

**AN EVALUATION OF THE STATE OF RECORD MANAGEMENT AMONGST
LOCAL AUTHORITIES FOR IMPROVED SERVICE DELIVERY: A CASE STUDY OF
LUSAKA CITY COUNCIL**

BY

NAMASIKU MUBIANA

A dissertation submitted to the University of Zambia in Partial fulfilment of the requirements for the award of a Master of Library and Information Science

THE UNIVERSITY OF ZAMBIA

LUSAKA

2024

Copyright Declaration

All rights reserved. No part of this dissertation may be reproduced, stored in any retrieval system, or transmitted in any form or by any means, electronic, mechanical photocopying, recording, scanning, or otherwise without the prior written permission of the author or the University of Zambia.

© The University of Zambia, 2024.

Declaration

I, **Namasiku Mubiana** hereby declare that this dissertation is my original work and has not been submitted for any other awards at the University of Zambia or any other University.

Name of Candidate:

Signature

Date

Namasiku Mubiana

.....

.....

Certificate of Approval

This dissertation of **Namasiku Mubiana** has been approved as a partial fulfilment of the requirement for the award of Masters' Degree in Library and Information Science by the University of Zambia.

Name of Examiner:

Signature

Date

.....

.....

.....

.....

.....

.....

.....

.....

.....

Abstract

Records management plays a pivotal role in fostering efficient service delivery through preserving and facilitating access to valuable information. However, poor record management amongst local authorities has resulted to unsatisfactory service delivery. In order to address this problem, this study aimed to establish the state of records management at Lusaka City Council (LCC) and its implication on service delivery. The objectives of the study were to establish records management systems and processes at LCC, determine record management knowledge levels amongst registry staff at LCC, establish the impact of records management on service delivery at LCC, and identify the challenges faced by LCC in managing records.

A case study research with a mixed methods approach was used by this study. Furthermore, a sample size of 33 respondents was selected using purposive sampling. Data was collected using semi-structured questionnaires and key informant interviews. Quantitative data on record management systems and processes, record management knowledge levels, challenges faced in the management of records, and the impact of record management on service delivery was analysed using descriptive statistics. Relationships between variables were established using chi-square test statistic and a p-value of less than .05 was considered to be statistically significant. Quantitative data analysis was done using Statistical Package for the Social Sciences (SPSS). Qualitative data on the challenges faced in the management of records was analysed using content analysis.

The study found that the LCC does not have an electronic management system for capturing and storing records and mostly relies on paper-based records. However, there is minimal amount of records that are digitally created on spreadsheets. Furthermore, LCC does not have an official records management policy and therefore, training of staff is usually anecdotal. Records are filled in alphabetical order and stored in file cabinets, shelves, and computers. LCC does not have a record disposal and disaster recovery plan. In addition, records management knowledge levels amongst LCC staff where found to be low and there was an absence of consistent training. Furthermore, the quality of records management translated into poor service delivery. The main challenges faced by LCC include insufficient storage space, limited accessibility, absence of an Electronic Records Management System (ERMS), poor funding, lack of skilled personnel, inadequate materials, poor maintenance of records, and lack of a records management policy.

Based on these findings, the study recommends that LCC should create a comprehensive records management policy that explicitly outlines the processes and procedures relating to the creation, storage, preservation, recovery, and disposition of records. Secondly, LCC should digitalize records management by designing and implementing an *Electronic Records Management System (ERMS)* to enhance efficiency, reduce errors and aid better collaboration for service delivery. In addition, registry staff should get adequate training in order to gain skills and knowledge in record management. Furthermore, there is need to revise entry educational requirements for registry personnel. The study also recommends that local government management and policy makers should prioritize promoting effective record management practices for efficient service delivery.

Dedication

I dedicate this research to my daughter, Nalukui Mikayla Nzala whose love and support has been my strength throughout this journey and to my late mother whose belief in the power of education continues to inspire me every day.

Acknowledgements

Foremost, I am deeply grateful to the almighty God for granting me the strength to complete this study. I extend my heartfelt gratitude to my supervisor Mr. Chrispin. Hamooya, for his unwavering and meticulous guidance throughout the study process. I am also indebted to Mr. Joe Nkadaani, Mr. Steven Kyengula and Mr Ephraim Nkhuwa for their invaluable moral and financial support during my research endeavours.

Special thanks also go to my family and friends especially my daughter Nalukui Mikayla Nzala for her moral support and continuous motivation.

Lastly, I extend my deepest appreciation to all the participants from the Lusaka City Council who diligently completed and returned the questionnaires, as well as all those who participated in the interviews. Their invaluable contributions significantly enriched this research. Without their support and participation, this study would not have been possible.

Table of contents

Copyright Declaration.....	i
Declaration.....	ii
Certificate of Approval	iii
Abstract.....	iv
Dedication.....	v
Acknowledgements.....	vi
Table of contents.....	vii
List of Tables	xi
List of Figures.....	xii
List of Abbreviations and Acronyms.....	xiii
CHAPTER ONE: INTRODUCTION.....	1
1.0 Overview.....	1
1.1 Background to the study	1
1.1.1 Brief background of Lusaka City Council.....	3
1.2 Statement of the problem.....	6
1.3 Research objectives.....	7
1.3.1 General objectives.....	7
1.3.2 Specific objectives	7
1.4 Research questions.....	7
1.5 Significance of the Study	7
1.6 Operation definition of key terms/concepts	8
1.7 Theoretical Framework.....	9
1.7.1 The Record Life Cycle Theory	9
1.7.1.1 Strengths of the Record Life Cycle Model	11
1.7.1.1 Critics of the Record Life Cycle Model.....	11
1.7.2 The Records Continuum Model.....	12
1.8 Summary.....	15
CHAPTER TWO: LITERATURE REVIEW	16
2.0 Over view.....	16
2.1 Zambian public service record management legislation.....	16
2.2 Systems and processes put in place to manage records in local government	18

2.2.1 Records capture/creation in local government.....	18
2.2.2 Records classification	19
2.3.3 Records Storage	20
2.2.4 Records retrieval tools in local governments.....	21
2.2.5 Records Preservation and Disaster Management.....	22
2.2.6 Records security.....	22
2.2.7 Disposition of Records.....	23
2.3 Knowledge on records management among staff working in registries of local governments	24
2.4 The extent to which records control influence service delivery in local governments.....	25
2.5 Challenges faced by local governments in managing records	27
2.6 Chapter summary	29
CHAPTER 3: METHODOLOGY	31
3.0 Overview.....	31
3.1 Research design	31
3.2 Target population	32
3.3 Sample size and sampling procedure	33
3.3.1 Sample size	33
3.3.2 Sampling procedure	34
3.4 Data collection methods and procedures	35
3.4.1 Data collection instruments.....	35
3.4.2 Data collection procedures.....	37
3.5 Data analysis	38
3.6 Reliability and Validity.....	38
3.6.1 Reliability and Validity.....	38
3.7 Ethical considerations	40
3.8 Limitations of the study	41
3.9 Chapter Summary	41
CHAPTER FOUR: PRESENTATION OF FINDINGS	42
4.0 Overview.....	42
4.1 Demographic characteristics of respondents	42
4.2 Systems and processes that have been put in place to manage records	43
4.2.1 Records management policy	44

4.2.2	Cross tabulation of length of service and existence of records management policy ...	45
4.2.3	Cross tabulation: job title by adherence to records management policy	46
4.2.4	Cross tabulation of level of education and existence of records management policy .	46
4.2.5	Cross tabulation of designation and existence of records management policy	47
4.2.6	Filing and arrangement of records	48
4.2.7	Frequency of record filling	48
4.2.8	Record storage facilities.....	49
4.2.9	Types of records created by Lusaka city council.....	50
4.2.10	Record availability	50
4.2.11	Time taken to retrieve records	50
4.2.12	Cross tab: time taken to retrieve records and years of service.....	51
4.2.13	Cross tab: time taken to retrieve records and education level	51
4.2.14	Record retrieval tools.....	52
4.2.15	Delivery method for records distribution.....	52
4.2.16	Record preservation and disaster management.....	53
4.2.17	Record security systems.....	53
4.2.18	Access to records	54
4.2.19	Records disposal	54
4.3	Level of knowledge about records management among staff in the registry departments.	55
4.3.1	Formal qualification in records management and in-house training	55
4.3.2	Frequency of records management training.....	56
4.3.3	Level of record management knowledge rating.....	57
4.3.4	Cross tabulation Level of record management knowledge rating*job position	57
4.3.5	Cross tabulation: level of knowledge and years of service.....	58
4.3.6	Cross tabulation: level of knowledge and level of education	58
4.4	Extent to which records control influence service delivery.....	59
4.4.1	Records management rating.....	59
4.4.2	Cross tabulation: Records management rating and employee designation.....	60
4.4.3	Cross tabulation: Records management rating and years of service.....	60
4.4.4	Records management and its impact on service delivery	61
4.5	Record management challenges.....	63
4.5.1	Additional record management challenges provided by registry employees	63

4.5.2 Interventions for improved record management.....	65
4.6 Chapter Summary	66
CHAPTER FIVE: DISCUSSION.....	68
5.0 Over view	68
5.1 Systems and processes that have been put in place to manage records	68
5.2 Level of knowledge about records management among staff	74
5.3 Extent to which records control influence service delivery	75
5.4 Challenges faced in managing records	76
5.5 Theoretical framework and study findings	78
5.6 Chapter summary	78
CHAPTER SIX: SUMMARY, CONCLUSION AND RECOMMENDATIONS	79
6.0 Introduction.....	79
6.1 Summary	79
6.2 Conclusion	81
6.3 Recommendations.....	81
6.4 Recommendations for future studies	82
References.....	83
Appendices.....	77
Appendix A: Questionnaire for council workers	77
Appendix B: Interview guide.....	86
Appendix C: Confirmation of Study.....	89
Appendix D: Approval to Conduct Research	92

List of Tables

Table 4.1: Background characteristics. Source: Field data, 2023.....	42
Table 4.2: Responses on items related to records management and policy.....	44
Table 4.3: Cross tab: Length of service by existence of a written records management policy...	45
Table 4.4: Cross tabulation: job title by adherence to records management policy	46
Table 4.5: Cross tab: level of education by existence of a written records management policy ..	46
Table 4.6: Cross tab: level of designation and existence of records management policy	47
Table 4.7: Cross tabulation: time taken to retrieve records and years of service	51
Table 4.8: Cross tabulation: time taken to retrieve records and level of education.....	51
Table 4.9: Record management formal qualification and training	55
Table 4.10: Cross tabulation Level of record management knowledge rating*job position, 2023.	58
Table 4.11: Cross tabulation Level of record management knowledge rating*years of service ..	58
Table 4.12: Cross tabulation Level of record management knowledge rating*level of education	59
Table 4.13: Cross tabulation: Records management rating and employee designation	60
Table 4.14: Cross tabulation: Records management rating and years of service	61
Table 4.15: Records management impact on service delivery.	62

List of Figures

Figure 1.1: The record life cycle.....	10
Figure 1.2: The Records Continuum Model.	12
Figure 4.1: job title of respondents.	43
Figure 4.2: Filing and arrangement of records.....	48
Figure 4.3: Frequency of filling records.	49
Figure 4.4: Record storage facilities	49
Figure 4.5: record retrieval tools.....	52
Figure 4.6: Record security systems.	54
Figure 4.7: frequency of records management training.....	56
Figure 4.8: level of knowledge rating	57
Figure 4.9: Records management rating	59
Figure 4.10: challenges faced in managing records.....	63

List of Abbreviations and Acronyms

ANC	-	Africa National Congress
CCTVs	-	Closed Circuit Television
EDRMS	-	Electronic Databases Records Management System
ERMS	-	Electronic Records Management System
ICTs	-	Information and Communication Technologies
IRMT	-	International Records Management Trust
NARSSA	-	National Archives and Records Service of South Africa
PSMD	-	Public Service Management Division
PSRMP	-	Public Service Records Management Policy
RCM	-	Records Continuum Model
RMP	-	Records Management Programme
SPSS	-	Statistical Package for the Social Sciences.
UNZA	-	University of Zambia

CHAPTER ONE: INTRODUCTION

1.0 Overview

This chapter comprises of background, statement of the problem, study objectives and questions, the significance of the study, operational definition of key terms/concepts, and organisation of the study. Thereafter, a chapter summary is provided.

