

**DEVELOPING A RECORDS AND INFORMATION MANAGEMENT MODEL FOR
OIL MARKETING COMPANIES IN ZAMBIA**

BY

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Dissertation Submitted to the University of Zambia in Partial fulfilment of the requirements
for the award of a Master in Business Administration (General)

THE UNIVERSITY OF ZAMBIA

LUSAKA

2020

DECLARATION

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ABSTRACT

The success of any organization is dependent upon effective records management practice that ensures the right records are available when needed for effective operation. An effective records management system facilitates the flow of records throughout an organisation to ensure that information is available readily where and when it is needed. However, studies have shown that many organizations are still faced with challenges in records management. Misplacement rates are alarming in most organizations and too much time spent in retrieving records. Studies have also shown that delayed retrieval of active records, management policy, up to date records retention and disposal schedule and guidelines for managing electronic were among the notable challenges. This study identified the challenges faced by oil marketing companies in records management in Zambia. Specifically the study sought to develop a model in order to address the identified challenges. The study utilized purposive non probability sampling with closed ended researcher administered questionnaire. A total of 151 questionnaires were administered with a response rate of 53%. The primary data obtained from the questionnaires was analyzed using statistical package for social sciences (SPSS) and Chi-square tests was conducted to establish the level of independence between variables. Using a detailed literature review and questionnaire surveys, the results of the study confirmed the challenges of records management in the oil marketing companies. This study has revealed that oil marketing companies face challenges such as ability to meet legal compliances, to create and retain records in both paper and electronic format, inadequate records identifiers and access guidelines. The study further revealed that these companies also face challenges such as, difficulty in retrieving the documents and a continuing need for storage space for growing volumes of records. The study has also shown that the organization have no formal records management programs in place. It is therefore been realized that the organizations need a better, more efficient and more uniform way of creating, sorting, storing and destroying the records. In filing, bar code scanners should be introduced to make identification and storage of records easier. These will also help to improve the management control and security aspect of records management and address most of these challenges faced by oil marketing companies.

Keywords: Record Management, Records Cycle Model, Oil Marketing Companies.

ACKNOWLEDGEMENTS

Firstly, I would like to thank God Almighty for giving me the strength, ability and guidance to successfully complete this study

My special thanks go to my supervisor, Dr Jackson Phiri for his total support, encouragement and endless patience to me during the time I was working on my dissertation.

I also want to extend my gratitude to my family especially my husband for his support and encouragement during the time of the study.

Lastly, I would like to thank Puma Energy Zambia management for allowing me to undertake this study

DEDICATION

This dissertation is dedicated to my husband Clement and the children Joy and Jonathan for their understanding and support during the period of study. I hope it will remain an inspiration

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ACRONYMS

BP- British Petroleum

OMC- Oil Marketing Company

ZRA- Zambia Revenue Authority

CHAPTER 1: RESEARCH BACKGROUND

1.1 Introduction

This chapter introduces the dissertation and provided information on the background of records management in organizations. The chapter present the statement of the problem, the research questions and research objectives. The chapter also discussed the relevance of undertaking this study.

Puma Energy Zambia Plc is one of the Oil Marketing Companies that operate in the petroleum industry. The company markets, distributes petroleum products and lubricants in Zambia. Puma Energy Zambia is involved in the production of records in its processes/or business activities. The company receives and generates volumes of records often available for employees to update or familiarize themselves with the normal operation and also to run the organization efficiently. The business also keeps records to fulfil legal requirements for their operations and protect the rights of stakeholders. For instance in Zambia a company has to keep records for a certain period of time in compliance with the requirement of tax, company and customs and exercise regulations. According to Stephen (2014), the success of any organization is dependent upon an effective records management practice that ensures the right records are availed when needed for effective operation.

Organizations are accountable in many ways to meet legal, regulatory and fiscal requirements, undergo audits and inspections or provide explanations for what was done (Shepherd and Yeo, 2003). Organizations ought to adhere to proper records management practises in order to ensure good public service delivery. Without reliable and authentic documentary evidence underpinning all essential accountability processes, organizations cannot ensure transparency, guarantee accountability or allow for the exercising of good governance (Obura, 2012). The primary function of records management is to facilitate the flow of records throughout an organization to ensure that information is available rapidly where and when needed. Unless records are managed efficiently, it is not possible to conduct business, to account for what has happened in the past or to make decisions about the future. To carry out these functions require an efficient, effective records management program and practices.

1.2 Background of the Study

Puma Energy Zambia PLC is a public company and was incorporated on the 30th day of June, 2011. The company acquired majority shares from BP Zambia PLC which was incorporated on the 16th day of August 1963. Puma Energy Zambia Plc markets and distributes petroleum products and lubricants in Zambia; ensure a secure, safe and affordable supply of the following sectors: business to business, retail, lubricant, aviation, bitumen, liquefied petroleum gas, storage supply, bunkering, wholesale, marine systems and refining. It owns 57 service stations located in the main towns and cities of Zambia. The company also has fuel depots in Lusaka, Southern, Copperbelt, Western and Northern Western provinces of Zambia. In its operation, the company generate a lot of records to help do its business efficiently. Organizations create records to support the activities they carry out. The ability to manage information plays a crucial part in business success. For reliable flow of information, an appropriate system of managing records ought to be in place. Thungu et al, (2008) agree that good record keeping enables one to find information easily. (Bulinda 2013) states that good records management is the pillar to the continual improvement of management processes and hence output. He further adds that effective and efficient service delivery cannot be realised in the absence of sound records management. It is only through the operations of a well-run Records Management program that an organization retains control of its corporate memory, which in turn allows it to conduct business.

However, if these records are not managed properly, they will not provide the necessary support. Isa (2009) indicates that record keeping was thought essential in the administration of government offices such as in the British Civil Service in the nineteenth century and in the Netherlands in the early twentieth century. Record keeping practices have evolved from the ancient world to modern times. The introduction of computers in the middle of the twentieth century affected the role of record keeping in underpinning effective administration and businesses operations as organizations were beguiled by the impressive characteristics of digital technology, particularly in the creation, storage and retrieval of information along with apparently reliable security features. It is essential for organizations to have reliable record keeping systems for their sustainability, particularly for censorship and retention policies, intelligence, security and intellectual property purposes Cox, (2006). There has been long time neglect for professional records management practice. many organizations have had a notion that they can manage their records, that is, until they can reach a point when retrieval,

appraisal and retention is no longer an easy task, it is the that they seek the help of trained records personnel.

Records management services preserve and provide the corporate memory of an organization. They document an organization's accountability, preserve the evidence of an organization's activities, enable timely access to current administrative information and ensure that records of archival value are marked for preservation at the time of creation and not inadvertently destroyed (Mphalane;2005). According to Shepherd (2006) records which are managed as part of an appropriate records management programme will help the organization to conduct business in an efficient, accountable manner, deliver services consistently, support managerial decision making and transparent policy formulation and ensure continuity in policy execution, management and administration. Despite having records management systems in place most organizations have not yet realised the importance of proper records management. They continue to experience challenges in record keeping. A study conducted by Liyombya (2013) highlighted some of the challenges faced by Oil Marketing Companies in Uganda such as inability to meet legal compliance to create and retain records, access guidelines and lack of storage facilities. It is for this reason that this study sought to identify challenges faced by OMCs in records management in Zambia.

1.3 Statement of the Problem

Ideally, organizations ought to have a records management system to enable them manage records and storing them for future use. An effective records management system facilitates the flow of records throughout an organization to ensure that information is available readily where and when it is needed. However, literature review has shown that organizations are still faced with challenges in records management. A study conducted by Vincent Unegbu and Oludipe Bolaji Advenike on the challenges of records management practices in Nigeria in 2013 revealed that records misplacement rates were alarming in most organizations in Nigeria and that too much time was spent in retrieving records. Another study conducted by Juliana Filomina Chirwa in Zambia 2014 showed that registries in various ministries were faced with many challenges in records management. Delayed retrieval of active records, low motivated staff, lack of records; management policy, up to date records retention and disposal schedule and guidelines for managing electronic records were among the notable challenges. David Luyombya and Joyce Bukirwa also conducted a study on records management in oil

marketing companies and revealed that these companies face some challenges including the inability to meet legal compliance, to create and retain records in both paper and electronic format, inadequate records identifiers and access guidelines, a continuing need for storage space for growing volumes of records and a pressing need for trained staff.

Following the acquisition of BP, Puma Energy has faced challenges to store, catalogue and retrieve documents. Due to this state, the company has often been fined by regulatory bodies for failure to submit required documentation on time. If a records management system is not developed, the company will continue to face the same challenges. It is in light of this, that the study proposes to develop a records and information model to address the challenges.

1.4 Aim of the Study

The main aim of this study is to develop a model that will be used to address the main challenges faced by Oil Marketing Companies in records management in Zambia.

1.5 Research Objectives

- i) To identify the challenges faced by Oil Marketing Companies in records management in Zambia based on the record cycle model
- ii) To develop a model in order to address the challenges faced by Oil Marketing Companies in records management in Zambia.

1.6 General Research Questions

- i) What are the major challenges faced by Oil Marketing Companies in records management in Zambia?
- ii) To what extent can we develop a model that can be used to address the challenges faced by Oil Marketing Companies in Zambia?

1.7 Scope of the Study

The study only covered records management practices in oil marketing companies in Zambia and identifying the challenges faced by Oil Marketing Companies in records management in

Zambia. It also focused on developing a model based on the challenges identified in order to address them. The study also included the aspect of manual records management with a small component of electronic records.

1.8 Significance of the Study

Effective records management and archiving system would help improve operations and success of the organization. For example, effective records management will help in the prevention of penalties, which come due to non-provision of documents. It will also help ensure that there is no loss of assets due to lack of owner.

Secondly, the study shall be beneficial to the records and archives administrators as well as decision makers of the oil marketing companies. For instance, a records management program will help the records administrator manage the records effective and economically. It will also ensure that decision makers have the information they need when they need it to run the company and make informed decisions. Thirdly, the findings of this study shall also add to the existing body of knowledge and may even trigger further research of related topics.

1.9 Chapter Summary

This chapter introduced the dissertation and provided information on the background of records management in organizations. The chapter presented the statement of the problem, the research questions and research objectives. The chapter also discussed the relevance of undertaking this study.

1.10 Organization of the Dissertation

This research is structured into five chapters. Each chapter starts with an introduction and ends with a chapter summary. Chapter one is the introductory chapter. The chapter highlights the background of the study, the research problem, research objectives, research questions and the scope of the research. It also outlines the significance of the study. Chapter two reviews the literature. The literature review covered records management practices, records management cycle, benefits of records management, challenges of records management, Oil marketing companies and records cycle models. The literature also covered related works of

other researchers as well as the gaps in literature. Chapter three is the Research Methodology. It covers research philosophy and data collection. Chapter four is the presentation and analysis of findings. This chapter displays the results in diagrams and tables for easier understanding by the reader. Chapter five discusses the finding of the study and gives a conclusion of the study. The chapter also makes recommendations based on the findings.

CHAPTER 2: LITERATURE REVIEW

2.1 Introduction

This chapter presents the theoretical and empirical literature review relevant to the topic under study. The theoretical review discuss the researches done on records management. Whereas empirical review present views of researchers on some of the study as guided by the purpose of the study and the research questions.

2.2 Record and Records management defined

An organization receives and processes tremendous amount of information day in day out but not all of them are records. In order to define records management, the concept “record” needs to be fully explored. A record is defined either in terms of the physical tangible format in which it appears, or in terms of the information it contains. It must be noted that records differ in format or size and have different contents, according to Yusof & Chell (1998), any definition of records is a pragmatic one. The definition change with the passage of time and as the profession gets involved in more complex issues. Records can be defined as any recorded information or data in any physical format or media created or received by an organization during its course of official business and kept as evidence of policies, decisions, procedures, functions, activities and transactions.

Cornwell Management Consultants (2001) define a record as a document produced or received by a person or organization in the course of business and retained by that person or organization. Langemo (1995) further defines a record as the memory of the organization, the raw material for decision- making and the basis for legal defensibility. A record is viewed by Penn (1994) as any information captured in reproducible form that is required for conducting business. Roberts (1998) states that records are information created, collected or received in the initiation, conduct or completion of an institution or personal activity. Based on the above definitions, the concept record can be defined as the end product of the business activity through which the performance of employees can be measured and thus enforce accountability. It is created or received by employees as evidence in the course of their normal operation in an organization.

All records pass through a lifecycle. Basically, the record is created, actively used for a time, and then stored in case of queries or other referrals before it is too old to be of any further use. At that point it should either be destroyed or transferred to an archive as part of the permanent record of the organization. Often, the driver for the culling process is lack of space rather than any adherence to a cohesive policy.

Records management refer to the whole range of activities, which an organization should perform to properly manage its records. Langemo (1994) defines records management as the professional management of information in the physical form the time records are received or created through their processing, distribution and placement in a storage and retrieval system until either eventual elimination or identification for permanent retention in the archives. Kennedy et al. (1994) defines records management as a function of providing control of records from creation, or receipt through their processing, distribution, organization, storage and retrieval to their ultimate disposal.

The international standard organization on the other hand views records management as a field of management responsible for the efficient and systematic control of the creation receipt, maintenance, use and disposition of records. Records management focuses on procedures and systems for the creation, storage, retrieval and disposal of records.

2.3 Records life cycle

Records life cycle refers to the stages of a record's life span that is, from its creation to its preservation in an archives or disposal.

2.3.1 *Records Creation*

At the beginning of any records management process is the creation of the record. There are many ways to create business records. These may include; sending or receiving an email, creating a spread sheet or document, or receiving a document from outside the organization. Contracts, budgets, bank statements, policy manuals and meeting minutes are all things that can be considered records. An organization should determine which documents created or received during business processes should be captured as records into a record keeping system and how long they should be maintained within the system based on the analysis of the legal and regulatory environment, business and accountability requirements and the risks of not

capturing or retaining the records. According to Norris (2002), many records management programs help in managing existing records well. Unfortunately, records management often is not effective during the time that records are being created. This can lead to redundant records, lack of clearly identified official copies, and insufficient records for audits or litigation. An effective records management program is one that ensures that all records created are the ones needed and records not essential are not captured. Effective records creation entail ensuring that records are sufficient for audits, unneeded records and copies are reduced, records are available for litigation, laws and procedures such as The Public Archives and Documentation Service Act, Cap 19 and ISO 15489 and other professional standards are used in records creation. Record creation is the first stage of a records management process. Therefore, this study tried to identify the challenges OMCs face at this stage of a record. Employees needed to know what records they can create and capture. Organizations needed to have laid down guidelines on what employees were expected to create and capture. Without a guideline, there could be misuse of paper, lack of storage space for vital, useful and important records because unwanted piles of paper would have taken a lot of space.

