-effective		
Minimization of litigation risks		
Protection of vital information		
Easy access to records		
Better governance		

Effective organizational decision-making		
Capability to adapt new technologies		
Any other benefits; specify …….		

24) Any disadvantages of the current organizational records management system? Please tick in the boxes provided below where applicable?

	Yes	**No**
Difficult in accessing records		
Records insecurity		
Costly to the organization		
Ineffective in creation and growth of records		
Misfiling of records		
No records backup plan		
Any other disadvantages; Please specify …….		

25) What can be done to effectively deal with the factors affecting archives development and records management at the City of Johannesburg Municipality?

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26) What do you recommended to enhance effective archives development and records management at the City of Johannesburg Municipality?

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THIS IS THE END OF THE QUESTIONNAIRE AND THANK YOU FOR YOUR PARTICIPATION AND TIME.

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Malusi Vula. Cell No: +27714364233; Email: vulamalusi@gmail.com

Appendix 4: Letter from Language Editor confirming proof-reading of the Thesis

STADCO Creatives!
Editors and Content Creators

33 Adams Crescent, Sherwood, Durban
4091

TO WHOM IT MAY CONCERN:

This document certifies that the dissertation with the title appearing below has been edited for proper English language, grammar, punctuation, spelling, syntax, formatting, referencing and overall style by Doctor Agrippa Makope, a member of STADCO Creatives who is a qualified journalist with vast editorial experience.

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FACTORS AFFECTING ARCHIVES AND RECORDS MANAGEMENT IN THE CITY OF JOHANNESBURG MUNICIPALITY
Author:

MALUSI VULA (201100961)

Dates Edited: 2-16 October 2020

Signed:

Dr Agrippa Makope
+27603495804
agmakope@gmail.com

16 October 2020

Qualifications

Honours in Media and Society Studies (Midlands State University, Zimbabwe)

Master of Arts degree in English and Applied Communication (Great Zimbabwe University)

PhD English Studies (University of Venda, South Africa)