1.1 Background to the study

Organisations are fundamentally responsible for creating and capturing records for every activity involving multiple parties. According to Shepherd and Yeo (2003), a record is either created or received by an organisation in pursuance of, or compliance with legal obligations, or in the transaction of business and they serve as evidence of what the organisation does. They capture its business activities and transactions such as contract negotiations, business correspondence, personnel files, and financial statements among others. Records come in many formats such as physical paper and electronic. Ongwenyi et al (2018) opine that records are important because they are the corporate knowledge of an organisation, independent of staff turnover. Williams (2006:1) stated that “records are indispensable for the efficient, transparent, and accountable management of organisations”.

In the context of public administration, records are mission critical in providing paper trailing for the purpose of accountability. Therefore, the effective and efficient maintenance of records demands the adoption of a records management programme (RMP). According to Ngoepe & Van der Walt (2010) a records management programme (RMP) is pivotal for organizational governance, entailing controls that contribute significantly to achieving business objectives and administrative efficiency. Its core functions involve creating records necessary for the efficient and successful running of an organization, produce records when they are needed, preserve records relevant to the continued operation of the organization; and to prudently create only necessary records. This encompasses establishing records management policies, assigning responsibilities, formulating procedures and guidelines, designing, implementing and administering record keeping systems.

The benefits derived from having a record management programme include economic gains and enhanced operational efficiency by facilitating ready access to complete and accurate information. It also averts unnecessary costs associated with records storage, protection of rights, and the assurance of continuity of operations (Ibid). Furthermore, effective record management facilitates fast, accurate and reliable access to information enabling organizations to make timely, relevant and informed decisions (Mulauzi, et al, 2015).

In the public service, the management of records is paramount in ensuring effective execution of duties, decision making, and access to information. (Makgahlela, 2011). Government agencies, more precisely, local authorities have deliberately embarked on implementing robust record management programmes after realising its relevance in enhancing effective service delivery through accurate creation and retention of records (Blunt, 1995). Kemoni, (2008) notes that Good records management within local authorities facilitates informed decision-making, contributing to sustainable socio-economic and political development. Furthermore, effective record management helps local government institutions to manage their information efficiently, fulfil their mandate, protect them from litigation, preserve their corporate memory, and foster accountability and good governance. Shonhe and Grand (2018) asserted that good records management boosts efficient and effective public service delivery by minimizing litigation risks, fostering accountability and transparency, ensuring compliance with regulatory requirements and supporting informed decision-making. A robust records management program empowers local governments to improve service delivery by providing accessible, relevant information for decision-making while economizing on time and costs.

Despite the potential benefits that accrue to maintaining an effective records management system, it has been observed that most public institutions, local governments included do not maintain a good record management system records (Ngoepe and Van der Walt, 2010; Cheterera, 2013). This has resulted into a compromise on the quality of services that local authorities provide in their area of jurisdiction. Wamukoya and Mutula (2005) cited in the works of Makgahlela (2021) notes that ineffective management of records translates into information cracks that cause insufficient records and the loss of organisational memory. This illustrates the significance of an effective record management system. Atulomah (2011) observed that improving records management in local government institutions will help to eliminate various observed administrative/managerial

problems and weaknesses that cause inefficiency and ineffectiveness in the delivery of services in these institutions.

Similar to most governments in developing countries, records management within the Zambian public service, particularly in local governments has remained largely poor (Public Service Records Management Policy, 2012). Registries, which are department charged with the responsibility of managing records have not adopted Information and Communication Technologies (ICTs) into their processes. The failure to adapt to new technology in the management of records amongst local authorities has resulted into poor service delivery due to improper usage of record formats. Therefore, strides have to be made towards improved performance and service delivery, there is need to understand the state of record management amongst local authorities in Zambia. In view of the above, this study evaluates record management systems and processes in the Zambian local government authorities with particular reference to using Lusaka City Council as a case study.

1.1.1 Background of Lusaka City Council

Lusaka is the largest city in the Republic of Zambia with a population of over 3 million (Central Statistical Office, 2022). It serves as Zambia's capital and the country's commercial centre. The city is located in the agricultural region of central Zambia and is connected through train and road to all major parts of the country. In 1913, the British government founded Lusaka as a remote outpost for British administrators and farmers. The Soli People were the original inhabitants of the land but in the 1890s the British South African Company seized the territory which had been called "Lusaka" in honour of the old Soli state (Wade, 2014)

In 1935 Lusaka became the capital of what was now the Northern Rhodesia Colony. Capital-designation brought major development and infrastructure to the city. The British colonial government commissioned John A. Hoogterp, a South African, to build the city's Government House and other major administrative buildings. Trees were planted alongside the streets, and houses with lawns were constructed to accommodate new white settlers. This new green foliage earned Lusaka the nickname the "Garden City." The majority of Lusaka's residents were European or Asian. Indigenous Africans who worked in the city were forced to live in compounds on the outskirts of town or immediately next to their place of employment. The racial hierarchy of Lusaka

emphasized white authority and black inferiority in a colony where blacks outnumbered whites ten to one (Ibid)

By the time Zambia gained independence in 1964, indigenous Africans were allowed to live in the city but mostly in slums. Upon independence the new Zambian government built “council-houses” to accommodate black residents, many of whom worked for the government or in the copper industry. Public utilities were installed and these houses represented a vast improvement compared to homes built for blacks during the colonial era (Chitembo, et al., 2014)

By 1966 Lusaka had emerged as the centre of anti-colonial resistance for Southern Africa. The city became a safe haven for African nationalists who organized independence movements in neighbouring Zimbabwe, Mozambique, Angola, and South Africa. In 1969 Lusaka hosted the Fifth Summit Conference of East and Central African States. At this meeting the Lusaka Manifesto on Southern Africa was signed condemning the presence of colonial regimes in Southern Africa. From the early 1970s through the mid-1980s the African National Congress (ANC), South Africa’s major anti-apartheid organization, was headquartered in Lusaka (Ibid)

Being Zambia’s largest city, Lusaka produces textiles, shoes, foods, and cement. It is home to many notable institutions such as the Zambian National Assembly Building, the Lusaka National Museum, the Mulungushi International Conference Centre, the Kenneth Kaunda International Airport, and the University of Zambia. The city, governed by a mayor and city council, faces modern-day issues of urban blight and massive unemployment typical of most African capitals (Wade, 2014)

The administration of Lusaka City Council is divided into two the first is a political wing headed by the Mayor while the administration part is led by the Town Clerk and eight directors representing eight departments namely: Department of Human Resource and Administration, Department of Legal Services, Department of Engineering Services, Department of City Planning, Department of Public Health, Department of Housing and Social Services, Department of Finance, and Department of Valuation and Real Estate Management. As a Local Authority, Lusaka City Council operates a representative type of Local Government, with elected local leaders (the Councillors) constituting the Council as community representatives. The Council has thirty-three (33) wards which are smaller geographical demarcations in the seven (7) larger constituencies that constitute the broader boundary jurisdiction of the greater Lusaka City (Chitembo, et al., 2014)

Like other city councils in Zambia, Lusaka City Council provides municipal services to the residents and everyone who conduct business in the City. These services include the following: Building and Consents, provision of city Libraries, Hiring of Venues, Cemeteries, facilitating Marriages, Birth registration, Environment and Health, Traditional Healers/Herbalists, Waste Management and Health Inspectorate among others. As stated above, Lusaka City Council has 8 departments, each providing specific services particular to that departments. In each department, there are different functional units. Each department has its own registry unit responsible for the management of records and capturing those records for day-to-day activities/transactions. However, there are two major registry department for the whole institution. The Human Resource Registry in the department of Human Resources and the other one in the Department of Finance (Ministry of Local government and Rural Development, 2024)

The human resource registry unit is responsible for the management of all staff records. Despite the huge volumes of records, it maintains, the human resource registry department uses manual or paper-based management of records. Records are captured and stored mainly in paper format. Over the years, there has been attempts to go digital by integrating Information Communication Technology in the management of employees' records. This was an initiative of the GiZ and the Zambian local governments and was run as a pilot project. An electronic management system was proposed to be put in place which could link the records of employees in the local government including Lusaka with the Public Service Management Division electronically. However, this system is not functional due to poor internet penetration, lack of technical support to fully implement the system, and lack of cooperation. The records management systems and practices in the human resource department is characterised by hard-copy paper-based records which results into huge storage of paper-based records in one room. On the other hand, the registry department in the Department of Finance maintains both paper and electronic records (ibid).

Furthermore, the City Planning department at the Lusaka City Council mainly uses electronic records management system in doing their business such as approving of building plans. They use a software called Metro electronic records management system. Using this system, a client has to go online using any smart device or computer in order to sign up and create an account. With this account, the client can initiate a number of processes related to planning including submission of

building plans for approval. Despite having such systems for record management at Lusaka City Council, there is a problem of improved service delivery (Chitembo, et al., 2014)

1.2 Statement of the problem

Local government authorities exist to provide efficient and effective public services to members of the public in their area of jurisdiction. Amongst many other avenues effective service delivery can be achieved, efficient records management is one of them. In line with this, the Zambia government adopted the Public Service Records Management Policy with the aim of achieving an effective and efficient records management for quality service provision in the civil service (PSMD, 2012).

Despite the enactment of the policy, members of the public who intend to access services from local authorities are subjected to poor service delivery due to poor records management in the local government structure (Bwalya & Akakandelwa, 2023). As a result, clients are subjected to prolonged waiting time because members of staff have to manually locate required documents. In addition, incomplete or inaccurate records negatively impact the delivery of services leading to errors, miscommunication and inefficiencies in decision-making processes. This tends to undermine the confidence people have in public institutions (Ibid)

Similarly, it was also reported that employees in the public service are still faced with a number of challenges with regards to records management. These challenges include inadequate training or awareness of modern records management practices, leading to suboptimal handling and maintenance of records. Furthermore, insufficient infrastructure and technological resources hinder the proper organization, storage, and retrieval of records, impeding the staff's ability to deliver timely and accurate services (Mulauzi, Hamooya, & munsanje, 2015)

Therefore, there is need to establish the state of records management in local authorities and its implications on the quality of services provided as this information is not known. By comprehensively evaluating the existing state of records management within the Lusaka City Council, and identifying deficiencies authorities will be better placed to establish progress made and what issues need to be addressed to foster effective record management for efficient service delivery

1.3 Research objectives

The objectives of this study were classified into general and specific objectives.

1.3.1 General objective

The general objective of this proposed study was to evaluate the records management systems and processes at Lusaka City Council with the aim of informing policy for improved service delivery.

1.3.2 Specific objectives

- 1) To establish the systems and processes that have been put in place to manage records at Lusaka City Council.
- 2) To determine the level of knowledge about records management among staff working in the registry departments at Lusaka City Council.
- 3) To examine the extent to which records control influence service delivery at Lusaka City Council.
- 4) To identify the challenges faced by Lusaka City Council Registry officials in managing records.