Records type

According to Emmerson (1987), there are four types of record businesses that you can work with and they are named according to their use. These are; vital records (records that cannot be replaced), important records (those that can easily be transferred to inactive record), useful records (day to day business records) and non-essential records (records of no future value). Records could be grouped according to function, in this case, records could be active or inactive (Cage, 2012). The activeness of each record determines how to rate the record or how to dispose it. Importance of records cannot be overemphasised. Records are created for many purposes namely, historical, legal, personal, financial and for company or organizational or institutional policies and procedures (Bowker,2000). One of the objectives of this study was to identify challenges faced by OMCs; therefore the study looked at how the organization rated its records according to their usefulness and importance. An organization that cannot categorize their created records face challenges because important documents could be destroyed prematurely. This can put the organization at risk during audit, decision making and any other statutory compliances.

2.3.2 *Records Storage and maintenance*

One sure sign that an organization has an effective records management program in place is that it stores and maintains its records securely and efficiently. Records storage requirements have been indicated in various studies including those of Stephen (2004), Wang Lan (2003), OBURA (2012) and many others. Record storage is important in a small or large organization. This is because each document/record has its own value especially on the business of the company. They summarize the storage protection to the level required by the nature, contents and value of the information in them. Cost-effective and secure storage systems that provide quick retrieval will help ensure the ready availability of records in case of litigation, audits as well as for future reference use especially when providing services to the public. If records do not survive for the period that they are required for business or accountability purposes, an organization may be exposed to unacceptable levels of risk and potentially costly consequences. Additionally, records may sustain damage during their period of active use due to poor storage conditions and the organization may incur significant expenses to repair items that are subsequently transferred into archival custody. Storing records appropriately for their retention periods is therefore a good investment for an organization (Commonwealth 2003). It was therefore important for this study to look at how records are kept and accessed in OMCs to identify the challenges faced at this stage of a record. Records should be stored in such a manner so as to facilitate user access and ensure that they are protected from unauthorized access, use, disclosure, removal, deterioration, loss or destruction. Poor storage and maintenance of records in OMCs can halt efficiency, sucking up precious time and causing unnecessary stress for employees.

2.3.3 *Records access and retrieval*

Organizations create, retain, and preserve records so that they can be used. If a user cannot locate a document, it might as well be non-existence. As such, an effective records management program should have in place systems; manual or automated, that can locate and retrieve records in a reliable and timely fashion to meet the needs of users. All the above functions and activities require an implemented records management policy. Records should be managed by the organization in terms of the broad policy and guidelines. In Kenya there are policies enacted through parliament such as Public Archives and Documentation Act Cap 19, Records Disposal Act (Cap 14) among others. However, essential for each body to

establish its own records management policy to link its unique processes and procedures to the requirements of the laws.

The South Africa Arts and Culture Manual (2006) further identify the following as the factors to consider so as ensuring the objectives of a records management program are met. These factors include, full understanding of the organization; the nature of its activities, its mission, objectives, components and operations, level of staff awareness of records management, what records are held and the activities to which they relate, an inventory of record containers (cabinets, shelves, etc.), records documentation (file lists, indexes, etc.), where copies of records exist, date range of the records; frequency records documentation (file lists, indexes, etc.), where copies of records exist, date range of the records; frequency of consultation of the records, tracking systems for the records, current records management system and competence levels of records management staff, record keeping costs, identification of records that should be sustained for the long term.

2.3.4 Records Retention and Disposal

Proper record retention and disposition is the key to an effective records management program. It ensures that records are present when needed for litigation, audits, day-to-day business purposes, or historical research, but that unneeded records do not take up costly storage space (Bowen 2006). According to the National Archives of Australia (2000), at the heart of a legally compliant records management program is the records retention schedule. The policy guides on how long records are supposed to be kept and when to be disposed. This serves as the platform for protecting organizational records as well as the best method to avoid litigations and to control records program costs. Kennedy and Schauder (2007) indicate that records retention schedules enable organizations to meet regulatory requirements and control the costs of records storage through disposing records at the end of their business life

Records disposition refer to the actions that are associated with implementing decisions about the retention or destruction of records. It also includes migration and transfer of records to new storage locations, custodians or owners. Disposal is an important part of part of records management because when it is properly done, it ensures that the organization retains records for as long as they are needed and then, when they are no longer needed. According to Norris (2002) a good records retention and disposal policy or program is determined if archival

records are identified early in their life cycle, retention schedules are adopted and used in the normal course of business, records are systematically disposed of, electronic records are retained and disposed of according to the retention schedules, plans are in place to ensure that electronic records continue to be accessible following technology changes and disposition is routinely documented. Besides supporting accountability and defence against litigation, efficient disposition systems promote effective records retrieval, help to avoid inadvertent destruction and eliminate cost of storing and maintaining unwanted records. From an archives perspective, the programme protects quality and integrity of future archival accessions (Balasu and Akotia 2012).

2.3.5 Records Management policy

Good records management starts with a policy, which reflects an organization's needs. The objective of the policy should be the creation and management of authentic, reliable, complete and usable records that are capable of supporting business functions and activities of the organization for as long as they are required. Records management policy is necessary for any organization to know what document to keep and for how long. Managing the accumulation of records require a records management program to provide systematic control of all records, regardless of storage facility, from creation to disposition. A successful program requires policies and procedures that administer the effective control and management of records and information (Gwinnett, 2002). These policies should be written down and should be based according to the law of the land. When a policy is in place, all records created or received in the course of work are records of the company and as such must not be disposed of or removed without proper authorisation. An organization should formulate and communicate its records management policy, set out the organization's intentions on records management and identify a senior staff member with lead responsibilities for records management to enhance governance in this aspect. The policy should be underpinned by procedures and guidelines for compliance by staff.

2.3.6 Records Management program

Records are the basic tools of an organization. Records provide information for planning and decision-making, form the foundation for organizational accountability and are often subject to specific legal requirements. Records are essential for effective and efficient administration,

but if poorly managed they can become a liability, hampering operations and draining resources. An effective records management program helps an organization get the most out of its records. It also helps to limit costs and the risks that can come with poorly managed records (Norris, 2002). An effective records management program should capture all records management processes and ensure there are policies, procedures and skilled personnel in charge of ensuring all procedures; policies and standards are adhered to.

2.3.7 *Benefits of proper records management in organizations*

Records management is important because it supports an organization to make decisions based on evidence, meet operational, legal and regulatory requirements. Records management is also important as it support an organization to be open and accountable, enhance operational efficiency and effectiveness. According to Sanderson and Ward (2003), the importance of records management is increasingly being recognized by organizations. It is therefore the responsibility of records managers to ensure that they gain the attention of decision-makers in their organizations. Gaining recognition is all about convincing management of the role of records management as enabling unit in an organization.

Again, Northwest Territories (2003) suggest that the role of records management is to ensure that members of staff involved in different operations have the information they need, when necessary. Also, De Wet and Du Toit (2000) stated that the service provided by records management is of vital importance to both employees (end users) and organizational success. The primary function of records management is to facilitate the free flow of the records throughout the entire institution. Most importantly, it remains the function of records management to ensure that an organization's records are safe for future reference. It is for these reasons that this study sought to identify challenges OMCs face at each stage of a records life cycle.

According to Palmer (2000), the role of a records management system is to act as a control system that reinforces other control systems such as internal and external auditing. The records themselves can serve to detect fraud and recover the loss. Since corruption creates an environment that allows opportunities to commit fraud, records can provide a trail for investigators to track the root of corruption. However, for records to be useful in this capacity, they must be accessible. In Hare and McLeod (1997) views, organizations keep records for the following reasons; information retrieval, evidence of organization's activities and

compliance with regulations. In support of Hare and McLeod, Cowling (2003), further identified four main motivating organizations to preserve records permanently as; administrative value, legal value, legal value and information value.

Zawiyah and Robert (1999) pointed the following as benefits of accurate records management; speedy and accurate retrieval of records, necessitates systematic filing and storage of records, saves space and prevents duplication of effort with similar records, easier retrieval, better utilization of space, and less frequent loss of documents.

Records management is important because it reduces litigation risks, provides regulatory compliance and protects corporate assets (Porter-Roth, 2006). Blake (2014) also said that properly managed records could help reduce operating expenses, enhance customer service and ensure that the company complies with laws and regulations. Without records, no assessment can be made of whether individuals, private and public organizations have actually carried out the actions and transactions that they had to execute, whether they ensure that these actions and transactions meet the criteria of efficiency, legitimacy or the principles of good governance and whether they had done things which that were not supposed to do (Thomassen, 2001).

2.3.8 Challenges in records management

A study conducted by Safura et al (2018) show that records management in the institution is challenged by improper records management; inadequate proper security for records; inadequate professionally trained records managers; there are inadequate resources to facilitate proper records management practices in the institution; insufficient space for records management; misplacement of vital records in the institution; loss of vital records in the institution; inadequate computer terminals; lack of record keeping policy; lack of record retention; lack of disposition schedule in the institution; ineffective means of retrieving record; improper records management in the institution. The managements of the institution should consider the findings of the study and address these challenges for proper records management and the benefits associated with such benefits.

A study conducted by international journal of academic research in accounting, finance and management science on records management and organization performance in Ghana (Tagbotor et al, 2015) reviewed that most organizations had no formal records management

programs in place. The government and other private businesses kept records in whatever form they felt appropriate without the benefit of retention schedules, disposition guidelines or other formal information life cycle procedures. It was therefore realised that most organizations needed a better, more efficient and more uniform way of creating, sorting, storing and destroying the records. This led to the formulation of new registrations, which required that businesses needed to start retaining for certain periods. In filing, bar codes scanners were introduced to make identification and storage of records easier. These also helped to improve the management control and security aspect of records management.

2.4 Oil marketing companies

The oil marketing companies are in a diversity business of distribution and retailing of petroleum products. The downstream of the business is also made of various fuel transporters and dealers contracted by Oil Marketing Companies to transport fuel by road from their terminals to their service stations. In most cases the business is monopolistic in nature to the industry, however, the Government liberalised pump prices as part of its economic reforms. Meanwhile, the Energy Regulation Board in Zambia takes on ex-post monitoring role for pump prices whilst regulating ex-refinery gate prices. To promote equal footing in the industry, the margins for Oil Marketing Companies, Dealers who are doing business under the franchise agreement from Oil Marketing Companies are part of economic reforms in the industry and Energy Regulation Board to ensure that the consumers are given correct records and information about the changes in the industry as not to overcharge the consumers.

The Oil Marketing Companies are established to conduct business in wholesale and retailing on petroleum products. The refinery 's wholesale prices for petroleum products are benchmarked to the cost of buying a finished product on the world market and transporting it to the market in Zambia. In order to track records of bulk buying especially over sea, there is need for good record keeping as to comply with relevant authority and Accounting Users of the required information.

Oil Marketing Companies not only have to ensure compliance with multiple agencies in multiple jurisdictions, they also must ensure compliance across multiple disciplines.

Information trail of record keeping is cardinal at all levels as it might be required by the users; Statutory boards such as ZRA is an institution board that value record keeping and give

emphasis to its client on how important to keep records, the organisation advise client to keep records for TAX Audit especially on import documents. Therefore, along with maintaining a growing volume of files, leases and facility documents, oil and gas companies have a complex compliance standard to maintain within the energy sector.

Ensuring timely access to all records and information, following the legally defensible destruction procedures can be challenging, further complicated by mergers, acquisitions, and divestitures and over-evolving laws and regulations.

A good records management program can help companies manage records and information in all formats consistently and in compliance with laws and regulations. Records management program can alleviate common industry challenges such as a high volume of records at different locations, managing older paper well and land files, RIM consistency after mergers, acquisitions, and divestitures, and opening in a matrix, highly regulated environment. Timely access to records and information is critical records management best practice. Without it, critical business decisions can be delayed or misinformed or worse, regulatory compliance issues that can result in significant fines and legal consequences.

To combat the challenge of record accessibility, oil and gas companies can maintain a set file of structure and classification system, multiple retention schedule records series, and disposition approval workflow using browser-based records management software.

To ensure oil and gas companies are in compliance with these regulations, it's important to maintain a complete record audit trail. Managing records within a records management software system provides RIM teams with accountability and visibility into critical information, such as record retention dates and disposition activity, legal holds status, and record location.

The importation, distribution and selling of petroleum products involve the creation, maintenance and preservation of documents by the companies to run the business effectively. Documents such as; Delivery note, Invoices, Importation documents –bill of lading, Purchase order, Credit note, Legal documents, Contracts between parties etc. are created and preserved to act as evidence.

2.5 Related works

Quite a number of works has been carried out on records management and its contributions to the organization.

Seniwoliba et al (2016) conducted a study on the challenges of records management in higher education in Ghana. The primary aim of this study was to find out whether records management as a valuable source of the institution receives the desired attention. The research design approach was used for this study. Primary data in this research was collected through the use of questionnaires while the secondary data was gathered from books, publications and public records. Two sampling methods were used in the study to select the respondents one probability and the other non probability namely, simple random sampling and quota sampling respectively. The study reviewed that records management decentralized and are managed manually through filing of hard copies in folders and kept in metal cabinets based on individual ability and knowledge in departments.

Phiri (2009) conducted a study that examined records management in the public service and its impact on the payment of pension benefits at the public service pension fund. The study revealed that the public service had neglected the management of personnel records. However, it was discovered that the public service had adequate policies and procedure in the management of records but the implementation of these was lacking. Documents were often missing in personnel records and files were not always easy to retrieve leading to delayed payment of pension benefits.

Another study conducted on the challenges of records management practices in the ministry of information and strategy in Nigeria by Vincent Unegbu and Oludipe Adenike. Data was collected through questionnaires and 35 of the respondents filed the questionnaire. Collected data was analysed using SPSS analytical package and reported in discrete figures, percentages and two hypotheses were tested using Chi-square at 0.05 degree of significance. The findings of this study were that effective implementation of records management practices positively enhances organizational performance and that proper records management practices positively brings about easy decision making in the organization.

Tagbotor et al (2015) conducted a study on the analysis of records management and organizational performance. In this study records management in an organization, records life cycle in an organization and electronic records management were thoroughly explored. The

study used simple random sampling to select a sample size of 30 respondents. The survey results indicated that the tertiary institution under study does practice sound records management. It was also discovered that the institution's records management was shifting from manual to electronic system of managing records by using computers and Internet.