1.4 Research questions

- 1) What challenges are Lusaka City Council Registry officials facing in the management of records at the council?
- 2) What is the extent to which records control influence service delivery at Lusaka City Council?
- 3) What is the level of knowledge about records management among staff working in the registry departments at Lusaka City Council?
- 4) What systems and processes have been put in place to manage records at Lusaka City Council?

1.5 Significance of the Study

The findings of this study are of significance practically, theoretically (academia), and in policy development. Practically, the findings of the study may inform various stakeholders such as the management and employees of local government institutions concerning the essence of records management practices in critical organizational operations, including management.

Theoretically, the study findings may augment the body of knowledge by contributing to the literature on the significance of records management practices in local government administration.

Additionally, the study might also boost easy access to records through emphasizing on the significance of effective records management practices in organizational management.

In policy making, the study findings may inform policy makers concerning organizational policies, including the incorporation and support of record management in the local governments as a regulatory policy in an effort to enhance effective organizational administration and ultimately improving service delivery. Furthermore, these findings could also provide input into the policy making process in order to facilitate informed decision making.

1.6 Operational definition of key terms/concepts

Council: a group of people elected or chosen to make decisions or give advice on a particular subject, to represent a particular group of people, or to run a particular organization (Cambridge dictionary).

Local government: a sub-unit of government controlled by a local council, which is authorized by the central government to pass ordinances having a local application, levy taxes or exact labour, and within limits specified by the central government, vary centrally decided policy in applying it locally (Abuki, 2014)

Record: The National Archives and Records Administration (2004), defines a record “as information regardless of physical form or characteristics, made or received by an agency in connection with the transaction of public business and preserved by the agency, or legitimate successor, as evidence of the organisation or other activities, or because of the information value”.

Records-keeping: According to Johnson & Kallaus (1987) record-keeping involves making and maintaining complete, accurate and reliable evidence of business transactions in the form of recorded information. For the purpose of this study, record-keeping is defined as the process of creating, capturing, organising and maintaining the records of an individual or organisation.

Records management: According to Popper & Miller (1997), “records management is defined as the management of information resources that makes information easily accessible, securely protected and stored, and correctly disposed of when necessary”.

Records management practices: Records management practices entail a combination of all the processes and procedures to be followed when managing and/or keeping records (Makgahlela, 2021).

Knowledge: According to Amankwah and Sylias (2019) knowledge is the awareness of, or familiarity with various objects, events, ideas, or ways of doing things.

Service delivery: Service delivery is about the ability of governments and parastatals to make available the tangible public goods and the intangible services to the public and its customers (Ongwenyi et al, 2018)

1.7 Theoretical Framework

This section of the study presents an extensive discussion of the models that have been developed by records and archives scholars. Their strengths and critics and thereafter, presents the theoretical framework which guided the research.

1.7.1 The Record Life Cycle Theory

The Life Cycle Model emanates from North America and was invented and developed by the National Archives of the United States in the 1930s as a response to the exponentially growing amounts of records it had to deal with (Penn et al, 1994). It is also regarded as a theory that guides records management programs. At its stage of development, the record life cycle model covered the phases of creation, maintenance, use, and disposition (Yusof & Chell, 2000).

The Life-Cycle Model is further referred to as a linear model since records move in one direction, where they are either destroyed or preserved. It applies the analogy of living organisms and presumes that records are not static, they are born, live, and then die (Popper & Millar, 1997). This is achieved through the phases of current, semi current, and noncurrent where records should either be retained or disposed of (Bantin, 2008). Records are, therefore, created, used as long as it has a continuing value, and disposed of through destruction or preserved in the archives if they are of enduring value. Karabinos (2015, p. 24) offers the following definition of the life-cycle model:

The life cycle model breaks a record down into three distinct stages that distinguish records from archives. The first stage is the active stage, when records are created and actively used by the creating agency. In the second stage, the dormant stage, records are no longer of current use. The third stage is when records become archives, being stored and

preserved for future use. Prior to the archival stage is the selection and appraisal process, where records are discarded or 'advanced' to the archival stage.

Johnson and Kallaus (1987) outlined the various phases of the record life cycle as indicated in figure one below. Creation is the process whereby the record comes into existence within the department and its integration into a record keeping or database system (Smith, 1995). On creation the record is available for use within the department and used by the appropriate employees. The maintenance and use phase involve the distribution, storage, security and updating the record throughout the organisation (Smith, 1995; and Penn, Pennix, & Coulson, 1994).

A current record is a record that is used on a regular basis (Ricks, Swafford, & Gow, 1992). Examples of such records include personnel records of current employees, invoices of the current fiscal year, financial statements among others. A record is considered to be semi current when its business value is reduced especially when referenced once in a while. Salaries of employees for the current fiscal year fall in this category. In addition, records are classified as non-current when they have little or no business value and they can be referred to less than ten times a year (Ricks, Swafford, & Gow, 1992). Examples of these records are cancelled cheques and files of employees whose contracts have been terminated. The destruction phase shows the end of the record and has no value for business. In this case, its information is considered to be of permanent nature and as a result needs to be retained (Munetsi, 2011).



Figure 1.1: The record life cycle (Source: Stephens, 1996)

The Record Life-Cycle Model can be applicable to the records management processes as identified in the model starting from the time records are created, used and maintained, and disposed of through destruction or preserved in the archives if they are of enduring value.

1.7.1.1 Strengths of the Record Life Cycle Model

The record lifecycle concept has influenced the development of records and archives management around the world. Atherton (1985) was of the view that the Life-Cycle Model has been useful in promoting a systematic way of managing paper records. The Life-Cycle Model is regarded as more suitable to a paper-based records management system, which handles physical objects. It has facilitated the destruction of records of ephemeral value and freed office space that would have been clogged and also made retrieval of government records possible.

1.7.1.1 Critics of the Record Life Cycle Model

The record lifecycle concept has its own weaknesses. Critics of the records lifecycle argue that the records lifecycle theory created a distinction between the roles of records managers and archivists. Atherton (1985) argued that the records lifecycle model failed to acknowledge the symbiotic relationship between records and archives management. It demarcated records management from archives management, hence, separating the two professions that should work together to enhance an effective management of public records. The model undermines the greater co-operation and co-ordination among archivists and records managers (Munetsi, 2011). Since the model differentiates between records managers and archivists, it has promoted a view where records managers manage records as an administrative tool while the archivists manage records for cultural and social purposes. This approach has consigned archivists to a marginal role in contemporary organizations (Brothman, 2001).

Brothman (2006) argued that the Life-Cycle Model is linear and unidirectional and, therefore, loses its conceptual coherence when records reach the archival stage. Yusuf and Chell (1998) quoting Munetsi (2011) claimed that the record life cycle concept has some weaknesses, particularly its application in managing digital records. The authors emphasized that as technology changed, the record is prone to transformation and conversion and this requires co-ordination between the stages of the record lifecycle. Further, Yusof and Chell (2000, p. 135) contended that the model has been rendered insufficient in the digital environment because:

Documents in a distributed electronic environment are dynamic and recursive in nature and may exist in more than one stage of the life cycle simultaneously. They may not follow a serial path from creation to disposal but may be reappraised at the disposition time and reappear in an earlier stage.

In this sense, the Life-Cycle Model is more suitable to a paper-based records management system, which handles physical objects. The model has become insufficient in the digital environment because of the intangible nature of the digital records generated in the information management systems (Yusof & Chell, 2000). Because of these weaknesses, this study considered the Records Continuum Model as the best for this study.

1.7.2 The Records Continuum Model

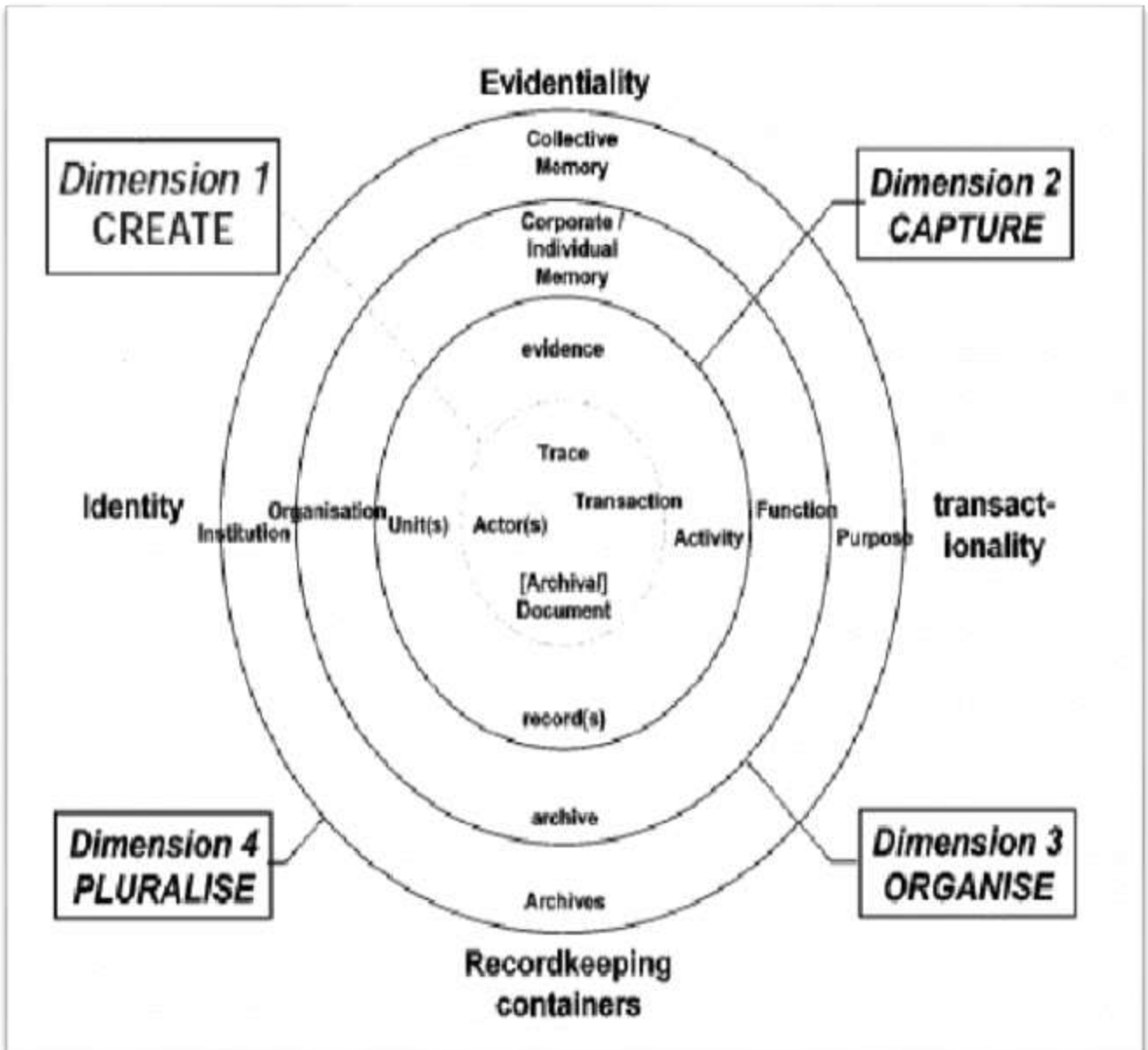


Figure 1.2: The Records Continuum Model. (Upward, 2001, p. 123)

The study was also guided by the Records Continuum Model (RCM) to investigate the state of records management in the local government. This model was a brainchild of Frank Upward (1996). The RCM is an abstract conceptual model that helps to understand and explore recordkeeping activities (as interaction) in relation to multiple contexts over space and time.

The study used the records continuum model as it involves an investigation of the records management practices and their significance in organizational administration. A records continuum is continuous and is a time/space construct not a life model (Upward, 2001). According to Upward (2001), no separate parts of a continuum are readily discernible, and its elements pass into each other. Coetzer (2012) defines Records Continuum as a consistent and articulated administration process of management beginning from the creation of records through to the utilization and conservation of organizational records as archives. This model demonstrates best records management practices enshrined in the incorporation of archives, records, and document management (Nyamwamu, 2018).

Frank Upward offered a variant of records continuum model that he considered a paradigm shift. It consists of four dimensions and four continue axes. The four dimensions are create, capture, organize and pluralize while the four axes are identity, transactional, recordkeeping and evidential (Upward, 2001).

As illustrated in figure 1.2 above, the records continuum model holds that a continuum has no separate steps because record management is a continuous process where an element of the process seamlessly passes into another in the continuum. The model further stresses that records professionals are imperative and should be involved in the planning stages of information systems (Nyamwamu, 2018) . According to Saffady (2011), there are four actions involved in the process of records and archives management in this model. These actions include:

Identification and acquisition: The creation of records is a record management action while the management of archives relate to the acquisition and selection of archives.

Intellectual control: This process entails classifying records in a logical system. Actions related to archives management involve the description and archives arrangement.

Access: Records management actions include the conservation and usage of records. Actions associated with access in archives management consist of the description of archives.

Physical control: Actions related to physical control in records management include destruction and disposal of records and transfer of records to the national archives. On the other hand, actions relating to physical control in archives management include the preservation of archives Coetzer (2012).

The structural principles of the RCM link to the concept of the continuing value of records. According to these principles, records are essential for the transactional, memory, and evidential purposes. Records also guide a unified approach to recordkeeping or archiving. Other structural principles consider records as logical and not as physical entities, despite the fact that their form is either electronic or paper-based (Nyamwamu, 2018). According to Coetzer (2012), the institutionalization of archiving suggests a need for the integration of recordkeeping or archiving into societal and business processes and purposes.

In application to this study, the continuum model is applicable to the records management processes as identified in the model starting from the creation of records to their disposal. The model also emphasizes the role of records managers in the effective records management process. This model stresses that records management professionals are suitable in all phases of records management. The model also identifies the outcomes of effective records management as inclusive of transaction, memory, and evidential purposes (Nyamwamu, 2018). Effective records management practices play significant roles such as identification and acquisition, physical control, intellectual control, and access (Nyamwamu, 2018). These factors are critical in the entire organizational administration because such processes are critical for organizational management and eventually resulting into improved service delivery. For example, the management of organizational activities and funds can only be possible through the provision of evidence as recorded in the organization's files.

Therefore, this model is of significance to this study as it emphasises on the effective records management, which is important for effective organizational operations including organizational management and ultimately service delivery.

The study decided to use this model as compared to the other models because the model explores into the specific records management practices in a continuum beginning from when records are created to their disposal. Such a continuum creates insight on the records management practices and their importance in various organizational processes and ultimately service delivery.

Furthermore, the study opted for this model because it provides a prominent explanation on how records are systematically managed from creation to disposal and transfer of records.

1.8 Summary

The chapter has presented the background, discussing the concept and importance of records. It also discussed the concept of records management programs and their benefits at a general level. Subsequently, the chapter delved into the benefits of RMP in local governments and provided a brief background of Lusaka City Council. Additionally, the chapter introduced the statement of the problem, revealing that Lusaka City Council, with its numerous interlinking departments generating records daily, seemed to experience the absence of proper records management. Administrators in the council found it increasingly difficult to retrieve the information they needed to make decisions. Furthermore, the chapter presented the study objective, which was to evaluate the records management systems and processes at Lusaka City Council with the aim of informing policy for improved service delivery. The significance of the study has shown that the results may be used to provide an insight into how records are created and managed at local government level and how it may assist policy makers and planners at different administrative level of local government in coming up with initiatives of improving service delivery through proper management of records. In addition, the chapter also presented the definitions of key terms/concepts.

Finally, the chapter presented the theoretical framework which guided the study. The Records Continuum Model (RCM) developed by Frank Upward (2001) was adopted to investigate the state of records management at Lusaka City Council. The RCM is an abstract conceptual model that helps to understand and explore recordkeeping activities (as interaction) in relation to multiple contexts over space and time. The next chapter will present and discuss the literature related to the topic under study.

CHAPTER TWO: LITERATURE REVIEW

2.0 Over view

This chapter has reviewed the literature related to records management practices in local government's organization. Mouton (2001:87) postulates that "a literature review identifies and compares earlier studies, and also helps to avoid duplication and unnecessary repetition". The review of literature may enable other researchers to cultivate an understanding of what has been done and reported on the topic under study.

2.1 Zambian public service record management legislation

In the quest to improve records management in the public sector in Zambia, the government has adopted a number of policies to this effect. These include the Public Service Records management policy 2012, and the Electronic Government Act 2021.

The Public Service Records management policy 2012 was adopted by the Zambian government after realising the detrimental effects of poor record management in public institutions fuelled by an absence of policy. These effects included among others, delayed decision making, misfiling, and pilferage of information, fraud, and poor service delivery. Furthermore, the record management landscape in the public service was characterised by an absence of electronic records systems, poor classification and indexing of records, compromised security leading to leakage of documents, poor quality of human capital in registry departments, and absence of disaster preparedness plans aimed at protecting and recovering of records in the event of a disaster. Therefore, in order to address these issues arising from poor records management, the Public Service Records management policy 2012 was adopted with the vision of developing an E-based reliable records management system that it is in accordance with international standard, and best practices to ensure provision of quality services.

"The specific objectives of the policy are to:

- a) Create and manage authentic, reliable and usable records in order to facilitate provision of quality services*
- b) Improve access to accurate and authentic information for timely decision making*
- c) Promote standardized, integrated and reliable records management systems for easy storage, processing and retrieval;*

- d) *Secure Public service records in order to protect the rights of employees, clients and stakeholders and inspire public confidence.*
- e) *Ensure continuous professional development and retention of staff to support effective management of records management system”*

In order to achieve these objectives, the Public Service Records management policy 2012 sought to review existing records management practices and design and implement an electronic records management system; design and implement procedures to facilitate an efficient records management system; foster adherence to standardized records management systems; develop procedures and guidelines that ensure protection of documents from unauthorised access, alteration or erasure: and enhance human resource capability and motivation in records management through training programmes and career progression for records management personnel.

In addition, in order to enhance public service delivery through e-governance in Zambia, the government adopted the Electronic Government Act No. 41 of 2021. In broader terms, the Act aims to:

“enhance the management and promotion of electronic Government services and processes; establish the Electronic Government Division in the Office of the President and provide for its powers and functions; facilitate access to electronic Government services to improve service delivery, administrative functions and productivity in order to enhance citizens access to Government services and information; and provide for matters connected with, or incidental, to the foregoing”

The Electronic Government Act No. 41 of 2021 provides for the adoption of electric record keeping amongst public service organisations whilst ensuring that they adhere to standard record management practices that govern the creation, usage, and disposal of records in the public sector. Furthermore, it also provides guidelines on the transition from paper-based record keeping to electronic record keeping by explicitly stating that they should align with the technological standards at the time of transition. The Electronic Government Act No. 41 of 2021 also aims to foster security of information providing security measures to deter unauthorised access and disclosure of information. In addition, it controls access to e-government information by prescribing access levels.

2.2 Systems and processes put in place to manage records in local government

Organisations ought to have strategies to ensure that full and accurate evidence of their decisions, actions and transactions are recorded, captured and maintained by record-keeping systems. Strategies are needed to determine how, when, where and in what form information should be captured in records as ‘evidence’ and held as long as it is required. Strategies are also needed to dispose of records promptly and appropriately, either by destruction or transfer to an archival institution, once their business value has ended.

There are various practices in the management of records. These practices are also referred to records management processes. The processes are: records capture/creation, records classification, records storage, records preservation, records security and records disposal (Alegbeleye & Chilaka, 2019). This literature will discuss the systems and processes used to manage records in local governments from this perspective. The purpose of a recordkeeping system is to manage records throughout their life cycle, i.e., from the creation or receipt of a record, through its useful life to its final disposal.

2.2.1 Records capture/creation in local government

Records are created from business activities or transactions. In the lifecycle of records management, record creation stage is the first stage, and as such, care must be taken. Alegbeleye and Chilaka (2019) posited that the level of success achieved at this stage may affect the other stages of the record life cycle. All organizations including local governments create records to support and provide evidence of their transactions. In local government institutions, a record is either received or created, the creation of a record starts when a letter is received or produced, an e-mail is written, a form is completed or a pamphlet is printed. Therefore, the creation of records must be properly captured on a proper medium after creation so that they are readily available for institutional support. Bakare, and Issa (2016:51) opined that “the day-to-day operations of any successful organisation depends entirely on its records, and records are important, without which an organisation simply cannot function”.

A study by Wang et al. (2018) examined record creation processes in Chinese municipal governments. They found that 60% of records were created digitally, emphasizing the shift towards electronic records. Wang et al. (2018) concluded that the growing reliance on digital record

creation necessitates robust digital recordkeeping systems and emphasized the need for comprehensive electronic records management.

According to the National Archives of Australia's survey (2016) revealed that, "75% of government institutions capture and manage current records in electronic records management systems such as the Electronic Records Management System (ERMS) and Electronic Database Records Management System (EDRMS)." It is for this reason that local government councils need to manage their records properly by integrating Information and Communication Technology (ICT) in their records management practices for improved service delivery. Comparatively, a research conducted in developing regions such as the Sub-Saharan Africa has shown that local governments have also embraced technology in the creation and capturing of their records. Bakare et al. (2016) conducted a study in Ogun State, Nigeria and found that computers were used as a medium for records creation.

Kanzi (2010) carried out an investigation on the role of records management with specific reference to Amathole District Municipality in South Africa. Kanzi (2010) revealed that most of the record creation and capturing at Amathole District Municipality was manual and it adhered to a manual procedure and file plan. This study shows that most public institutions still adhere to outdated manual procedures for record creation and capturing.

2.2.2 Records classification

Filing records accurately guarantees their prompt retrieval when needed. This process involves sorting each record upon creation or receipt and properly documenting it. Records should be filed immediately after creation or receipt to ensure effective records management. Each new record is registered and maintained in a filing system with a unique reference number (Makgahlela L. A., 2021). Additionally, records can be classified based on their creation nature. According to Alegbeleye and Chilaka (2019), various benchmarks, including numeric, alpha-numeric, alphabetical, or chronological, can be used for filing records

Patel and Desai (2020) investigated records classification methods in Indian municipal councils. They found that the use of an alphanumeric filing system was predominant, aiding efficient record retrieval. The authors concluded that the adoption of an alphanumeric filing system improved accessibility and organization of records, enhancing overall management efficiency.

Mulindwa (2015) investigated the practices undertaken to manage active-records in Butambala District Local Government in Uganda and found that the filing system used when managing the active-records included Numeric Filing System, Alphabetic Filing System, Geographical Filing System and Alphanumeric Filing System. The most filing system used when managing active records was alphabetical. Mulindwa (2015) concluded that Alphabetical System was the widely adopted by most of the local government organizations in Butambala District.