Abdullahi et al (2016) also carried out a research on the assessment of records management practices in selected local government councils in Nigeria. The study adopted the descriptive survey research method using questionnaires for data collection. Its population comprised 415 records of personnel in the selected councils, of which 208 were using simple random technique. Descriptive statistics were used for the analysis of this data, the results indicated that paper records were a dominating medium for recording/ conveying information in the councils with most of these being either in active state, semi active and vital records. Records were kept and maintained in the registry while in active records were kept in the records store. It was also discovered that the storage facilities for record keeping were insufficient.

Adu (2014) assessed the records management practices among the administrative staff of University of Education. Both primary and secondary data were used in this study; primary data was collected through questionnaire administration while secondary data was collected from the Internet and journals. A none probability sampling method specifically purposive sampling was used to come up with a sample. Statistical package for social sciences (SPSS) was used to analyse the data. The study revealed that the administrative documents are stored in both manual and electronic forms. This leads to quick decision-making, saves office space and promotes good corporate governance. The study also revealed that there were insufficient resources in terms of professionally trained records managers, training starved administration staff and office space. This study identified the challenges of records management in a learning institution and not OMCs. the study did not use any model of records management to identify the challenge and no model solution to the problems identified.

Zelekew (2015) investigated the contribution of records management towards an organization's competitive performance in case of commercial banks in Ethiopia in order to find how records management contribute to organization's competitive survival. Survey study design was used to conduct this research. Primary and secondary data collection methods were used and data analysis was through descriptive statistics, using graphs and bar charts. Interviews and questionnaires were the instruments for this research. The results of the study showed that records management play a great role in ensuring the development of the bank

and record is a major resource of the bank. Information is key resource in today's world. No organization can be competitive without the use of information in its operation. According to Makhura (2005), in information age it is difficult to compete with other organizations without proper records management system. The study also revealed that employees file documents created while performing business transactions in the commercial bank of Ethiopia. The record is created when performing any business with customer, with organization or any other organizations. According to the value of the record, the record is filed. According to Hajmiragha (2014), it is important to file important documents for the development of the organization.

Laura et al (2014) carried out an assessment approach to organizational records management in the oil and gas sector. Qualitative approach was applied to evaluate records management services in oil and gas sector organizations. Interviews and questionnaires were used to explore records management challenges facing the industry. Qualitative and quantitative analyses were carried out on the data. Analysis of questionnaire responses was mainly descriptive while interviews were analysed using content analysis. The results of the study were as follows; the challenges faced by organizations are human and cultural and are specifically related to unwillingness to accept ownership responsibility and fear of consequences of records disposal.

According to Molepo and Cloete (2017), the way in which an organization treats its records is crucial for its survival. The purpose of their study was to investigate the records management practices and challenges faced by traditions of leadership and governance in Ga Molepo, Limpopo South Africa. The study used cross-section survey in order to quantitatively examine the challenges faced by members of traditional councils. Stratified sampling was used to come up with the sample and questionnaire was used as a data collection tool. The findings of this study were that traditional institutions lack the facilities, equipment, education and trained/skilled personnel to apply correct records management procedures in their daily administration of their traditional communities. The main aim of the study was to create awareness of records management as one of the neglected areas in traditional institutions.

Abuki (2014). Conducted a study to assess records management practices at the county government and how records management enhances delivery of good public services. The study was a case study and quantitative in nature. Data was collected using questionnaires and interview schedules. The findings of the study revealed that the county has not implemented a

records management program, lack of adequately trained management staff, and lack of record centre an archive for semi current and non-current record. It was also revealed that the county has not implemented a disaster management program for its vital records, inadequate equipment and storage facilities, there is lack of awareness on the importance of records and records management among non-records management staff, and the county has not adopted information, communication technology in enhancing and improving records management.

2.6 Models of records management

There are basically two types of records management model namely the life cycle model and the continuum model. These models are discussed below

2.6.1 *Life cycle model*

There are two well-known models of records management that describe the life cycle of records, which are the life cycle model and the continuum model, (Ahmed 2015). The life cycle model is similar to biological organism's life span. A record is born (created or captured), lives (used and maintained) and dies (disposed). Records are created in the current phase and managed by records offices and registries. Records that are not used often in daily activities are transferred to records centers where they are categorized as semi-current phase. In the last phase records are transferred to the archives, (Mariam; 2015). According to Schellenberg (1960), life cycle model portrays the life of a record as it goes through various stages or periods, much like living organism. In stage one, the record is created for legitimate reason and to a certain standards. In second stage, the record goes through an active period when it has a maximum primary value and be used by creating an office for decision-making. During this time the record is stored on –site in the active or current files of the creating office. Eventually, at the end of stage two the record may be reviewed and determined for further value, at which point it is destroyed, or whether the record can enter stage three, where it is relegated to a semi-active status. This means it still has value, but is not needed for day-to-day decision-making. In most cases, the record need not be consulted regularly; it is often stored in an off-site storage center. Stage three determines whether to destroy or to send the record to stage four which is reserved for inactive records with a long- term, indefinite, archival value. This small percentage of records is sent to an archival repository, where specific activities are undertaken to preserve and describe the records.

The life cycle model does not only describe what will happen to the record but defines who will manage the record during each stage. During the creation and active periods the record creators have primary responsibility for managing the record, though the record manager may well be involved to various degrees, the manager takes the center stage and assume major responsibility for managing the records. Finally, in the inactive stage, the archivist takes the lead in preserving, describing and providing access to the archival record.

The figure below is a life cycle model showing the stages of a record from the time a record is created through to its destruction.

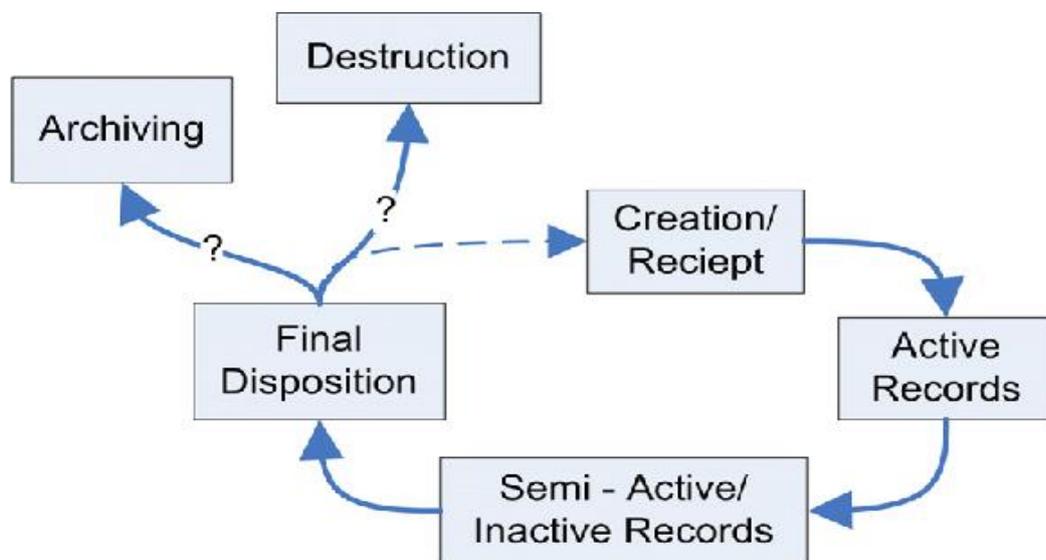


Figure 1 Records Life Cycle

Source: http://www.researchgate.net/figure/The-record-lifecycle-an-own-interpretation-of-GNTW-2002_fig1_228958021

2.6.2 Continuum model

In the continuum model, a record is a part of business process. The process starts with record's creation and the element passes to another stage of its existence. Dimension 1-Create; represents the locus where all business actions take place. In this dimension documents exist in versions and can be moved beyond this locus. Dimension 2-Capture; is when a document is communicated or connected through relationships with other documents, with sequences of action. The records are in this dimension captured as evidence of transactions and can be distributed, accessed and understood by others involved in the business transactions.

Dimension 3-Organize; represents an aggregation of records above individual instances of sequences of actions. Here the records are invested with explicit elements needed to ensure that they are available over time that exceeds the immediate environments of action and they join multiple other records deriving from multiple sequences of action undertaken for multiple purposes. Dimension 4-Pluralize; this dimension represents the broader social environment in which records operate. The legal and regulatory environment, which translates social requirements, different for every society and at every period for records management.

The main aim of the theory is to provide a model with which to understand records and records keeping processes, regardless of form and of situation. Records are not categorized under current, semi-current and non-current phases. Below is the continuum model and the four dimensions, creation, capturing, organizing Pluralizing (Mariam and Ahmad, 2015) .

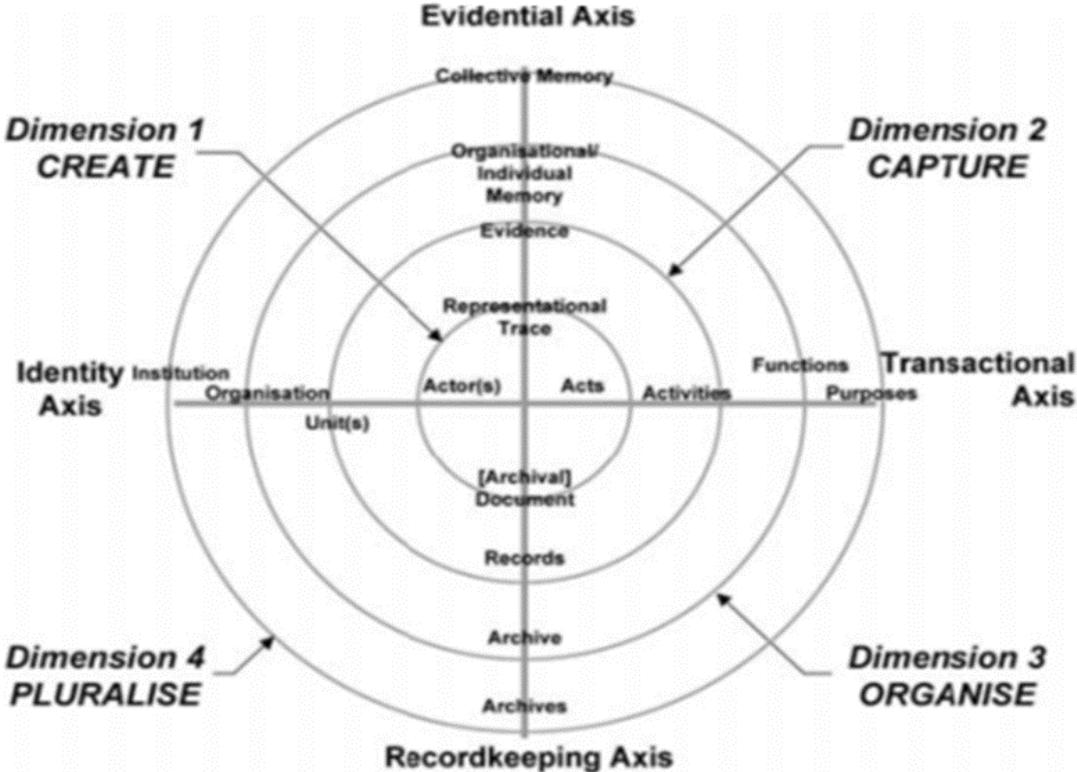


Figure 2 Records Life Cycle

Source: Mariam and Ahmad (2015)

2.7 Theoretical model

This study was anchored mainly on two theories, namely the records lifecycle and the records continuum to show the interrelations that are assumed to exist between the different concepts of the study.

2.7.1 *Records life cycle theory*

The records life cycle concept was invented by the National Archives of the United States of America in the 1930s (Yusof & Chell, 2000:135-139) in response to the ever increasing volume of records produced by organizations. The Record's Life Cycle model has since been dynamically used in places like North America and indicates a separation amongst records management and archival management (Gilliland-Swetland, 2000; Shepard & Yeo, 2003; Ulfsparré, 1998).

The life cycle model present a picture of records as it goes through various stages much like a living organism, it is an analogy similar to the life of a biological organism, which is born, lives and dies. In the same way a record is created, used for so long as it has continuing value and then disposed by destruction or transfer to the archives. Records are created and vigorously used in relation to their purpose (reason for their creation). In other words records that do not fulfil their purpose become irrelevant and unnecessary, while those that serve their purpose become active. When a record is no longer useful, a decision is made as to whether the record should be preserved or disposed off.

Yusuf and Chell (2000 : 135-141), critic the model further by stating that it was more applicable to those studies dealing with the management of paper-based records in organizations. The authors pointed out that the Records Life Cycle model was not suitable for studies investigating the management of electronic records and needed to be replaced with a model that appropriately reflected the special characteristics of electronic records. The perceived weaknesses of the Records Life Cycle model therefore inadvertently led to the development of the Records Continuum.

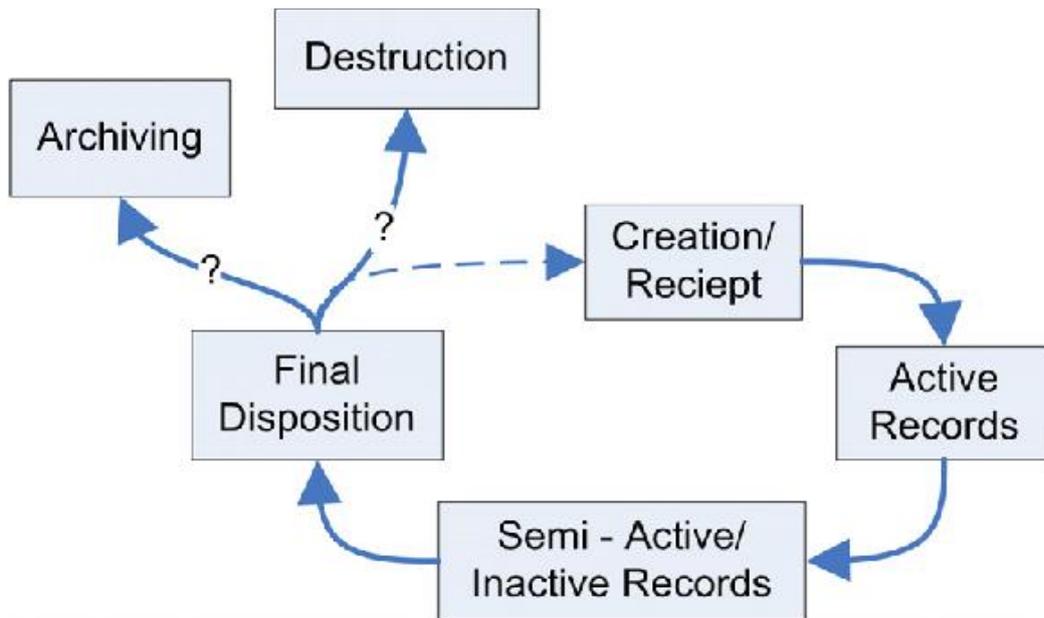


Figure 3 Records Life Cycle

Source: http://www.researchgate.net/figure/The-record-lifecycle-an-own-interpretation-of-GNTW-2002_fig1_228958021

2.7.2 Records Continuum theory

Xiaomi (2003:25-29) says that the records continuum as a model was formulated in the

1990s by Australian archival theorist Frank Upward based on four principles. The first is a concept of ‘record’ inclusive of records of continuing value, stresses their use for transactional, evidentiary, and memory purposes, and unifies approaches to archiving/recordkeeping, whether records are kept for a split second or millennium. The second is a focus on records as logical rather than physical entities, regardless of whether they are in paper or electronic form. The third is the institutionalization of recordkeeping profession’s role that requires a particular emphasis on the need to integrate recordkeeping into business and societal processes and purposes. The fourth point is that, archival science is the foundation for organized knowledge.