In addition to the above, the Library of Virginia (2014) suggests that there are two types of alphabetical filing. Topical filing arranges files in straight alphabetical order, such as subject correspondence arranged from A to Z, based on the name of the subject. Generally, the Library of Virginia (2014) concludes that filing practices must be applicable across all formats as much as is possible. If an office maintains both paper and electronic systems, it does not make sense for a single records series to have two different filing schemes. The most common methods of arranging documents are alphabetical, numerical, or alphanumeric (Library of Virginia, 2014).

Yusof & Mokhtar (2015) carried out a study on records and information management as a requirement for functional classification in Malaysia. Yusof & Mokhtar (2015) found that public institutions in Malaysia has not adopted any classification function in managing digital records. Furthermore, there was an absence of records classification. The only form of classification available was metadata categorisation which only supports tracking and searching.

2.3.3 Records Storage

The second phase in the records life cycle is the storage of records. Records are kept so that they can be made available to authorised users when required. Storing records appropriately for their retention periods is therefore a good investment for government institutions (Atulomah, 2011). A study conducted by Kalusopa and Ngulube (2012) about record-keeping practices in labour organizations in Botswana examined e-records readiness in 50 registered labour organisations in Botswana and found that 56% of the labour organisations used steel cabinets for storing current records. Their survey established that semi-current records were kept on the shelves together with current records by more than 72% of the labour organizations. The authors recommended for the adoption of electronic records management systems as best records management practices and effective integration of organizations into national e-government strategies.

Garcia and Hernandez (2019) studied records storage practices in Latin American municipalities. They highlighted the growing use of cloud-based storage solutions for records due to scalability and cost-effectiveness. Garcia and Hernandez (2019) concluded that cloud-based storage offered flexibility and potential cost savings, but stressed the importance of ensuring data security and compliance with regulatory requirements. Similarly, Mulauzi, et al., (2015) revealed that Zambia has been transitioning towards converting records into digital format at national level through the National Archives of Zambia. However, most public institutions have not yet migrated fully to digital record storage.

The referenced studies highlight the various records storage mediums and facilities employed by local government organizations. Nevertheless, it is important for these institutions to proactively embrace new emerging technologies as these will greatly facilitate the transformation of council operations, enhancing their effectiveness in service delivering.

2.2.4 Records retrieval tools in local governments

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. Abuki (2014) assessed the record management practices at Kisii County government headquarters in Kenya and found that registries in Kisii County used only subject indexes as retrieval tools and tracked the records movement using file registers and physical censuses. The author recommended for the County to use a combination of indexes and adopt the use of Electronic Records Management Systems (ERMS) to enhance efficiency and reducing errors.

A study by Jones et al. (2022) surveyed record retrieval practices in local governments in the United States. They found that 80% of surveyed entities used a combination of indexes and computerized databases for efficient record retrieval. Jones et al. (2022) concluded that the integration of computerized databases with traditional indexing systems significantly improved the speed and accuracy of record retrieval.

Bakare and Issa (2016) assessed the records management practices in selected local government councils in Ogun State, Nigeria. They discovered that 63% of councils in Ogun State used registers as finding aids. Next to this were index and simple list devices. The authors recommended the use

of colour coding as a modern record finding tool even though not given adequate attention, especially from an economic point of view.

2.2.5 Records Preservation and Disaster Management

According to Odeyemi, Issa and Saka (2011), the reason for preserving records is to protect them from injurious factors such as excess heat or lighting, fire breakouts and humidity and prolong their life span. Disaster management also known as disaster preparedness is regarded as an essential part of any records management programme that helps in preservation of records.

Sharma et al. (2021) examined disaster management practices in Indian local government record repositories. They found that only 30% of surveyed repositories had a comprehensive disaster management plan in place. Sharma et al. (2021) emphasized the urgent need for local governments to implement robust disaster management plans to safeguard critical records against potential risks.

Makgahlela (2021) investigated the records management practices in selected municipalities in Limpopo province of South Africa and found that the vast majority of respondents 83, (96.5%) stated that there was no disaster management plan in place. Furthermore, Makgahlela (2021) found that the vast majority of respondents 81 (94.2%) did not have a fire detection and suppression system. The author emphasized on the need of having a disaster management plan in place as it shows the level of preparedness of the organisation.

The protection and preservation of records are always at the risk of a disaster. All local governments should have a disaster management plan as without such a plan they stand to lose all their records and institutional memory should a disaster occur. Having a disaster management plan is thus important for good records management practices.

2.2.6 Records security

Security issues in most public organizations like the local governments should follow traditional norms. Safety measures such as locking cabinets, employing security personnel, cameras, Closed Circuit Television (CCTVs), alarm systems, fire warnings and protection systems are mostly taken for the physical security of records (Alegbeleye & Chilaka, 2019). On the other hand, electronic security measures like firewalls, passwords, encryption, security copies and access rights for each user category are some of the tools used for securing electronic records integrity, accuracy and trustworthiness (Mulindwa, 2015).

A research by Lee and Kim (2020) investigated records security measures in South Korean local governments. They found that biometric authentication methods were increasingly employed for securing access to sensitive electronic records. Lee and Kim (2020) concluded that biometric authentication offered enhanced security and accountability in managing electronic records, reducing the risk of unauthorized access.

Gupta et al. (2020) explored the integration of block chain technology for enhancing the security of records in local government settings. The authors found that adopting block chain technology can significantly improve the integrity and trustworthiness of records. For that reason, they advocated for further research and pilot implementations to assess the feasibility of block chain in local government records security.

Park and Kim (2014) analysed the effectiveness of biometric authentication systems in securing physical access to records in government offices. They concluded that biometric authentication can enhance physical records security while ensuring convenient access for authorized personnel hence, recommended the careful implementation of biometric systems with considerations for user privacy and system reliability.

2.2.7 Disposition of Records

Disposition of records is the third phase in the records life cycle. Record destruction may not necessarily imply the complete destruction of records. After records have been retained for a long or short time, depending on the level of vitality of the record, records are then put away either through physical and complete destruction or by transferring or moving them to a permanent storage site within the organisation or to an external records storage facility called archive (Alegbeleye & Chilaka, 2019).

The process of disposing a record should be carried out according to a records disposal policy or programme. Understanding the importance of an effective disposal programme is a vital element ensuring that records are effectively managed. Researchers such as Smith and Johnson (2019) explored records disposal policies in local governments in the United Kingdom. They found that 70% of councils followed a systematic records disposal policy aligned with national archival standards. Smith and Johnson (2019) concluded that adhering to standardized records disposal policies enhanced efficiency in managing records, ensuring proper disposition while complying with legal requirements.

Similarly, Taylor and Brown (2019) examined the challenges and best practices in implementing records disposal policies in large organizations. They stressed the importance of aligning disposal programs with overall records management strategies for optimal results and recommended for organizations to conduct regular audits of their disposal policies and revise them based on changing needs.

Furthermore, Rodriguez and Martinez (2016) explored the impact of cultural factors on records disposal practices in diverse organizational settings. They found that cultural norms and values influence decision-making regarding the disposal of records hence recommended for organizations to incorporate cultural considerations in the development of disposal policies.

Jones and Williams (2017) investigated the life cycle of records in local government. According to their research, a lack of well-defined disposal strategies resulted in cluttered record systems. The authors suggested that local governments should implement comprehensive disposal policies, clearly outlining timelines, and provide training for staff on appropriate disposal practices.

2.3 Knowledge on records management among staff working in registries of local governments

Records management concerns record keeping, but it also involves knowledge on how records are to be managed (Atherton, 1985). Bantin (2008) stated that office professionals must understand and be able to manage records from creation to preservation and disposition. Managing records involves more than collecting and keeping data and information. It also concerns the knowledge of what records must be kept, where they are to be stored, how they are to be managed, and who has the right of access.

In different parts of the world, records management varies in terms of the nature and extent depending on its purpose, setting and context of the services. Records management practices can only be successful if it is led by staff knowledgeable in records management. Employees have to be knowledgeable and familiar with the requirements needed in managing records, such as the level of confidentiality, proper maintenance security, preservation of content, and other necessities that are to be considered (Attiah, Mahama, & Abilla, 2017). With the large number of records created every day, it is important for staff to be able to deal with those records. That can only happen if staff have the necessary knowledge and are properly trained to manage records.

Amankwah and Syllias (2019) assessed records management knowledge among local government staff in Ghana, they discovered that there were gaps and challenges in the levels of records management among staff. They recommended the implementation of training programs, awareness campaigns and the development of a supportive organisational culture.

Similarly, Singh and Mishra (2018) explored the competency levels of records management among Indian local government employees and found that there were gaps in the levels of competency among staff and recommended for training programs, the establishment of competency standards, and the integration of records management into organizational culture.

Furthermore, Udoh, Angela, & Patrick, (2023) evaluated records management knowledge levels among Nigerian government ministries in Akwa Ibom state. It was reported that the records management knowledge was quite low. Based on these findings, they recommended targeted training, continuous education, and the establishment of clear records management policies.

Mulauzi, et al., (2015) carried out a study on records management practices in the Zambian pension industry. Mulauzi, et al., (2015) found that there was a lack of awareness on organised record management programmes. Furthermore, civil servants did not receive adequate training on record management. This study provides valuable information on how knowledgeable civil servants are about the management of records.

Chirwa (2015) also carried out an investigation on the knowledge levels and practices of the records management staff in the Ministry of Education, Science, and vocational training in Zambia. Chirwa (2015) found most of the registry staff demonstrated basic knowledge on record management concepts and practices. Furthermore, even when registries were adequately staffed, most of the employees had no records management qualifications. This shows that most records management staff possessed basic record management knowledge and did not pursue formal education to acquire skills on effective management of records.

2.4 The extent to which records control influence service delivery in local governments

Effective service delivery is when a government strives to provide efficient services that are accessible, of a high quality, standard and value for human dignity (Eigema, 2007). Kanzi (2010) asserts that a sound records management programme is fundamental to providing high quality services delivered to the public and to provide a basis for managing resources. Atulomah (2011)

noted that sound records management reforms are imperative to eliminate maladministration, and administrative problems and weaknesses that cause inefficiency and ineffectiveness in the institutions.

Research has illustrated how records management affects the delivery of services in government organisations. Using a descriptive research design which involved both qualitative and quantitative research approaches, Oyaró (2013) investigated the impact of records management on the delivery of services at the Department of Immigration of Kenya. Oyaró (2013)'s study revealed that with regards to the effect that the records management had on the quality of the services at the Department, 57.4% of the respondents said the effect was to a great extent while another 16 respondents (25%) said that the effect was to some extent. In addition, Oyaró (2013) also found that the records management enabled quick response in delivery of service to the clients to a great extent. The findings by Oyaró (2013) are relevant to this study as they provide some insights into how records control influence the delivery of services in a government/public institution.

Oyaró (2013) further observed that on the effect that the records management had on various elements of the services at the Department, majority (68.8%) of the respondents said records management improved accessibility of the records, 42.2% said that records management had affected the application of Information and Communication Technology to a great extent, while on the effect on accountability, the majority stated it had been affected to a great extent.

Research continues to reveal how record control influences the delivery of services in public organisations. A study by Makgahlela (2020) examined the link between contributions of effective records management in enhancing the provision of public service delivery in local government of South Africa. His findings revealed that there was a positive correlation between records management and effective service delivery (Makgahlela, 2020). Makgahlela (2020) concluded that the future well-being and quality of basic service delivery depend on the ability of the local government to utilise records management strategic planning processes.

Similarly, Kemoni and Ngulube (2008) observed that records management was essential to public sector management and enhanced service delivery in Kenyan public organisations. They concluded that records management was necessary to for resource allocation, decision-making and economic development (Kemoni & Ngulube, 2008).

Makhura (2005), in his study, stressed the contribution of records management towards an organisation's operational efficiency and competitiveness. He asserted that proper records management improves the performance of an organisation and ensures efficiency in provision of services. Makgahlela (2020) emphasised that records management must be recognised as one of the cornerstone strategic tools, and contributes towards the realisation of effective service delivery in the local governments.

2.5 Challenges faced by local governments in managing records

Research has shown that government institutions face various challenges with regard to the management of records (Abuki, 2014)

Research has shown that in the developed countries, local governments also face challenges in the management of records. Evidence from the Western Australian Auditor General's Report (2019) revealed that though some local governments in that country seemed to have records management policies in place, they were inadequate and often had not been reviewed, updated and approved to reflect current management expectations for recordkeeping. This demonstrated that local governments even in the developed regions are not using key tools effectively to support the implementation of records management practices.

African countries are among countries with several record management challenges. Local government institutions in this part of the world face several challenges with regard to the capturing, preservation and management of their records. Coetzer (2012) opines that records management programmes in Africa were plagued with several challenges and problems. According to Coetzer (2012) this is due to the inability of registries and national archival institutions to perform their roles effectively. The common challenges include among them lack of records management plan; inadequate knowledge about the importance of records management for organisational efficiency; no legislation, no policies and procedures, lack of central ability to manage records, understaffing of records management units; poor records security and access control; no budget for records management; no records retention and disposal policy and no records movement control techniques.

In their study on Assessment of Records Management Practice in Selected Local Government Councils in Ogun State, Nigeria, Bakare et al (2016) revealed a number of barriers confronting effective management of records in the studied local government councils. These problems ranged

from lack of equipment and materials, inadequate finance, and poor maintenance culture, to inadequate storage facilities. Other problems included erratic power supply, lack of management planning, and lack of skilled personnel (Bakare et al., 2016). These findings are supported by Popoola (2000) who also noted that lack of equipment and materials, inadequate funds, insufficient storage facilities and absence of skilled manpower to manage records as some of the problems obstructing effective records management in organizations.

Abuki (2014) investigated the records management practices in Kisii county government in Kenya and found that county government departments experienced challenges in the provision of access to information. According to Abuki (2014), the most cited challenges included poor working conditions, lack of adequate facilities and equipment and retaining of files presented to action officers. The least challenge experienced is that of mix up of records whether current, semi-current or non-current due to lack of a records centre for semi-current records and an archive for permanent preservation of inactive records of enduring value (Abuki, 2014). Abuki (2014) also found that lack of automated records management program, inadequate funding and lack of enough trained personnel were some of the challenges facing Kisii county government in Kenya. Other challenges that were identified included, lack of clear records management policy, standards, guidelines and procedures to guide the management of both paper and electronic records, low priority being awarded to records management, lack of equipment, supplies and facilities in registries and low salary paid to registry personnel in their order (Abuki, 2014).

A Study by Chirwa (2015) on the knowledge levels and practices of the records management staff in the Ministry of Education in Zambia revealed a number of challenges faced by record management staff in ensuring an effective record management system. Research findings revealed record management staff at the Ministry of Education has low motivation to execute their duties. They also faced a challenge of lack of supplies, poor and inadequate funding, insufficient storage space, lack of shelving and filing equipment, and difficulties in locating and retrieving documents. This study highlights record management challenges in the public sector that could be applicable to local government institutions.

Shiyanda & Chitondo (2022) carried out a study on the challenges of hybrid record management through the life-cycle of record keeping in Livingstone district of Zambia. The study established that clerical staff had inadequate training on how to integrate computers in the record management

process. In addition, it was also found that there was an absence of records management policies and procedures which compromised record management . This was compounded by the absence of a regulatory framework to provide guidance on record management practices and regulations. The other challenge identified were the lack of support infrastructure for record keeping. These included storage space, computers, and internet connectivity. Shiyanda & Chitondo (2022) provide valuable insight on what challenges institutions face with the integration of ERMs. These encompass inadequate capacity in terms of human capital , resources, and infrastructure.

Bwalya & Akakandelwa (2023) also carried an assessment of government efforts towards the implementation of integrated electronic management system (IERMS) in the Zambian public service. Bwalya & Akakandelwa (2023) found that IERMS has not been implemented in the public service. However, the government has made progress by providing a legal framework and server ICT infrastructure to support e-records management in the public service. The study also highlights that the main challenges faced by the public service in management of records includes lack of an adoption strategy for IERMS and engagement of end users in the development of IERMS. In addition, there was a lack of knowledge on the standards, and legal framework governing records management. Furthermore, there was inadequate funding to acquire ICT equipment required to transition from a paper based system to a digital record management system. This was compounded by the lack of ICT skills amongst registry staff to effectively execute digital records management systems.

2.6 Summary

This chapter reviewed studies carried out in China, Kenya, sub-Saharan Africa, Nigeria, India, Uganda, Malaysia, Virginia, Latin America, South Africa, Korea, Ghana, and Zambia. Reviewed literature showed a number of systems and processes that organizations put in place to manage records. It was found that in most developing countries, the systems put in place to capture and create records was manual and adhered to a manual procedure and file plan (Kanzi,2010) (Alegbeleye and Chilaka 2019). However, most developed nations like China had a bias towards electronic record management (Wang et al 2018). With regards to classification, the most prominent system was found to be alphanumeric (Makgahlela L. A., 2021) (Mulindwa 2015) (Patel and Desai 2020). In addition, records were stored in shelves in most developing countries like Botswana (Kalusopa and Ngulube (2012). Developed countries usually resorted to the use of

cloud-based storage solutions for records due to scalability and cost-effectiveness Garcia and Hernandez (2019). Records were preserved and protected from disaster through implementation of disaster management plan, and fire detection systems Makgahlela (2021). In terms of security, the measures put in place include biometric authentication methods (Lee and Kim (2020), and Closed Circuit Television (CCTVs), alarm systems (Alegbeleye & Chilaka, 2019).

Secondly, literature on knowledge levels amongst record managers in developing countries like Zambia and Ghana demonstrated basic knowledge on records management practices and concepts. Furthermore, even when registries were adequately staffed, most of the employees had no records management qualifications (Chirwa 2015) (Amankwah and Syllias 2019). With regard to the extent to which records influence service delivery, it was found that records management had a significant impact on service delivery (Oyaro (2013) (Makhura (2005). Finally, literature revealed that public institutions, local governments inclusive face a number of challenges in the management of records. These include lack of supplies, poor and inadequate funding, lack of records management policies and procedures amongst registry staff, poor ICT skills amongst registry staff, lack of training, insufficient storage space, lack of shelving and filing equipment, and difficulties in locating and retrieving documents (Shiyanda & Chitondo 2022) (Bwalya & Akakandelwa 2023)

Despite the valuable lessons provided by the literature reviewed, a number of gaps were identified. The main weaknesses identified in the study was that some studies relied on secondary data to draw conclusions. In addition, there is an absence of information of local literature on record management systems and processes, and levels of knowledge of record management practices amongst registry officers in local councils. Furthermore, there arent any studies that explicitly show how the state of records management in local authorities affects the quality of services provided to members of the public. In response to this gap, this study collected primary data and information from local authorities on record management systems and processes, and levels of knowledge on record management practices and how they impact service delivery.

CHAPTER 3: METHODOLOGY

3.0 Overview

This chapter outlines the methodology used which include the research design, target population, sample size and sampling approach, data collection methods, data analysis, data validity, and ethical considerations. Methodology is defined as a systematic process of collecting data for the purpose of meeting study objectives and providing answers to research questions which are raised by the researcher (Benard, 2012).

3.1 Research design

Selltiz (1962) define a research design as ‘the arrangement of conditions for collection and analysis of data in a manner that aims to combine relevance to the research purpose with economy in procedure.’ The research design simply serves as the conceptual framework guiding the collection, measurement and analysis of data (Kothari, 2004). The choice of research design is crucial, and it depends on the purpose statement of the study.

In line with the study’s objectives, the researcher adopted the case study design to provide an in-depth and detailed investigation of the records management systems and processes. Hancock (2002) explains that case study design facilitates in-depth analysis of the study case and offers a rich and depth of information on a case. The case study was found to be appropriate in this study because the researcher was focusing on a single institution which is Lusaka City Council as a case to get an in-depth and detailed understanding of the records management practices and service delivery. Case studies are widely used for their ability to offer insights that might not be achieved with other strategies (Rowley, 2002), making it the most suitable research design for this project. In addition, the Case study was a descriptive in a nature. According to Bernard (2012) a descriptive case study aims to accurately and systematically describe a population situation or phenomenon. A descriptive case study was used because it allowed the researcher to holistic understanding of the state of records management at Lusaka City Council as it allowed for the collection of qualitative and quantitative information. In addition, it was also used because it allowed the researcher to collect data from the respondents in their natural habitat which translates into the collection of high-quality data (Brink, Van der Walt, & Van Rensburg, 2012)

Furthermore, this study used a mixed methods approach because it allowed the researcher to use both qualitative and quantitative method to collect data. Therefore, statistical information obtained

using quantitative methods was complimented by qualitative methods to provide in-depth explanations. Quantitative data may be obtained on records management systems and processes, levels of knowledge amongst local council employees on records management and the extent to which records management affects service delivery. Qualitative data was obtained on the challenges faced by local council employees with regards to maintaining an effective records management system.

3.2 Target population

The population for this study comprised all council workers working at Lusaka City Council Civic Centre in different registry departments. The targeted population size was 90 comprising records officers, senior registry clerks, registry clerks, administrative officers and individuals who perform record keeping function in the various departments under investigation at LCC. All these targeted participants provided adequate information in line with the research objectives. The LCC structure is made up of 8 departments namely; Department of Human Resource and Administration, Department of Legal Services, Department of Engineering Services, Department of City Planning, Department of Public Health, Department of Housing and Social Services, Department of Finance, and Department of Valuation and Real Estate Management). As per the Lusaka District Situational Analysis Report (2005) the head count at Lusaka City Council stands at 2,858 employees.

According to Lusaka City Council (2023) the following are the functions of LCC departments:

- Department of Human Resource and Administration is concerned with managing the wellbeing of human resource and ensuring that employees have the necessary tools to effectively execute their duties.
- The Department of Legal Services provides guidance to the council of legal issues and ensures compliance to the provision of laws that govern the existence and function of the local authority.
- The Department of Finance is concerned with managing the revenue and expenditure of LCC and ensuring that it functions with the prescribed budget(s).
- The Department of Engineering Services provides engineering services to Lusaka city residents and these include building maintenance and construction, design, architectural and landscaping, and quantity surveying.

- The Department of Public Health ensures adherence to public health standards in the city and provides health related services like cleaning, solid waste disposal, and pest and animal control.
- The Department of Housing and Social Services is responsible for managing and upgrading unplanned settlements and housing services. In addition, it also provides social services (libraries, skills development, and recreation activities) and coordinates social protection programs.
- The Department of Valuation and Real Estate Management is responsible for evaluating Lusaka city infrastructure through periodic valuation rolls.
- The Department of City Planning is responsible for Lusaka city spatial planning and development control.

3.3 Sample size and sampling procedure

3.3.1 Sample size

The sample or size of a population refers to the number of items to be selected from the universe to constitute a sample (Kothari, 2004). The size of the sample should neither be excessively large, nor too small. It should be optimum. An optimum sample fulfils the requirements of efficiency, representativeness, reliability, and flexibility. Kothari (2004) advises that when deciding the size of the sample, the researcher must take into account costs (budgetary constraint) to dictate the size of the sample that can be drawn.