The records continuum concept is the idea that different stakeholders create, use, manage, and retain records, not in discrete stages, but at different points throughout the record’s existence. The continuum concept recognizes that records pass through identifiable stages; however, these stages are reference points, not separate functions. In other words, a record is not simply

created, passed to a records manager for short-term storage, and then passed to an archivist for long-term storage. Instead, each person's activities will have an effect on all the others in the continuum. Their roles and responsibilities should be coordinated, not organized autonomously (Minnesota State Archives, 2012).

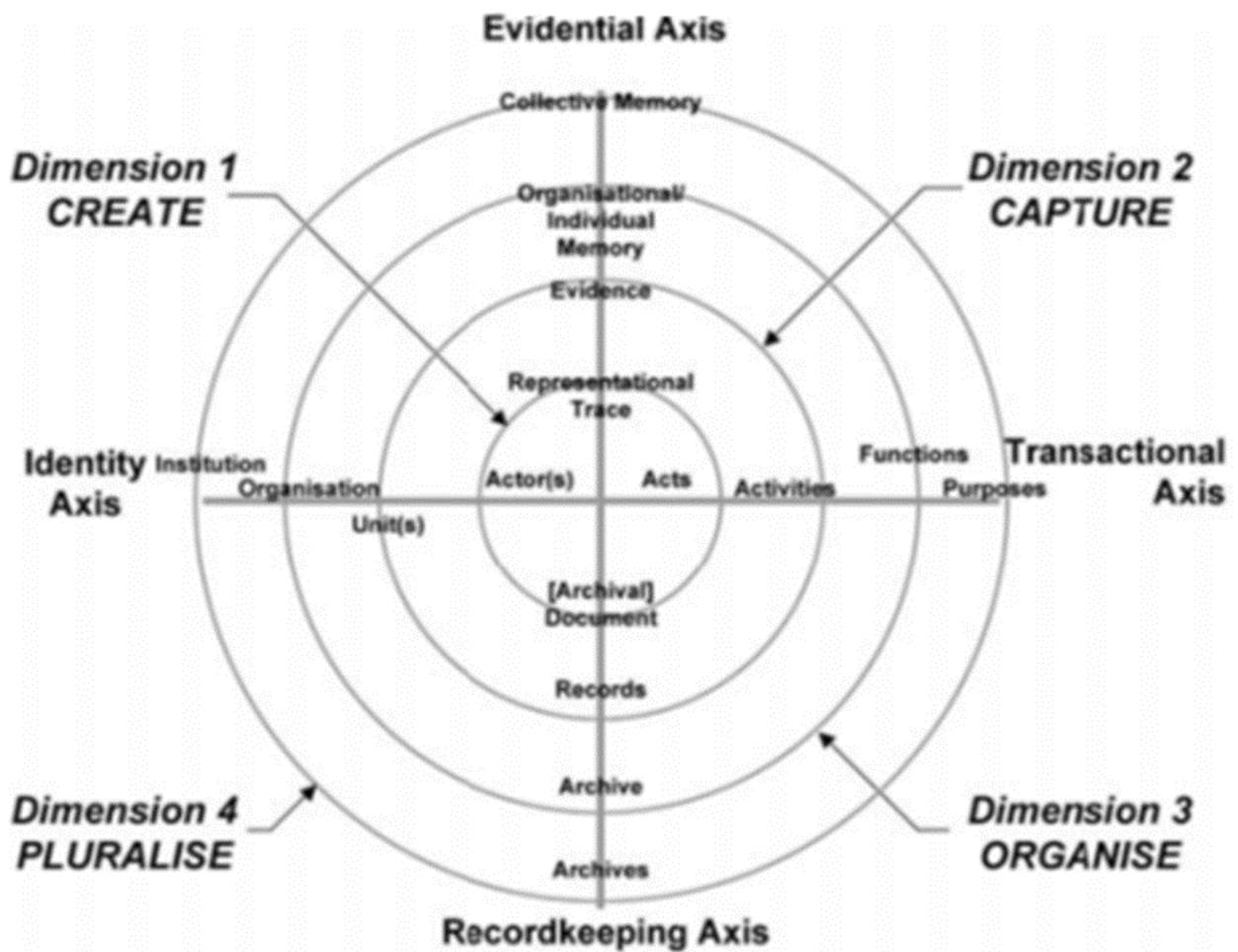


Figure 4 Continuum Model

Source: Mariam and Ahmad (2015)

2.8 Related Works

Table 1 below shows a summary of selected literature review and the gaps of similar research

Table 1 summary of related works

Author	Topic	Findings	Knowledge Gaps
Trywell Kalusopa and Patrick Ngulube	Records Management practices in labor organizations in Botswana	The management of records was not satisfactory and fell short of the best-recognized records management standards and practices.	The research was limited to labor organizations
Mpho Ngoepe	Records Management models in the public sector in South Africa	The study revealed that government bodies in SA apply general records management principles without addressing the challenges they are facing.	The study was based on government bodies, There is need to identify challenges in the private sector and how to address them
Momoti Nikiwe Acoria	Records management for an intelligent university. Case	Showed that records management as a function was not used	Types of records in a university may differ from those of a

	study of the university of western cape	optimally by the university due to limited knowledge of awareness of its existence	business entity and there way of managing these records may differ
Pauline Joseph	A case study of records management practices in historic motor sport	The findings of the study confirm the challenges faced by these organizations such as difficulty in capturing, organizing, managing, searching, accessing and preserving their records.	The study was not done in Zambia and did not use any model
Dzifa Peggy Tagbotor, Reindolf Yao Adzido and Prosper Gamdi Agbanu	Analysis of Records management and organizational performance	The institution under study practice sound records management	It was a tertiary institution
Nellie Phiri	Records management in the public service and its impact on the payment of pension	The research results show that public service had neglected the management of	Study in the public service, descriptive research and did not use any model

	benefits at the public service pension fund	personnel records. Documents were often missing and files were not always easy to retrieve leading to delayed payments of pension benefits	
Seniwoliba A. J, Maham A.V and Abilla, B.J	Challenges of records management in higher education in Ghana; The case of university for development studies	The study revealed that records management is decentralised and managed manually through filing of hard copies in folders and kept in metal filing cabinets	Study in a university and records may differ from those of a business entity
Abdullabi Adewale and Abiola Abiove	An assessment of Records management practices in selected local government councils in Nigeria	The results indicated a prevalence of paper as the dominant medium for recording/conveying information in the councils. Storage facilities for records keeping were insufficient.	This study was in a public sector (government institution to be specific)
Vincent E Unegbu and Oludipe B	Challenges of records management practices in the	The findings are that effective implementation of	A study in a government

Adenike	ministry of information and strategy, Lagos state Nigeria	records management practices positively enhances organizational performance and that paper records management practices brings about easy decision making in the organization	institution
Adu Freda	Assessment of records management practices among the administrative staff of University of education,	The findings of the study revealed that there were insufficient resources in terms of professionally trained records managers and office space.	This study identified the challenges of records management in a learning institution and not OMCs. the study did not use any model of records management to identify the challenge and no model solution to the problems identified.
Alumande Stella Luganu	Records management practices as a strategy for gaining competitive advantage; A perspective of Petroleum and	The findings of this study concluded that the importance of effective records management outsourcing practices in multi-national	The study concentrated on outsourcing records management services

	banking multinationals in Kenya.	companies helps to create centralised storage of information, aids in disaster recovery and is a tool for companies to achieve competitive advantage.	
Zelekew Bake	The contribution of records management towards an organization's competitive performance in case of commercial banks of Ethiopia Jimma Main Branch	The findings of the study were that records management plays a great role in ensuring the development of the bank and record is the major resource of the bank. Employees file their documents created while performing business transactions in commercial banks. Training is not provided for the staffs even in regarding records management.	The study concentrated on the importance of records management and did not look at the challenges the banks face in records management and how best to address them
Laura Luig, Fionnuala Cousins and Audrey Laing	The case for a risk-assessed approach to organizational records management	The results of this study were that the challenges faced by organizations are	The study was descriptive in nature, it did not use correlation,

	in the oil and gas sector	human and cultural and are specifically related to unwillingness to accept ownership responsibility and fear of consequences of records disposal.	regression and Chi-square
Mahlaga J. Molepo and Linda M. Cloete	Proposal for Improving records management practices of traditional institutions in Ga Molepo, South Africa	The findings of this study were that traditional institutions lack the facilities, equipment, education and trained/skilled personnel to apply correct records management procedures in their daily administration of their traditional communities.	The study was not done in Zambia and also not in oil companies
Benard Johnson Abuki	The role of records management in public service delivery in county governments in Kenya; a case study of kish county government	The findings of the study reviewed that the county has not implemented a records management program, lack of adequately trained management staff, lack of record center and an archive for semi current and non-	The main aim of the study was to access records management in the county government, study was in the government branch

	headquarters	current records. The county also has inadequate equipment and storage facilities, lack of awareness on the importance of records and records management among non-records management staff.	
David Liyombya and Joyce Bukirwa	Records management practices in the major Oil Marketing Companies in Uganda	These companies face some challenges including inability to meet legal compliance, to create and retain records in both paper and electronic format, inadequate records identifiers and access guidelines and a continuing need for storage space for growing volumes of records.	<p>The study was not conducted in Uganda energy institutions and not in Zambia</p> <p>The main aim was to ascertain the extent to which oil companies meet legal and regulatory requirements, as should be underpinned by effective records management for achieving their operational and strategic goals.</p>

Source: Related works from literature review, Author's Compilation

1.9 Chapter summary

This chapter reviewed literature by other scholars and researchers on the subject of the records management. From the discussions, the majority of the studies have concentrated on records management in the education sector especially public institutions. No study has concentrated on identifying challenges in the oil marketing companies in records management and providing a model solution to it.

CHAPTER 3: REASERCH METHODOLOGY

3.1 Introduction

This chapter presents the methodology that was used in the study under the following headings: the study design, the target population, the sample and sampling procedures, the data collection instruments, data collection procedure, the data analysis procedures and the techniques used to present the data. The chapter also includes the proposed research model and concludes with ethical considerations.

3.2 Research Design

The study used mixed method and adopted a case study research design. The case study research design was adopted because it enabled the researcher to apply a variety of methodologies and rely on a variety of sources to investigate the research problem. The case study research design was useful to test whether a specific theory or model actually applies to phenomenon in the real world. It therefore made use of both qualitative and quantitative approaches (Juliet Namukasa 2016).

3.3 Study population

The study population was composed of 151 employees from all the eight sites of Puma Energy Zambia based at the Lusaka Terminal, Head Office, Lumwana mine, Kitwe terminals, Bwana Mkumwa/SPD Terminal and three Aviation depots namely; Kenneth Kaunda International Airport Fuel Depot, Harry Mwanga Nkumbula fuel Depot and Simon Mwansa Kapwepwe fuel depot.

3.4 Sample Design and size

The study used purposive non-probability sampling method and sampled the whole population from eight branches of Puma Energy Zambia throughout the country. Purposive non-probability sampling method is when items selected for the sample are chosen using the researcher's judgment. The sample comprised of all the 151 employees of Puma Energy Zambia. Shown in Table 2 is the research design matrix the researcher employed.

Table 2 Research Design Matrix

Research Questions	Research Objectives	Sampling and data Collection	Data Collection Tools and Analysis
What are the major challenges faced by Oil Marketing Companies in records management in Zambia?	To identify the challenges faced by Oil Marketing Companies in records management in Zambia based on the record cycle model	Purposive Sampling technique	Use of Questionnaires and Review of Secondary data in journals SPSS and Chi-square Analysis
To what extent can we develop a model and prototype that can be used to address the challenges identified?	To develop a model and prototype in order to address the identified challenges.	Purposive Sampling	Use of Questionnaires and Review of Secondary data in journals Content Analysis

Source: Author's compilation, 2019

3.5 Data Collection and Instruments

Data collection was done using both the primary and secondary data. Primary data was critical because of their nearness to truth, and that a lot of new information could be obtained. This was collected by use of the questionnaire, which was developed to achieve the set objectives of the study. The questionnaire was developed in such a way that the respondents would be probed so that it could provide a lot of information regarding the topic under study. It made use of close-ended questions.

Document review was used to obtain secondary data from journals, records in the organisation and other information available on the Internet. The data enabled the researcher to verify some of the information obtained using the primary source. They formed the background information from where the study was based on.

3.6 Data Collection Procedure

Firstly, Authority was obtained from the university ethics committee. After permission to conduct research was granted by the relevant authorities, the data collection procedure followed. All data collected is for academic purposes only. The researcher administered the questionnaire to individual respondents. The respondents were briefed on the purpose of the study and the procedure for conducting the exercise. The exercise was arranged in such a manner that it had minimal interference with the services of the various individuals in their desks and offices. This was to boost the respondents' availability and cooperation in the exercise. Questionnaires were distributed to the individual respondents and collected after three days.

3.7 Reliability and Validity

Polit and Hungler (1993:445) refer to reliability as the degree of consistency with which an instrument measures the attribute of it is designed to measure. The questionnaire which was answered by the employees revealed consistency in responses. Reliability can also be ensured by minimizing sources of measurement error like data collector bias. Data collector bias was minimized by the researcher's being the only one to administer the questionnaires. Subjects were requested not to write their names on the questions to ensure confidentiality.

The validity of an instrument is the degree to which an instrument measures what is intended to measure (Polit and Hungler 1993:448). Content validity refers to the extent to which an instrument represents the factors under study. To achieve content validity, the questionnaire included a variety of questions on the knowledge of employees about record creation, maintenance, use and disposal. Questionnaires were based on information collected during the literature review to ensure that they were representative of what employees should know about records management. Validity was further ensured by consistency in administering the questionnaires. All questionnaires were distributed to subjects by the researcher personally. The questions were formulated in English for ease of understanding for all. Clear instructions were given to the subjects. The subjects completed the questionnaire at their own time. This was done to minimize interference with the services of the various individuals in their desks and offices.