The sample size was estimated using the Cochran (1963) formula. The Cochran formula is a statistical method used to determine the sample size in a research study. In this case, the researcher utilized the Cochran formula to estimate the sample size for their study. The formula is as follows:

$$n_0 = \frac{Z^2 pq}{e^2}$$

Where;

- n_0 is the sample size
- e is the desired margin error
- p is the (assumed/estimated) proportion of the employees' population.
- z is the standard normal deviate
- q is $1-p$

The Cochran formula was used due to its ability to provide a sample size that reflects the attributes of the main population. The utilisation of a sample helped the researcher cut down on the time of study and resources utilised. Based on a sampling obtained from the council, Cochran's formula was computed on a population size of 90.

The researcher aimed for a 95% confidence interval (corresponding to $Z=1.96$) and a 5% margin of error. Therefore:

$$\frac{(1.96)^2 \times 50\% \times (1-50\%)}{(0.5)(0.5)} = 73$$

After calculating these values into the Cochran formula, the researcher obtained an estimated sample size of 73 comprising junior and senior employees. However, due to practical constraints such as time and the refusal of some council employees to participate, the researcher only distributed 50 questionnaires and out of those, only 33 participants responded.

3.3.2 Sampling procedure

The type of sampling adopted for this study was purposive sampling. According to Gibbs (2007) purposive sampling entails that the researcher makes specific choices about which people or group of objects to include in the sample. Given the nature of the study, where it was focusing on a specific organization (Lusaka City Council), selecting participants purposefully allowed the researcher to gather insights from the individuals directly involved in records management within the council. Therefore, purposive sampling was used to select both respondents and key informants.

The Lusaka City Council has 8 departments namely Department of Human Resource and Administration, Department of Legal Services, Department of Engineering Services, Department of City Planning, Department of Public Health, Department of Housing and Social Services, Department of Finance, and Department of Valuation and Real Estate Management. The eight departments of the council were used to select the people for inclusion in the study with the assistance of the Senior Registry Officer. These sampled were used to form part of the population.

Key departments involved in records management within the Lusaka City Council were identified. These included the Department of Human Resource and Administration, Finance and City Planning. Within each department, the researcher purposefully selected participants directly

involved in or have knowledge of records management. This included registry clerks, clerical officers, administrative officers, senior registry clerk, record officer and human resource officer. Similarly, key informants that were interviewed were also selected using purposive sampling.

Purposive sampling was the chosen approach for participant selection in this research study, evaluating the state of records management in Lusaka City Council for several compelling reasons. The primary objective of the study was to gain a comprehensive understanding of records management systems and processes within the specific context of the local government institution. Purposive sampling aligned seamlessly with this goal as it enabled the selection of participants based on their direct involvement in or knowledge of records management, ensuring that the gathered information was highly relevant to the research objectives. Given the specialized nature of records management, targeting individuals such as registry clerks, senior heads, and staff responsible for maintaining records was essential to capture the expertise and experience necessary for an in-depth analysis. This sampling strategy was particularly efficient for this case study design as it allowed for a focused investigation within the confines of practical constraints, such as time limitations and potential participant refusals. By opting for purposive sampling, the research ensured that the selected participants possessed contextual specificity, contributing directly to the validity and applicability of the study's findings to the unique setting of Lusaka City Council.

In summary, purposive sampling is well-justified for this research study as it aligned with the nature of the research design, addressed the practical constraints, and allowed the researcher to gather information directly relevant to the research objectives within the specific context of Lusaka City Council.

3.4 Data collection methods and procedures

3.4.1 Data collection instruments

For this study, data was collected using a mixed approach of qualitative and quantitative methods. The semi-structured questionnaire (see Appendix A: Questionnaire for council workers) was used to collect quantitative data and qualitative data on the record management systems at LCC, record management knowledge levels amongst registry staff, the impact of records management on service delivery, and the challenges encountered by LCC personnel in managing records. In addition, qualitative data was collected using an interview guide (see Appendix B: Interview guide). Qualitative data was collected on record management systems, knowledge levels amongst

registry personnel, the contribution of record management to service delivery and the challenges faced in managing records at LCC. The purpose of selecting the two data collection instruments was, as stated by Atkinson and Coffey (2004:420) “to increase the validity of the research”.

Questionnaires: Wimmer and Dominick (2006:130) opined that a questionnaire is a printed document containing instructions, questions and statements that are compiled to obtain answers from respondents while Cohen and Morrison (2007) contended that a questionnaire is a data collection instrument most often used with a large group where the researcher waits while the respondents complete the questionnaire. The study used Semi-structured questionnaires with both closed and open-ended questions. The questionnaire comprised questions written in English. Closed-ended questions allowed respondents to have several alternative replies such as ‘YES’ or ‘NO’, while open-ended questions allowed respondents to express in their own words. According to Kemoni (2008), the advantages of using questionnaires in research include allowing a wider range and distribution of samples, providing an opportunity for respondents to give frank answers and allowing greater economy of effort. However, Babbie (20013) points out that the weaknesses of a questionnaire in research include a possible low response rate as people may take their time to return the questionnaires and secondly, a lack of control over the nature of responses, resulting in bias, inaccuracies or incompleteness. The study tried to overcome these weaknesses by using more than one data collection instrument.

Interviews: Benard (2012) highlights the importance of interviews in that they allow the researcher to in depth responses from respondents and clarification can be provided in the event the question (s) are not understood. Gill et al. (2003) stated that there are three fundamental types of research interviews, namely, structured, semi-structured and unstructured interviews. The authors asserted that structured interviews are, essentially, verbally administered questionnaires, in which a list of predetermined questions are asked, with little or no variation and with no scope for follow-up questions to responses that warrant further elaboration. Unstructured interviews, however, do not reflect any preconceived theories or ideas and are performed with little or no organisation. According to Gill et al. (2008:291), “semi-structured interviews consist of several key questions that help to define the areas to be explored, but also allow the interviewer or interviewee to diverge in order to pursue an idea or a response in more

detail”. The interviews were held one to one and face to face to enable the researcher gain more insight and understanding of how records are managed at Lusaka City Council and their impact on service delivery. Interview sessions were recorded using a phone recorder because it allowed the researcher to easily store sessions for review.

3.4.2 Data collection procedures

To collect primary data, the researcher travelled to the field site. The collection of qualitative data and quantitative data happened concurrently (at the same time). That is, interviews were conducted side-by-side with the questionnaire. Interviews were conducted with record clerks during the same period when quantitative data was collected from records officers. Since this is concurrent mixed-method research, therefore data was collected using a concurrent triangulation strategy where data from the interviews was collected parallel to the questionnaire. The reason behind using this method was to strengthen the study findings and explain the lack of convergence of the results. This procedure was supported by Creswell (2008) who claims that the concurrent triangulation strategy produces validated and substantiated results.

To collect quantitative data, the researcher administered the questionnaire by hand. That is, the researcher physically distributed the questionnaire to the study participants. According to Babbie (2013), there are three main methods of administering questionnaires to a sample of respondents. These are, self-administered questionnaires, in which respondents are asked to complete the questionnaire themselves; surveys administered by interviewers in face-to-face encounters; and surveys conducted by telephone. For this study, self-administered questionnaires were administered. This required the respondents to read and complete the questionnaire themselves. This was appropriate for this study because the researcher strongly believes that this population (council employees) is literate.

For the qualitative data collection procedures, the researcher conversed in person. The interviews were conducted face-to-face and recorded. In addition, notes were taken in a notebook during the interview to supplement the recordings. For each interview with a key informant, an interview guide was used and followed. In some situations, follow-up questions were asked to probe for further information and clarifications, as well as to gain more insights from them the key informants.

3.5 Data analysis

Data analysis is simply the process of creating value from the raw data. The collected data will be analysed using quantitative and qualitative data analysis techniques. For quantitative data, the Statistical Package for the Social Sciences (SPSS) version 25 was used to analyse the data. The collected questionnaires were verified for errors in responses and unanswered questions before entering into the SPSS software. The data collected from the questionnaire was coded and categorized and checked for completeness.

The statistical data analysis methods used included descriptive analysis with frequencies and percentages. The univariate analysis was used to better understand the characteristics of each variable. To aid the interpretation of data, data was summarized and organized in frequency tables and charts including bar charts, pie charts among others. MS-excel was used to create tables and charts for data presentation. Cross tabulation and chi-square statistical test was used to establish any relationship between data categories. A p value of less than 0.05 was considered to be statistically significant.

For the qualitative research approach, data was analysed using thematic analysis. According to Creswell (2009), “qualitative data are too voluminous and effort should be made to reduce the data by identifying a coding procedure that assists in reducing the information given into themes or categories. Gibbs (2007) opined that thematic analysis records or identifies passages of text or images that are linked by a common theme or idea allowing the researcher to index the text into categories and therefore establish a framework of thematic ideas about it. Braun and Clarke (2006) define thematic analysis as “a method for identifying, analysing and reporting patterns within data” (p. 79). Therefore, thematic analysis is used in qualitative research and focuses on examining themes within data and use these themes to address the research questions.

3.6 Reliability and Validity

Reliability and validity are essentially the key attributes of good measurement and the keys to assessing the trustworthiness of any research study, hence the need to ensure reliability and validity in this study.

3.6.1 Reliability and Validity

According to Neuman (2000), reliability and validity are concepts that help to establish the truthfulness, credibility or believability of the findings of the study. This is done by ensuring that

the instrument used to collect data is reliable and valid by eliminating questions that are not reliable and valid. Joppe (2000) defines reliability as the extent to which results are consistent over time and an accurate representation of the population under study can reproduce same results under a similar methodology then the research instruments are considered to be reliable. Whereas validity determines whether the research truly measures that which it was intended to measure or how truthful the research results are.

A data collection instrument is considered reliable when it can produce same results under a similar methodology. For example, consistency of the questionnaire will produce the same results when employed under the same conditions. Therefore, in this study, reliability was ensured through the use of standardized instruments such as questionnaires and interview guides. This helped in maintaining uniformity in the questions asked across different participants, reducing the likelihood of variation in responses. In addition, the researcher pre-tested the data collection tools through a pilot test with key registry personnel at LCC. These include registry clerks, human resource officer, records officer and administrative clerk. The pilot test assisted the researcher in determining if there are flaws, limitations, or other weaknesses within the data collection instruments. This enabled the researcher to make necessary revisions before the implementation of the full study. The pilot test also assisted the researcher with the refinement of research questions. This was done to ensure the stability of the questionnaire.

Furthermore, to establish the degree of internal consistency of the questionnaire, the researcher used the application of a coefficient alpha, known as Cronbach's Alpha. Cronbach's alpha test is a measure of internal consistency, that is, how closely related a set of items are as a group. It is also considered to be a measure of scale reliability. The rule of thumb is that a Cronbach's alpha of 0.70 and above is acceptable. A Cronbach's Alpha test was run in SPSS version 25 to check whether the questions in the questionnaire all consistently measured the same latent variable on the Likert item provided. This is important because without reliability, it was going to be difficult to be sure about the validity of the data collected. The questionnaire was considered reliable based on its reliability coefficient, which was 0.86 (Neuman, 2000)

To ensure the validity of the data collection instrument, the researcher requested three senior staff members in the Parliamentary Information and Research Library at the National Assembly of Zambia to review the questionnaire to ensure that the respondents experienced no difficulty

when filling in the important information. Therefore, no corrections or changes were made to the questionnaire and it was considered “ready” for distribution to the registry officials at the Lusaka City Council.