3.8 Data Analysis Methods

The process of obtaining raw data and converting it into useful information for decision making by users is data analysis. Data is collected and analysed to answer questions, test hypothesis or refute theories. In this research, data analysis was undertaken using the Statistical Package for Social Sciences (SPSS). The package is widely used for statistical analysis, which is generally a way to summarize and examine data in order for it to be useful for decision-making. Chi-Square and descriptive analysis were also used to test the independence of variables. Collected data was coded, tabulated and summarized into frequency tables and graphs.

3.9 Conceptual Research Model

This research employed the Records Life Cycle Model adopted from the ISO 15489-2001 standards. The original model was used with slight variation to suit the context of the study. The original model contain three independent variables which are further broken down into small variables. The independent variable will read 'records management system/practices to suit the study. The proposed model for this study is presented in Figure 5.

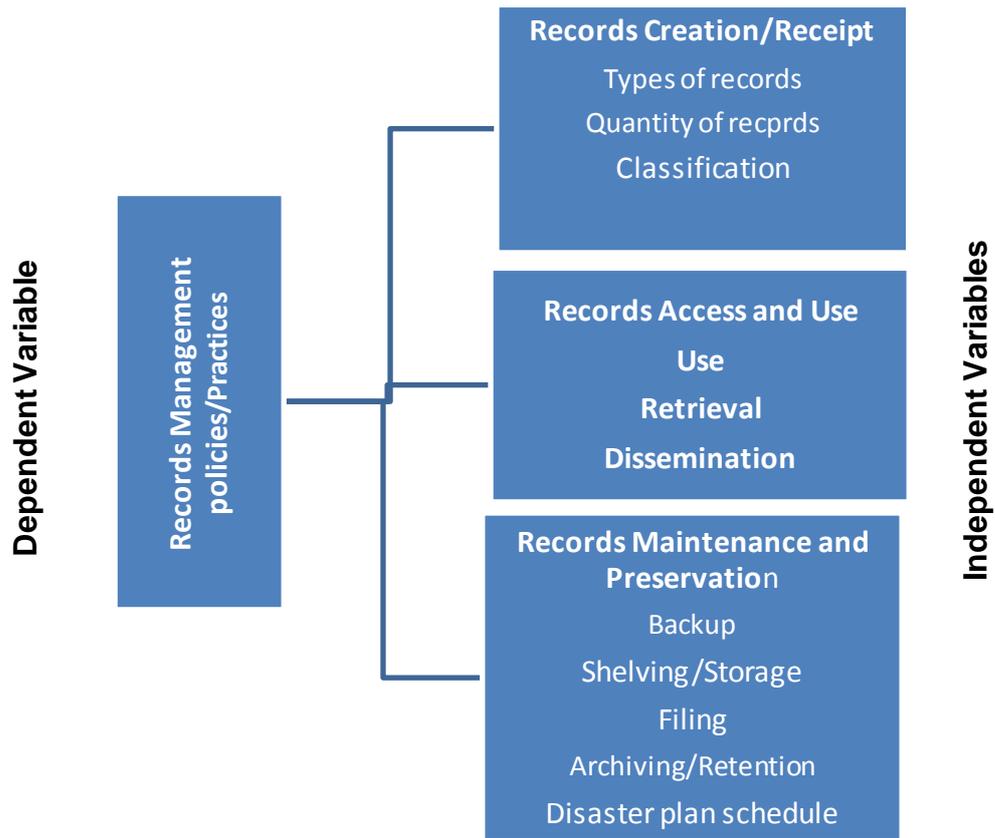


Figure 5 The proposed research model

Source: Adopted from the (ISO 15489-1:2001 Standard and Moullin, 2004)

3.10 Chapter Summary

The chapter presented the research methodology employed by the research to carry out the study. The chapter included the research design, study population, sampling design, data collection techniques and data analysis techniques. The chapter also included ethical consideration and concluded with the proposed research model.

CHAPTER 4: PRESENTATION OF DATA FINDINGS

4.1 Introduction

This chapter presents the results of the various data collection methods and analysis in the context of the existing knowledge reviewed under literature review. Frequency tables and graphs are presented on the data that was collected

4.2 Response Rate

Out of the 151 questionnaires that were administered among Puma Energy Zambia employees, there was a positive response on 80, which were received for analysis. The researcher considered this as a success since it represented 53% of the sample size that was selected for the study. According to Mugenda and Mugenda (2003), a response rate of 50% is adequate, any response rate not exceeding 60% and greater than 50% is good and a response rate above 69% is very high. Therefore, the response rate was considered adequate.

4.3 AGE

Table 3 Age distribution of study sample

Age group	Frequency	Percent
Below 25 years	4	5.0
25-35 years	30	37.5
36-45 years	31	38.8
46years and above	13	16.3
Non response	2	2.5
Total	80	100

Source: survey results

Table 3 above and Figure 6 show that majority of the respondents were 31 aged from 36-45 representing (38.8%), the age groups (Below 25), (25-35) and (46 and above), respectively accounted for 5%, 37.5%, and 16.3% of our sample. However, non-response rate was 2.5%. This indicates that the responses were received from diverse age brackets hence biasness was avoided.

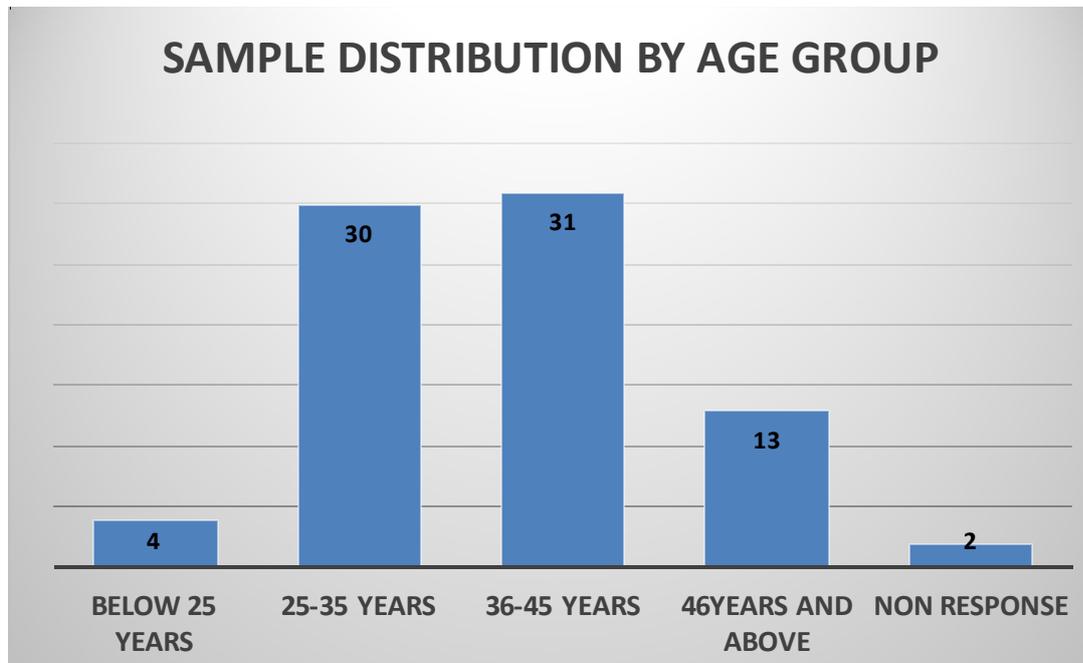


Figure 6 Study Sample by Age

4.3.1 Gender

Table 4 Distribution of Study Sample by gender

What is your gender?					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Male	59	73.8	81.9	81.9
	Female	13	16.3	18.1	100.0
	Total	72	90.0	100.0	
Missing	None response	7	8.8		
	Not applicable	1	1.3		
	Total	8	10.0		
Total		80	100.0		

Source: survey results

The research sought to establish if both gender were well represented in the study, as shown in Table 4, both gender were well represented in the sample with a higher number of males who represented 73.8% of the sample against 16.3% for females. However, a total of 8 respondents did not review their gender. This has also been shown in the figure 7.

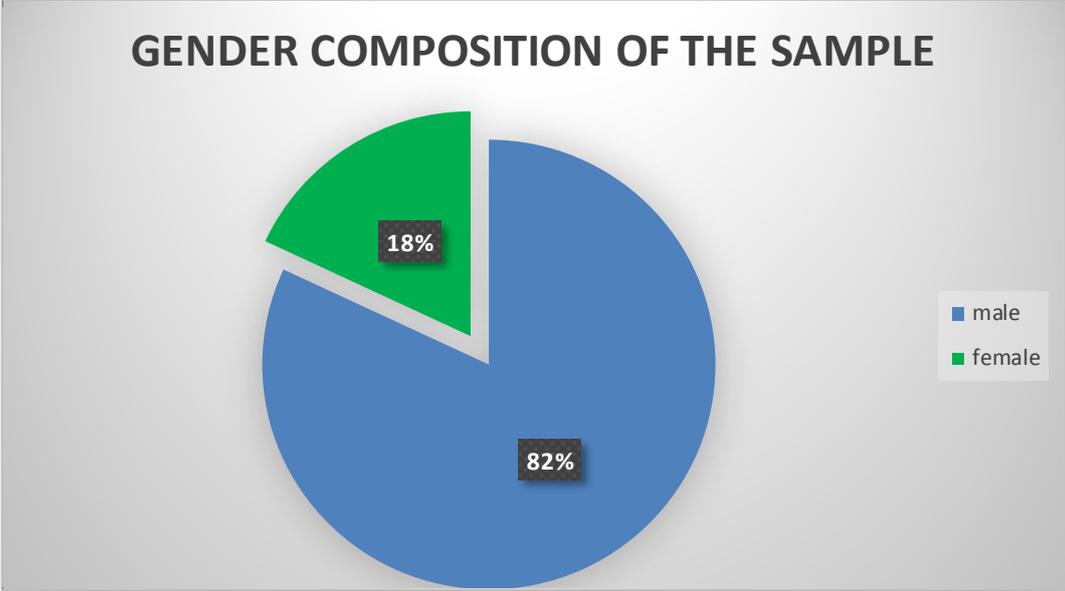


Figure 7 Sample Gender representation

4.3.2 Education level

Table 5 Distribution of Study Sample by education level

what is your level of education?					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Secondary	12	15.0	15.4	15.4
	College	36	45.0	46.2	61.5
	University	30	37.5	38.5	100.0
	Total	78	97.5	100.0	
Missing	none response	2	2.5		
Total		80	100.0		

Source: survey results

In order to evaluate the reliability of the questionnaire responses, the researcher sought to establish the respondents' education level. As shown in Table 5 above, 82.5% of the respondents have been through tertiary education. This implies that most of the respondents were qualified enough to understand and complete the questionnaire. 15% of the respondents have been through secondary school and only 2.5% did not specify their qualification.

4.3.3 Length of service

Table 6 Distribution of Study Sample by length of service

How many years have you worked with puma?					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	1-5years	26	32.5	32.9	32.9
	6-10 years	24	30.0	30.4	63.3
	11-15 years	21	26.3	26.6	89.9
	16 and above yeas	8	10.0	10.1	100.0
	Total	79	98.8	100.0	
Missing	None response	1	1.3		
Total		80	100.0		

Source: survey results

The study sought to establish the number of years the respondents have been working in the company. The obtained data was analysed as shown in Table 6 above and Figure 8. The study established that 26 of the respondents have been working in the firm for 1-5 years, followed by those who been with the company for a period range of 6-10 years with 24 respondents. Those with an experience of between 11-15 years and above 16 years account for 21 and 8 respondents respectively with 1 none response rate. From the findings therefore, majority of the respondents were experienced and hence can highly be informative on issues that relate to records management.

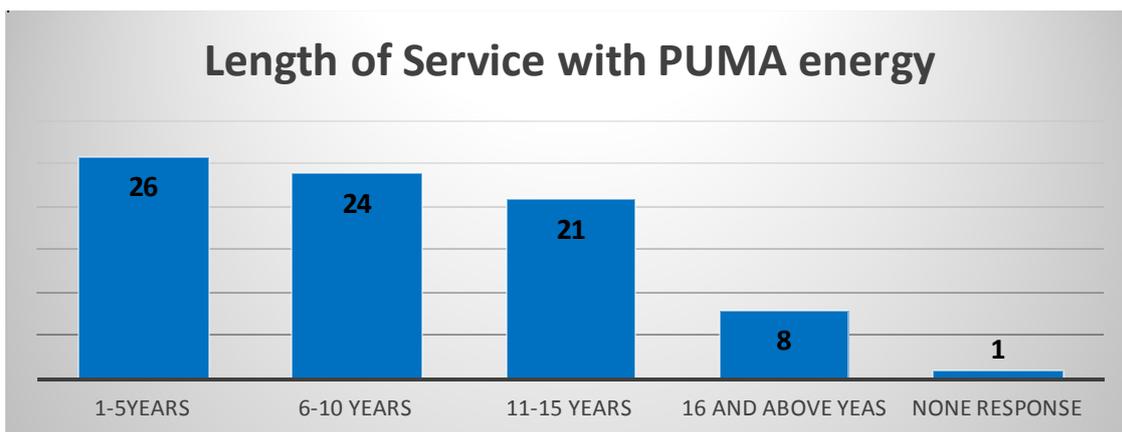


Figure 8 years of service

4.3.4 ICT Literacy levels

Table 7 Experience with Computers

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	No experience	3	3.8	3.9	3.9
	Less than a year	1	1.3	1.3	5.2
	Between 1-3 years	10	12.5	13.0	18.2
	Between 3-7 years	17	21.3	22.1	40.3
	More than 7 years	46	57.5	59.7	100.0
	Total	77	96.3	100.0	
Missing	None response	3	3.8		
Total		80	100.0		

Source: survey results

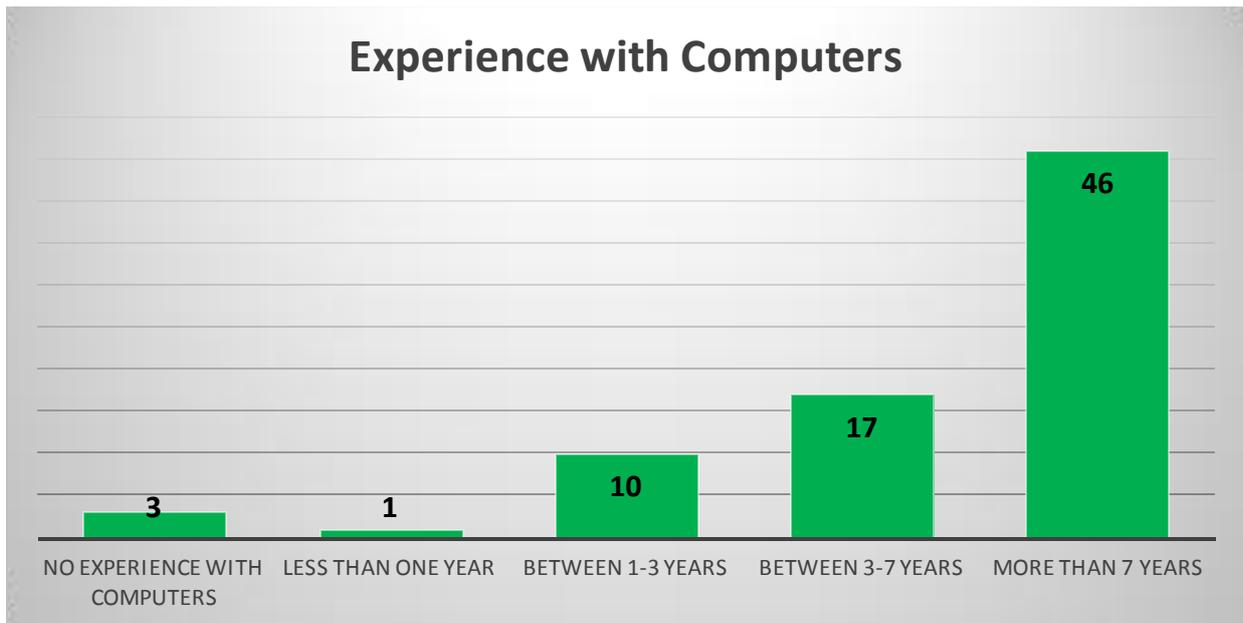


Figure 6 respondents' experience with computers

Table 7 and Figure 9 show the experience survey respondents have had with computers. The overall picture is that majority have a lot of experience with the use of computers as evidence by the 46 (representing 58% of the sample) who indicated they have used computers for at least 7 years.

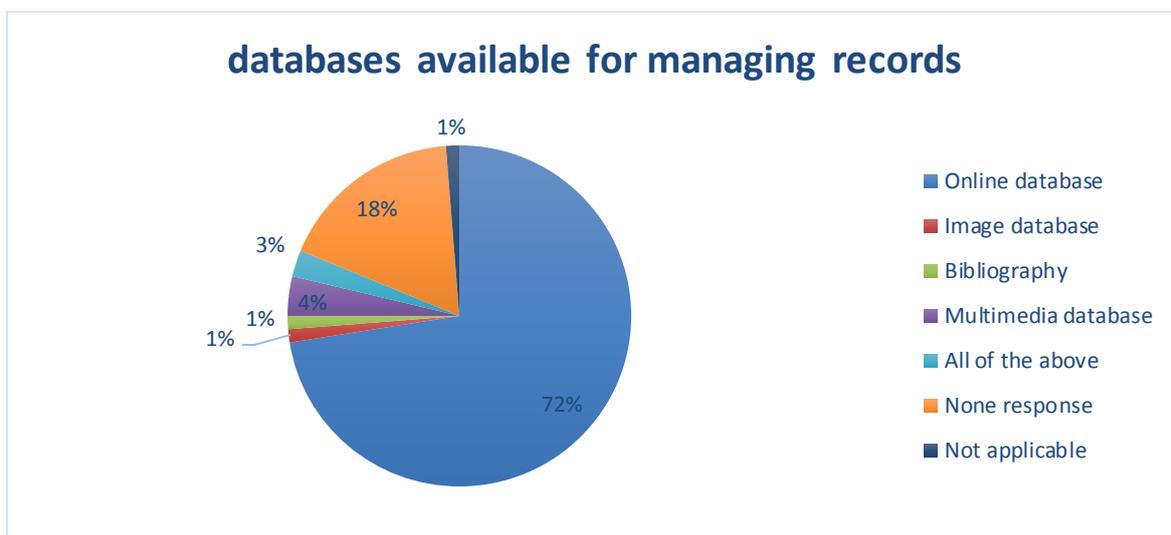


Figure 10 the databases available in the management of records.

As indicated above, online databases are the mostly commonly used (72%) option for the management of records. The rest of the options are as reflected above.

4.4 Statistical Tests of Independence

The Chi-Square test of independence is used to determine if there is a significant relationship between two nominal (categorical) variables. The frequency of each category for one nominal variable is compared across the categories of the second nominal variable. The data can be displayed in a contingency table where each row represents a category for one variable and each column represents a category for the other variable. For example, say a researcher wants to examine the relationship between gender (male vs. female) and empathy (high vs. low). The chi-square test of independence can be used to examine this relationship. The null hypothesis for this test is that there is no relationship between gender and empathy. The alternative hypothesis is that there is a relationship between gender and empathy (e.g. there are more high-empathy females than high-empathy males)¹. These tests are shown below:

- I. Record management policies/practices **VS** records creation/receipt
- II. Record management policies/practices **VS** records maintenance and preservation
- III. Record management policies/practices **VS** records access and use

The table below is a cross tabulation of whether Puma has policies and procedures for creating and storing records in both paper and electronic format and Employees' knowledge of what information to create and capture. As shown below, across "YES" category, frequencies are higher for the "agree" and "strongly agree" categories. These results seem to suggest that Puma's policies and procedures for creating and storing records have an influence on employees' knowledge of records management.

¹ <https://www.statisticssolutions.com/non-parametric-analysis-chi-square/>

4.4.1 Guidelines on what records to create

Table 8 guidelines on what records to create

Are there guidelines on what records to create?					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Yes	55	68.8	74.3	74.3
	No	19	23.8	25.7	100.0
	Total	74	92.5	100.0	
Missing	None response	6	7.5		
Total		80	100.0		

Source: survey results

Table 8 above shows the record creation and guideline on what to create. The survey results shows that 55 representing 68.8% of the respondents indicates that there are guidelines on what records to create while 19 representing 23.8% indicates that there are no guidelines on what to create. This has also been depicted in Figure 11.

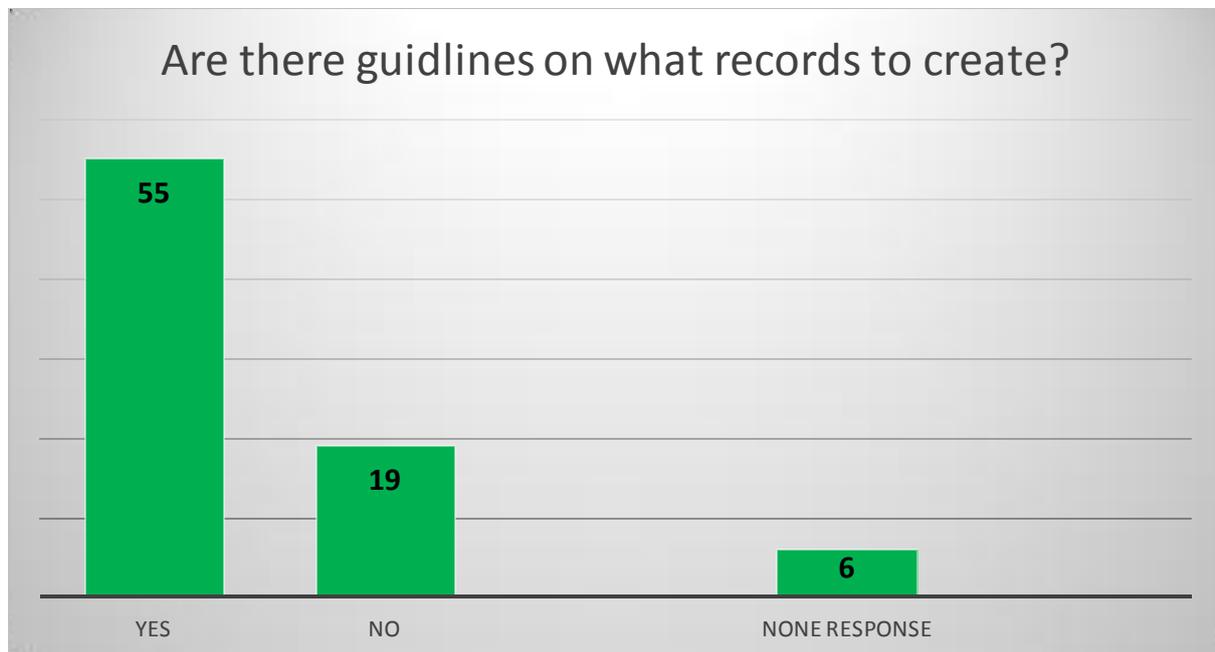


Figure 11 guidelines on what records to create

Table 9 record creation and if the company has a guideline on what to create

		Puma has policies and procedures for creating and storing records in both paper and electronic format.				Total
		Strongly Disagree	Neutral	Agree	Strongly Agree	
Do you as an employee in the oil marketing company know what information to create and capture?	Yes	2	12	9	44	67
	No	0	1	2	4	7
Total		2	13	11	48	74

Statement of hypothesis:

H0: Puma’s policies and procedures for creating and storing records have no influence on employees’ knowledge of records management

H1: Puma’s policies and procedures for creating and storing records have an influence on employees’ knowledge of records management

Chi-Square Tests				
		Value	Df	Asymp. Sig. (2-sided)
Pearson	Chi-Square	1.305 ^a	3	.728

Conclusion: observed P-value (0.728) is greater than the significance level of 0.05, hence the test is insignificant and we fail to reject the null hypothesis and conclude that **Puma’s policies**

and procedures for creating and storing records have no influence on employees' knowledge of records management

4.4.2 Retrieval of key information

Table 10 Retrieval of records

How easy is it to retrieve your documents?					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	not easy	6	7.5	7.5	7.5
	Easy	61	76.3	76.3	83.8
	very easy	13	16.3	16.3	100.0
	Total	80	100.0	100.0	

Source: survey results

Table 10 above and Figure 12 show the results on the ease of retrieving documents. The study reveals that 6 representing 7.5% of the respondents indicated that document retrieval is not easy. 61 representing 76.3% of the respondent indicated that document retrieval is easy while 13 representing 16.3% of the respondents indicated that document retrieval is very easy. From the findings it can be concluded that retrieval of documents is not a challenge because majority of the respondents can retrieve their records easily.

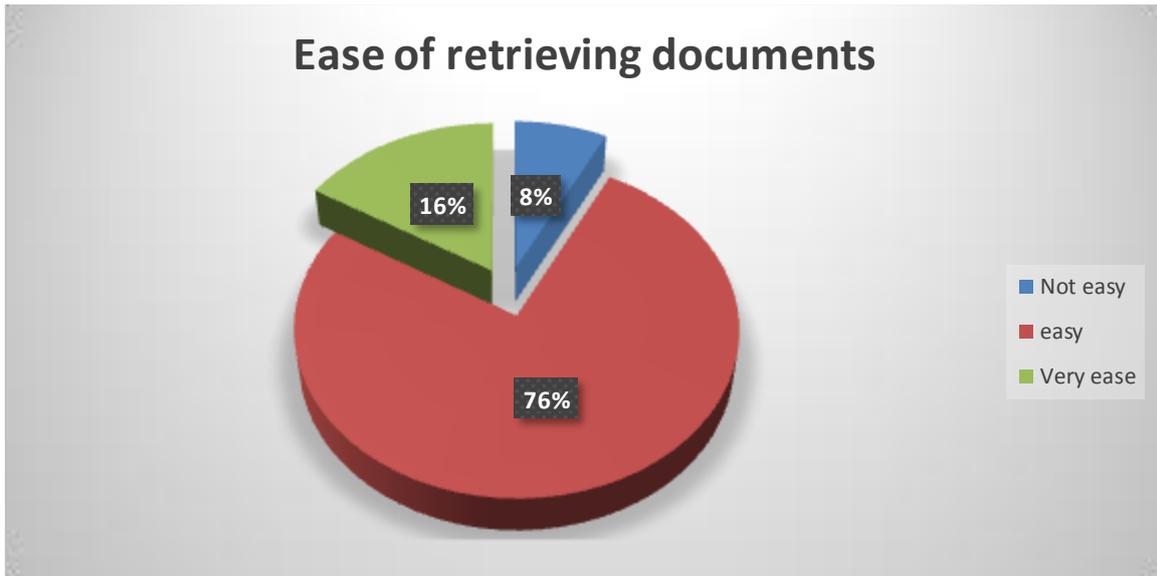


Figure 12 Ease of document retrieval

Table 11 is a cross tabulation between the ease of retrieving documents and the company's data privacy and security issues

		The organization adequately addresses data privacy and security issues				
		Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
How easy is it to retrieve your documents?	Not easy	0	0	0	1	4
	Easy	3	3	6	8	32
	Very easy	2	0	0	4	5
Total		5	3	6	13	41

?

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	7.898 ^a	8	.443

?

Statement of hypothesis

H0: Record management practices have no influence on retrieval of documents

H1: Records management practices have an influence on retrieval of documents

Conclusion: According to the Chi-Square test above, P-value (0.443) is greater than the significance level of 0.05, hence the test is insignificant and we fail to reject the null hypothesis and conclude that, **PUMA's records management practices have NO Influence on the retrieval of documents.**

4.4.3 Accessibility of records

Table 12 Accessibility of records

Are your documents stored in place where they can be easily accessed by anyone?					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Yes	52	65.0	66.7	66.7
	No	26	32.5	33.3	100.0
	Total	78	97.5	100.0	
Missing	none response	2	2.5		
Total		80	100.0		

Source: survey results

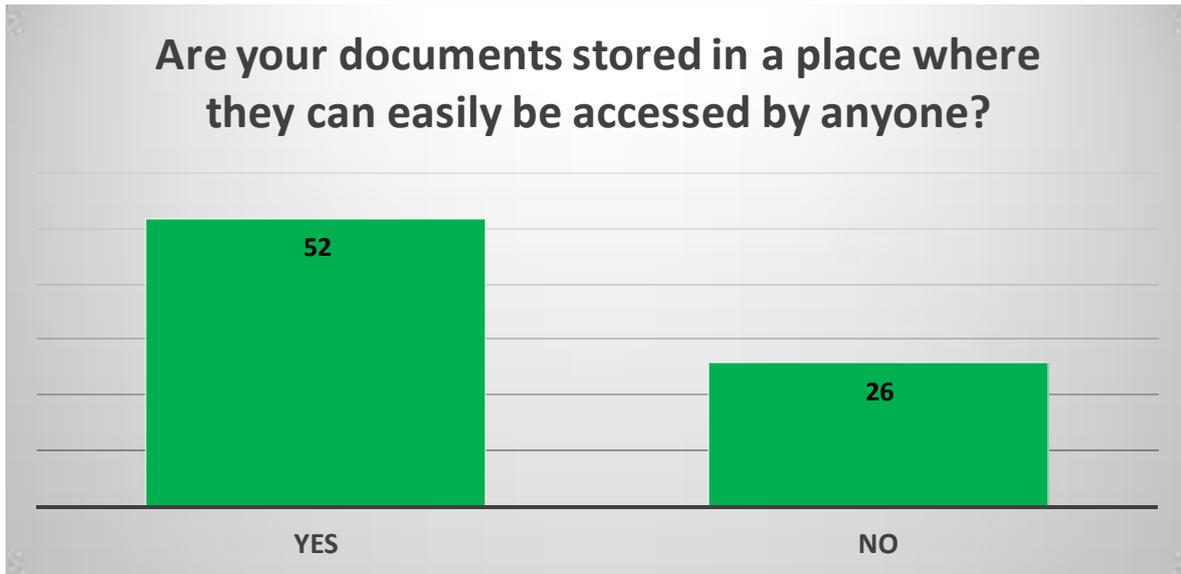


Figure 13 Ease of access

The Table 12 and Figure 13 above shows the accessibility and use of documents. The study results shows that 52 representing 65% of the respondents said their files are accessible by any on while the minority 26(32.5%) of the respondents said their files are not accessed easily by any one. The conclusion of the findings is that documents are stored in places were they are easily accessed.

Table 13 is a cross tabulation between the storage of records and organisation data security policy

		The organization adequately addresses data privacy and security issues				
		Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
Are your documents stored in place where they can be easily accessed by anyone?	yes	0	1	3	11	27
	no	5	2	3	2	12
Total		5	3	6	13	39

☐

☐

☐

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	13.423 ^a	4	.009

□

Statement of hypothesis

HO: Record management practices have no Influence on the accessibility of records.

H1: Record management practices have an Influence on the accessibility of records.

Conclusion: According to the Chi-square test above, the observed P-value (0.009) is less than the significance level of 0.05, hence the test is significant and we reject the null hypothesis and conclude that there is evidence to suggest, **PUMA’S Record management practices have an influence on the accessibility of records.**

4.4.4 Records Retention schedule

Table 14 Records retention schedule

A thorough documented record retention schedule that list recorded categories and expected retention record time period is available at puma energy Zambia					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Disagree	4	5.0	5.4	5.4
	Disagree	3	3.8	4.1	9.5
	Neutral	20	25.0	27.0	36.5
	Agree	19	23.8	25.7	62.2
	Strongly Agree	28	35.0	37.8	100.0
	Total	74	92.5	100.0	
Missing	None response	6	7.5		
Total		80	100.0		

Source: survey results

Table 14 above and Figure 14 below show the retention of documents. 28 out of the total number of respondents strongly agree to say Puma Energy Zambia has a thorough documentation retention schedule. 19 agree to the statement while 20 were not sure whether puma has the retention schedule or not. 3 out of the total number of respondents disagreed while 4 strongly disagree to say Puma Energy has a record retention documentation schedule. This indicates that Puma Energy has a document retention schedule in place, which helps the organization to ensure records are retained for as long as they are needed.

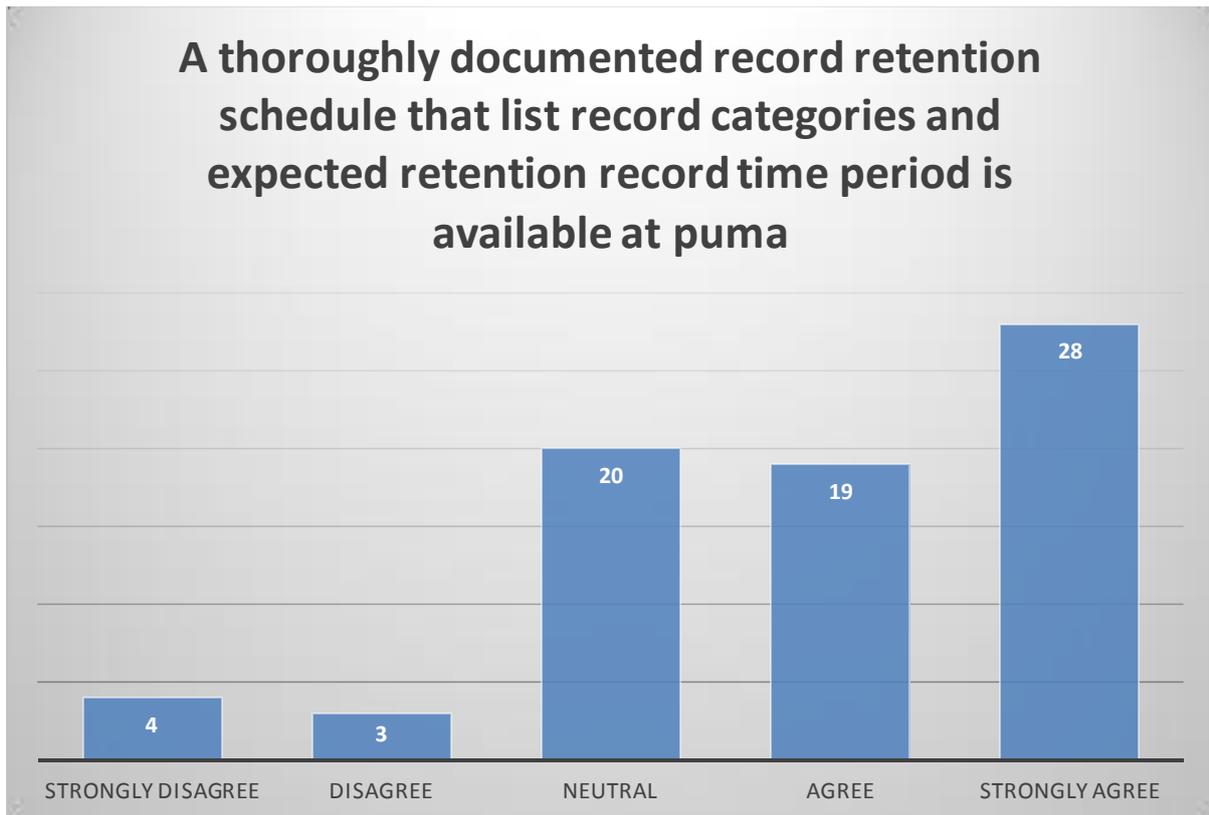


Figure 14 records retention schedule

4.4.5 Storage of active records

Table 15 Storage of active records

Where do you store your active records?					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Filing cabinets	48	60.0	60.8	60.8
	Cubes	3	3.8	3.8	64.6
	Software gadgets	2	2.5	2.5	67.1
	Boxes	2	2.5	2.5	69.6
	Shelves	23	28.7	29.1	98.7
	All of the above	1	1.3	1.3	100.0
	Total	79	98.8	100.0	
Missing	None response	1	1.3		
Total		80	100.0		

Source: survey results

The study also shows that 48(60%) of the respondents store their files in filing cabinets while 3(3.8%) of the respondents store in cubes and 2(2.5%) store in software gadgets. 2(2.5%) of the respondents store files in boxes and 23 representing 28.7% of the respondents store their files on shelves. Only 1(1.5%) Of the respondents indicated that they stored their document using all of the listed methods.

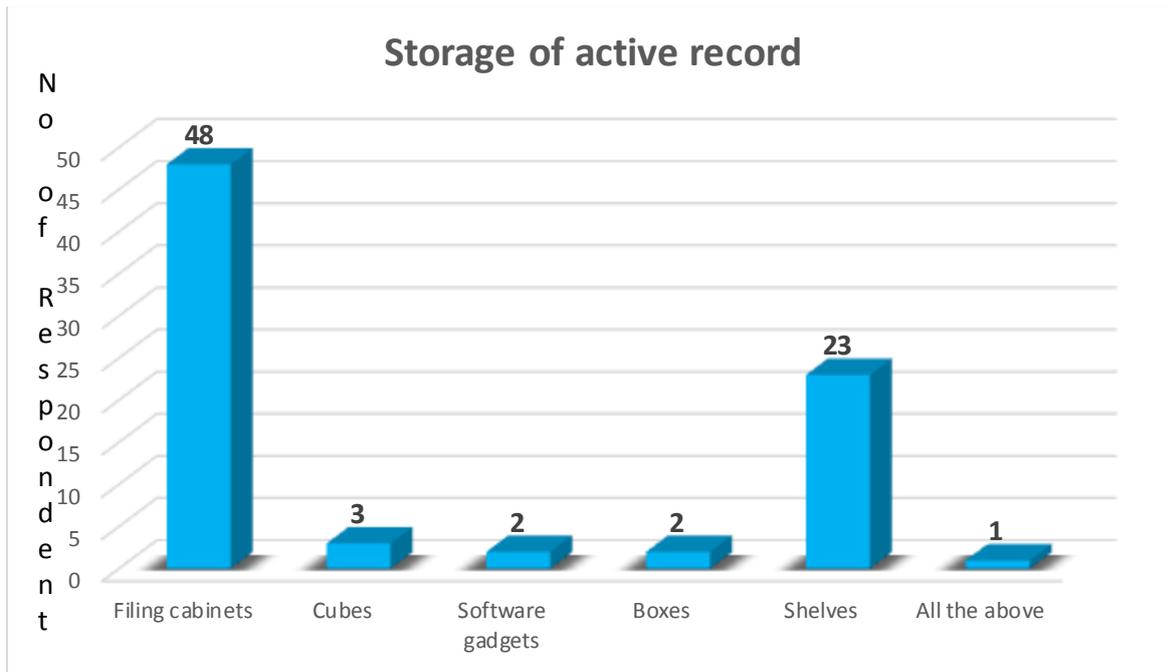


Figure 15 Records storage

Table 16 is a cross tabulation of PUMA’s record management practices and storage of active records.

		A thorough documented record retention schedule that list record categories and expected retention record time period is available at puma energy Zambia				
		Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree
Where do you store your active records?	Filing cabinets	2	3	13	10	16
	Cubes	0	0	0	0	3
	Software gadgets	0	0	1	1	0
	Boxes	0	0	0	0	2
	Shelves	2	0	6	6	7
	All of the above	0	0	0	1	0
Total		4	3	20	18	28

Statement of hypothesis:

H0: PUMA’s record management practices have no influence on the storage of active records.

H1: PUMA’s record management practices have an influence on the storage of active records

Chi-Square Tests

		Value	Df	Asymp. Sig. (2-sided)
Pearson	Chi-Square	15.755 ^a	20	.732

Conclusion: observed P-value (0.732) is greater than the significance level of 0.05, hence the test is insignificant and we fail to reject the null hypothesis and conclude that there is no evidence to suggest, **PUMA’s record management practices have no influence on the storage of active records.**

4.4.6 Classification of materials

Table 16 classification of records

Do you classify your newly created materials on a regular basis?					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Yes	63	78.8	81.8	81.8
	No	14	17.5	18.2	100.0
	Total	77	96.3	100.0	
Missing	None Response	3	3.8		
Total		80	100.0		

Source: survey results

The Table 17 and Figure 16 give the frequencies and percentages of classification. The survey results indicated that 63(78.8%) of the respondents classify their created materials on a regular basis. However, 14(17.5%) indicated that they do not classify their created materials. None response rate was at 3.8%

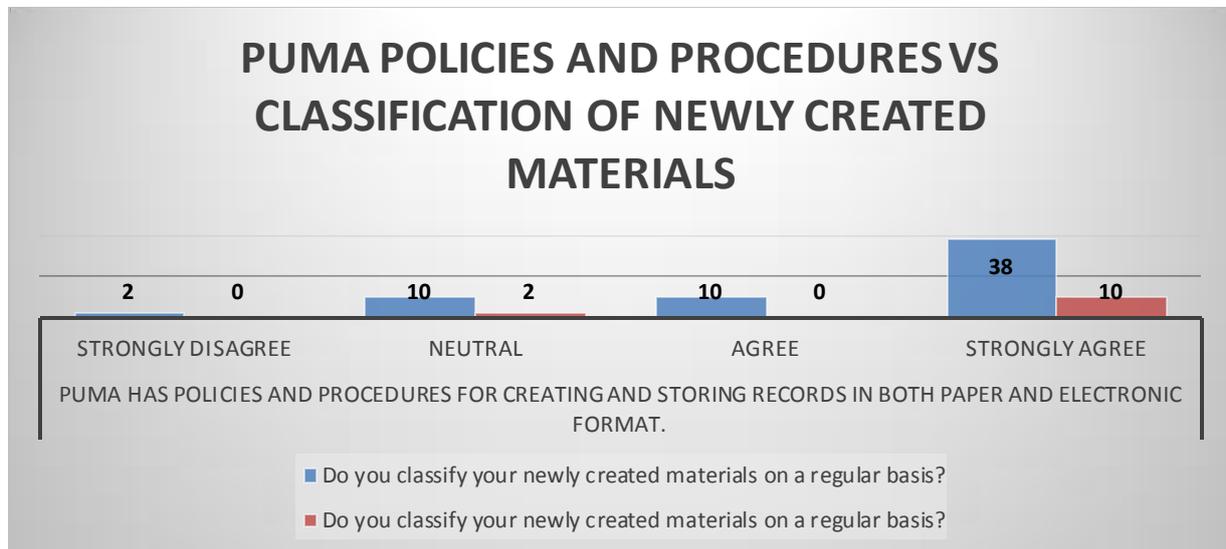


Figure 16 classification of record materials

Table 18 below is a cross tabulation of PUMA’s Puma has policies and practices for creating and storing records in both paper and electronic format and classification of newly created material.

		Puma has policies and practices for creating and storing records in both paper and electronic format.				Total
		Strongly Disagree	Neutral	Agree	Strongly Agree	
Do you classify your newly created materials on a regular basis?	Yes	2	10	10	38	60
	No	0	2	0	10	12
Total		2	12	10	48	72

Statement of hypothesis:

H0: Puma’s policies and procedures for creating and storing records have no influence on the classification of newly created materials

H1: Puma’s policies and procedures for creating and storing records have an influence on the classification of newly created materials

Chi-Square Tests				
		Value	Df	Asymp. Sig. (2-sided)
Pearson	Chi-Square	3.000 ^a	3	.392

Conclusion: observed P-value (0.392) is greater than the significance level of 0.05, hence the test is insignificant and we fail to reject the null hypothesis and conclude that there is no evidence to suggest, **Puma’s policies and practices for creating and storing records have no influence on the classification of newly created materials.**

4.4.7 Filing of newly created materials

Table 19 Filing of materials

Do you file your new materials on a regular basis?					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Yes	68	85.0	87.2	87.2
	No	10	12.5	12.8	100.0
	Total	78	97.5	100.0	
Missing	None Response	2	2.5		
Total		80	100.0		

Source: survey results

The Table 19 and Figure 17 show the filing of materials. The survey results indicates that 68 representing 85% of the respondents indicate that they file their materials on a regular basis

and only 10(12.5%) of the respondents do not file their newly created materials in a regular basis.

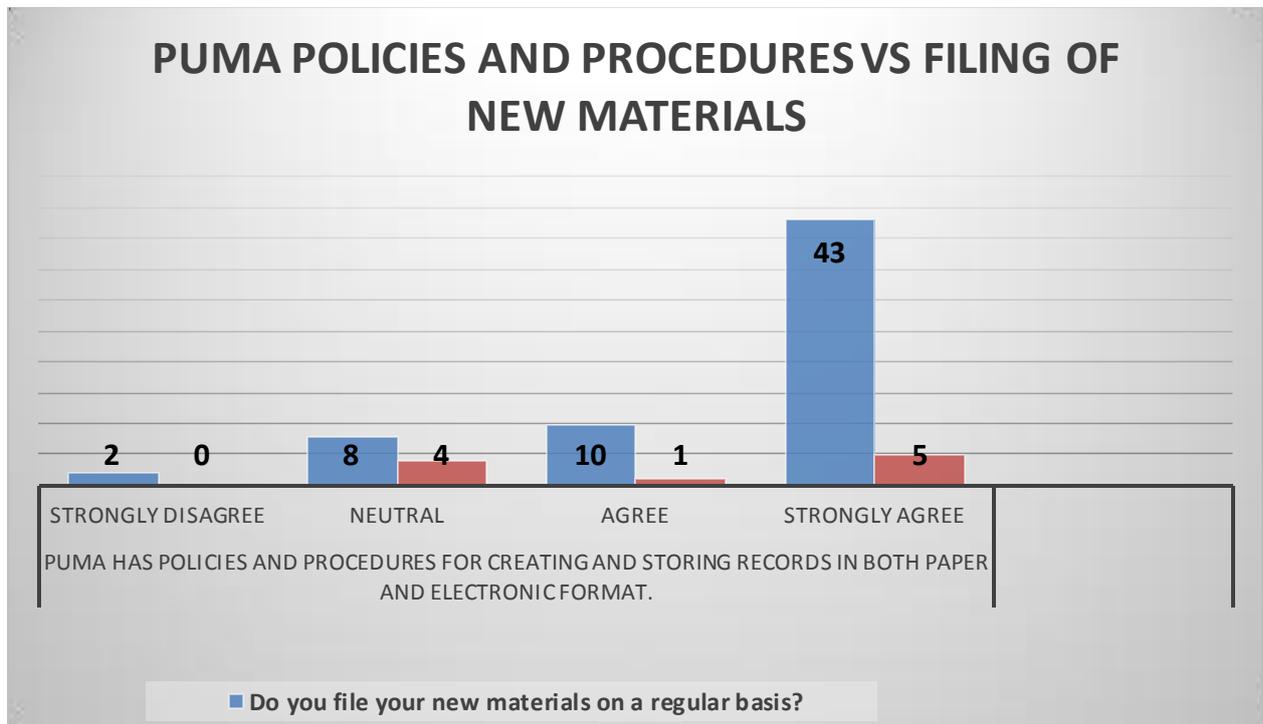


Figure 17 Filing of materials

Table 20 is a cross tabulation between PUMA’s policies and procedures for creating records and filing of new materials

		Puma has policies and procedures for creating and storing records in both paper and electronic format.				Total
		Strongly Disagree	Neutral	Agree	Strongly Agree	
Do you file your new materials on a regular basis?	Yes	2	8	10	43	63
	No	0	4	1	5	10
Total		2	12	11	48	73

Statement of hypothesis:

H0: Puma's policies and procedures for creating and storing records have no influence on filing of new materials

H1: Puma's policies and procedures for creating and storing records have an influence on filing of new materials

Chi-Square Tests

	Value	Df	Asymp. Sig. (2-sided)
Pearson Chi-Square	4.866 ^a	3	.182

Conclusion: observed P-value (0.182) is greater than the significance level of 0.05, hence the test is insignificant and we fail to reject the null hypothesis and conclude that there is no evidence to suggest, **Puma's policies and procedures for creating and storing records have no influence on filing of new materials**

CHAPTER 5: DISCUSSION OF FINDINGS

5.1 Introduction

This chapter presents answers to the study questions in the first chapter. The conclusions and answers to the study questions are found on descriptive and correction analysis results. The chapter also gives recommendations on what the Oil Marketing Companies should put in place to improve records management.

5.2 Discussion

This section discusses research findings to answer and research questions developed in the first chapter.

5.2.1 Challenges faced by oil marketing companies in records management in Zambia

The first research question was developed to identify challenges faced by oil marketing companies in records management in Zambia. To answer this question, the researcher analyzed questionnaire responses and revealed the lack of retention and disposal, schedule, the inability to always retrieve key information when it is needed, records were kept in areas where any person could access them at any time giving a risk of losing vital documents, lack of disaster reaction and recovery plan. Research model was developed to address the identified challenges.

5.2.2 Developing a model to address the challenges identified

The study also sought to develop a model to address the challenges identified in oil marketing companies. To help come up with a model that would address the challenges, the researcher reviewed two records management models. Using this model, the researcher developed the proposed research model presented in figure 20 below. Quantitative analyses were implemented to test the level of independence and determine the model that would address the challenges faced by oil marketing companies in records management in Zambia.

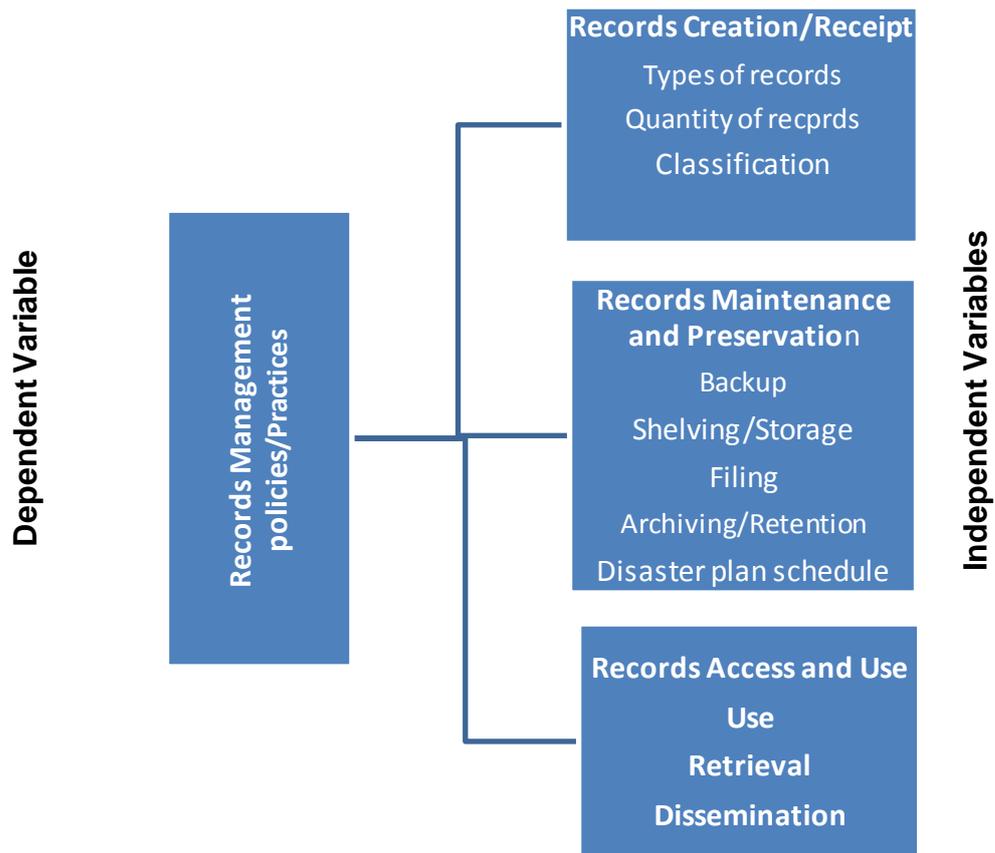


Figure 18 Proposed research model

5.3 Conclusion

The main aim of this study was to develop a model and prototype to address challenges faced by oil marketing companies in records management in Zambia. The study further aimed at identifying the challenges faced by oil marketing companies in records management in Zambia. The paper adopted descriptive and quantitative research design. The paper used purposive sampling technique because the sample was drawn from a small population of 151 employees of Puma Energy Zambia. The study revealed that, these companies face challenges such as, lack of retention and disposal schedule, lack of retention and disposal schedule, records were kept in areas where any person could access them at any time giving a risk of losing vital documents. It was also revealed that the company did not have a disaster recovery plan in place. Research model was developed to address the identified challenges.

5.4 Recommendations

- I. There is need for a record retention and disposal schedule to guide these organizations on what documents to keep and for how long.
- II. There is also need for a central place in which all vital records should be kept and preserved for future use.
- III. The organizations need a better, more efficient and more uniform way of creating, sorting, storing and destroying the records.
- IV. In filing, bar code scanners should be introduced to make identification and storage of records easier. These will also help to improve the management control and security aspect of records management and address most of these challenges faced by OMCs

5.5 Summary of the findings

The chapter presented the findings of the study and the results have shown that the organization did not have a system in place on how records should be managed. The organization did not have a records retention and disposal schedule to ensure vital, useful and important records are retained for as long as they are needed. Record retention is a very important aspect of records management system in an organization. It ensures that records are present when needed for litigation, audits, day-to-day business purposes and enable organizations to meet regulatory requirements and control the costs of records storage through disposing records at the end of their business life. Without it the records management system is not complete and the organization is at risk of destroying and losing documents prematurely. The findings also show that the organization did not have a centralized storage facility for their records and the storage facility, which was in place, was accessible to anyone putting all vital, useful and important records at risk.

5.6 Areas for future studies

This study serves as a useful basis for future researches. Future researchers can expand the scope of the study to other sectors of the economy so as to come out with in-depth results.

The researcher also recommends that future research should look at some of the challenges in government ministries such as health and other agencies.

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APPENDICES

SURVEY QUESTIONNAIRE



The University of Zambia

Graduate School of Business

**DEVELOPING A RECORDS AND INFORMATION MANAGEMENT MODEL FOR
OIL MARKETING COMPANIES IN ZAMBIA BASED ON THE RECORDS CYCLE
MODEL**

Sharon Malake (Student ID: GSB152069)

MBA General

For more information or any queries, kindly get in touch on 0978 259294

Dear Respondent,

I am a student at the University of Zambia in my final stage pursuing an MBA General. As partial fulfilment for the award of a Master's degree, I am conducting a baseline study on:

PART ONE: Records Creation/Receipt; create refer to original record created and documented by users and ‘received’ refer to records collected from other sources eg regulatory bodies (Please tick [√])

7. Do you as an employee in the oil marketing company know what information to create and capture?
Yes [] No []
8. If the answer to question 7 is yes, what type of records do you create in your role?
Reports [] contracts [] Business letters [] financial documents [] emails []
memorandums All of the above [] Other specify
9. What is the quantity of records created in a day?
1-5 documents a day 6-10 documents a day 11-20 documents a day [] 20-38
documents a day [] 39 and above []
10. Do you classify your newly created materials on a regular basis? Yes [] No []
11. If yes to question 9, how regular do you classify your newly created materials? Daily []
weekly [] monthly [] quarterly [] yearly [] others
specify.....
12. Are there guidelines on what records to create? Yes [] No []
13. Do you receive records and information materials from outside the organization? Yes []
No []
14. Is there a procedure on how to receive documents from outside the organization? Yes []
No []

PART TWO: records maintenance and preservation; simply means filing, storage and retention of records (Please tick appropriate [√])

15. Do you file your new materials on a regular basis (daily, weekly, monthly)? Yes []
No []
16. If yes to question 15, how regular do you file your newly created material? Daily []
weekly [] monthly []
17. Do you label the files to indicate the content? Yes [] No []
18. Where do you store your active records? Filing cabinets [] Cubes [] software
gadgets [] Boxes [] Shelves [] Other
specify.....
19. Do you send inactive records to the archives? Yes [] No []

20. Do you have a control system of your records? Yes [] No []
21. Do you have a disaster preparedness plan for records? Yes [] No []
22. If yes to question 21, what does your plan checklist cover? Please tick appropriate;
 Pests [] leaking roof [] floods [] explosions [] data failure due to viruses
 [] data loss or alteration due to computer hacking [] others specify.....
23. Would you say there is sufficient space to keep your records? Yes [] No []

PART THREE: Records Access and Use; the easiness to reach to your documents, retrieve them and use

24. How easy is it to retrieve your documents? Not Easy [] Easy [] Very Easy []
25. Are there barcodes on your files? Yes [] No []
26. Are your documents stored in a place where they can be easily accessed by anyone?
 Yes [] No []

Part Four: ICT literacy level (Please tick [√])

27. Does your company use computers and internet?
 Yes [] No []
28. What is your computer experience?
 I have no experience with the computers [] Less than one year []
 Between 1-3 years [] Between 3-7 years [] More than 7 years []
29. Which of the following activities do you do in your job using the computer and internet?
 Sending/receiving mails [] Telephoning/ video calls [] Retrieving information []
 Store information [] processing information []
 All of the above [] Others specify.....

30. What are the databases available for managing records?

Online database [] Image database [] Bibliography []
 Multimedia database [] Others specify.....

Part Five: Assess the records management practices in oil marketing companies (Please tick [√])

Respond to the statement using the scale provided “**Strongly agree (1), Agree (2), Neutral (3), Disagree (4), strongly disagree (5)**”. Tick (√) the boxes that most closely fit your opinion.

Assessment of records management practices	SA (1)	A (2)	N (3)	D (4)	SD (5)
Puma has policies & procedures for creating and storing records in both paper and electronic format.					
A thoroughly documented record retention schedule that list record categories and expected retention record time period is available at Puma					
A records management training program is organized annually to ensure that quality records are kept.					
The organization has in place periodic audits that provide an enforcement vehicle and assess the clarity of procedures.					
The organization adequately addresses data privacy and security issues.					
Inadequate resources to facilitate proper records management practices is a problem					

Please tick appropriate [√]

Thank you

END