3.7 Ethical considerations

Ethical consideration entails that the research subjects’ rights and rights of others in the research setting are protected. Cohen et al. (2007) state that full attention must be given to the integrity with which a research study is conducted and its impact on people. In this regard, a researcher must at all times ensure that research embarked on, meets the conduct of ethically informed social research which should be completed before the start of data production. In this study, the researcher ensured the quality and integrity of the study by seeking informed consent from participants before interviewing them and administering the questionnaire. Such consent constituted the underlying ethical premises of the research. The researcher explained the purpose of the study to the participants before recruiting them.

The sampled participants had a voluntary option on whether to take part in the research project or not. That is, the researcher ensured that there is voluntary participation. Therefore, participants were not forced to take part in the study. This was in line with Neuman (2000) who advises that a researcher must never force anyone into participating in a study.

In addition, the researcher also sought ethical clearance. This researcher obtained ethical clearance from the Humanities and Social Sciences Research Ethics Committee (HSSREC). Furthermore, participant privacy and confidentiality were adhered to by non-disclosure of participants’ names in the interviews and the questionnaire. The study upheld maximum confidentiality and anonymity. The researcher maintained the right to privacy and assured the respondents that their right to privacy was not going to be violated. In trying to maintain the privacy of respondents, interviews were kept confidential. All the data collected were treated with the utmost confidentiality and the identity of respondents was treated anonymously. The researcher made sure that names were not included in the data collection instrument. Also, analysis and reporting of data was done at the aggregate level and the information collected was treated purely for academic purposes.

3.8 Limitations of the study

The study was faced with the challenge of unwillingness of some of the identified respondents to participate in the study. In addition, some of the study participants took long to fill questionnaires to completion. As a result, the data collection period took longer than anticipated. Furthermore, key informants were not easily accessible as they were mostly out of office at the time the study was being carried out. This was resolved by rescheduling appointments with the key informants. Access to comprehensive and accurate data was also limited. Finally, the researcher faced a lot of delays in the process of obtaining authorisation to carry out the study at LCC due to the multiple levels of authorisation involved.

3.8.1 Delimitations

The study concentrated specifically on Lusaka City Council, limiting its examination to this particular local government entity and not considering other local authorities. In addition, the study prioritised the perspectives of certain stakeholders within Lusaka City Council, such as administrators, records officers, senior registry and registry clerks, while excluding input from other relevant groups, such as citizens.

3.9 Summary

This chapter discussed the methodology adopted for the study and presented justification for the choice of research methods and approaches. The researcher used the case study design that combined both qualitative and quantitative approaches, including semi-structured interviews, to ensure a thorough investigation into records management systems at the Lusaka City Council. The target population comprised council workers from various departments, with purposive sampling aiding in participant selection. The sample size, estimated using the Cochran formula, resulted in 50 distributed questionnaires and 33 responses. Data analysis involved SPSS Statistical Package for quantitative data and thematic analysis for qualitative insights. The chapter further, emphasized reliability and validity through standardized instruments, pre-testing, Cronbach's Alpha assessment (0.86), and senior staff review. Ethical considerations included informed consent, voluntary participation, participant privacy, and confidentiality, with ethical clearance obtained from Humanities and Social Sciences Research Ethics Committee (HSSREC).

CHAPTER FOUR: PRESENTATION OF FINDINGS

4.0 Overview

Semi-structured questionnaires were taken to the council employees at Lusaka city council civic centre. A total of Seventy-Three (73) questionnaires were taken to the sampled workers at Lusaka City Council and only fifty (50) agreed to participate in the study. Out of the questionnaires distributed to the participants, only thirty-three (33) were returned which resulted in a 66% response rate. This chapter presented the findings after the analysis of data collected from the field. The findings were presented in tables, graphs and pie charts generated in Excel. The findings were presented in line with the objectives of the study. Qualitative data was presented in narrative form after thematic analysis.

4.1 Demographic characteristics of respondents

Table 4.1: Background characteristics. Source: Field data, 2023

Variable	Values	Frequency(n)	Percentage (%)
Age	21-30 years	10	30.3%
	31-40 years	17	51.5%
	41-50 years	6	18.2%
Total		33	100%
Education level	Certificate	9	27.3%
	Diploma	15	45.4%
	Bachelor degree	9	27.3%
Total		33	100%
Years of services at the council	0-4 years	18	54.5%
	5-9 years	12	36.4%
	10-14 years	3	9.1%
Total		33	100%
Designation	Middle management	6	18.2 %
	Lower Management	24	72.7%
	Subordinates (front liners)	3	9.1%
Total		33	100

Table 4.1 shows the background characteristics of the respondents in terms of age, level of education, years of experience, and designation. By age group, the findings showed that 51.5 percent of the respondents were in the age group 31- 40 years, 30.3 percent were in 31-30 years and 18.2 percent fell in the age group 41-50 years. In terms of the highest level of education attained, the findings showed that 45.4 percent had Diplomas, 27.3 percent had Bachelors and

Certificates, respectively. In terms of how long they have been working at the Lusaka city council, the findings revealed that 54.5 percent had been working at the council for 0 to 4 years, 36.4 percent for 5-9 years and 9.1% for 10-14years. Employee designation data revealed that 72.7 percent were in the lower management designation, 18.2 percent were in the middle management, whilst 9.1 percent were subordinate. Lower management encompasses departmental heads and first line managers. Subordinates refer to first line employees who report to line managers.

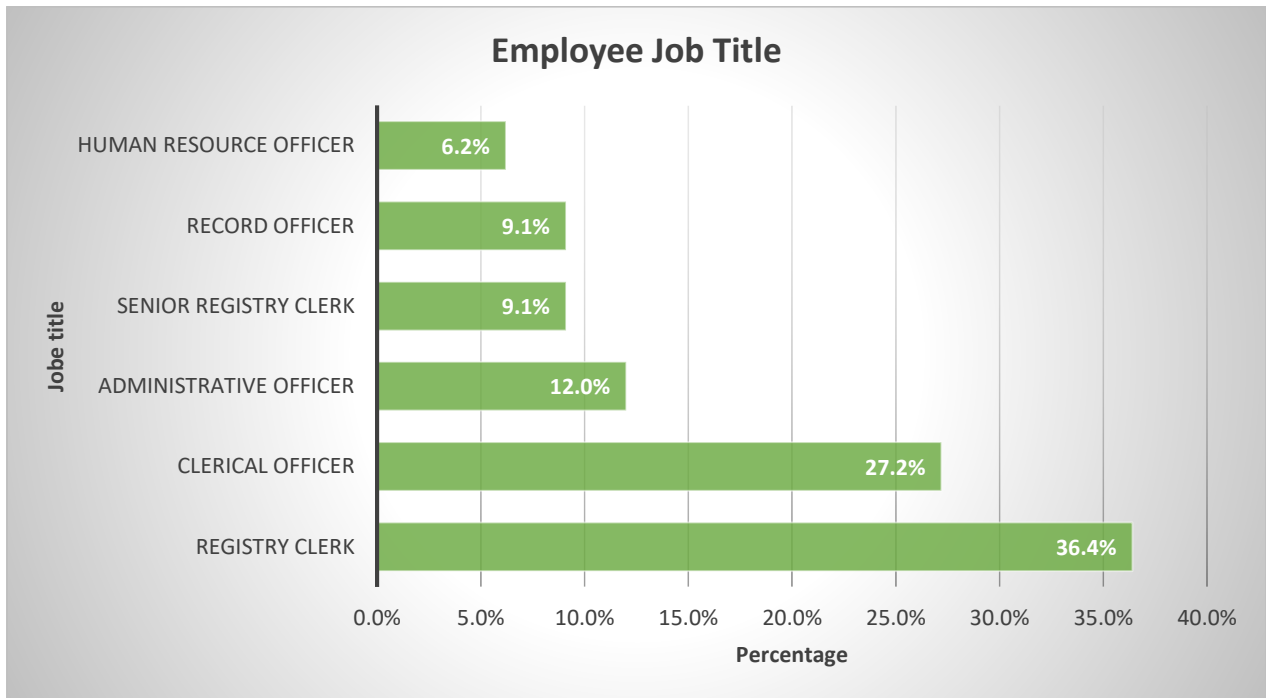


Figure 4.1: job title of respondents. Source: Field data, 2023.

Respondents were asked to reveal their current job titles. It was found out that 35.4 percent were registry clerks while 27.2 percent were Clerical Officers. The rest were Administrative Officers (18.2 percent), Senior Registry clerks (9.1 percent), Record Officers (9.1 percent) and Human Resource Officers (6.2 percent). Fig 4.1 depicts that job titles held by the respondents.

4.2 Systems and processes that have been put in place to manage records

This section of the study presents findings on the systems and processes that have been in place to manage records at the council. These findings relate to the first objective of the study.

4.2.1 Records management policy

Table 4.2: Responses on items related to records management and policy. Source: field data.

Items	Response			
	Yes	No	Not sure	Total
Council has a written records management policy	20 (60.6%)	1 (3%)	12 (36.4%)	33 (100%)
Whether all employees aware of the records management policy	9 (27.3%)	9 (27.3%)	15 (45.4%)	33 (100%)
Policy is reviewed at regular intervals	3 (9.1%)	15 (45.5)	15 (45.5)	33 (100%)
Staff members manage records according to this policy	12 (36.4%)	12 (36.4%)	9 (27.3%)	33 (100%)
Have an electronic management system for capturing and storing records	3 (9.1%)	18 (54.5%)	12 (36.4%)	33 (100%)

As shown in Table 4.2, respondents in the study were asked to indicate whether the council has a written records management policy. It was found that 60.6 percent reported that the council has a written records management policy, three percent indicated no, while 36.4 percent were not sure on this matter. Additionally, respondents were asked if all employees are aware of the records management policy. The findings revealed that 45.4% indicated that they were not sure, while 27.3 percent indicated yes and no, respectively. Furthermore, respondents were asked whether the policy is reviewed regularly. It was found that 45.4% indicated no and sure, respectively and only 9.1 percent indicated yes to this question. In addition, respondents were asked whether staff members manage records according to the policy. The finding showed that 36.4% indicated yes and no, respectively while 27.3 percent were not sure on this matter. Finally, when asked whether the council has an electronic management system for capturing and storing records, the findings revealed that 54.5 percent indicated no while 36.4 percent were not sure on this matter and only 9.1 percent indicated yes.

Similarly, key informant interviews revealed that the council does not have a records management policy but has guidelines.

One participant submitted that: “at Lusaka city council we do have guidelines that guide the creation, maintenance and disposal of created records. These are more anecdotal and not based on an actual document”.

Similarly, another participant added that “we don’t have a records management policy. I have served at this institution for 13 years and I have never seen one. Employees just manage records based on their knowledge. This is when we are trying to come up with a comprehensive records management document”.

The Public Service Records Management Policy (PSRMP) of 2012 provides the government shall design and implement an electronic records management system in public institutions after a review of existing records management practices and procedures.

4.2.2 Cross tabulation of length of service and existence of records management policy

Table 4.3: Cross tab: Length of service by existence of a written records management policy

Length of working at the council	Whether the council has a written records management policy			
	Yes	No	Not sure	Total
0-4 years	12	0	6	18
	66.7%	0.0%	33.3%	100.0%
5-9 years	6	0	6	12
	50.0%	0.0%	50.0%	100.0%
10-14 years	2	1	0	3
	66.7%	33%	0.0%	100.0%
Total	20	0	12	33
	60.6%	3.0%	36.4%	100.0%

Table 4.3 shows a cross-tabulation of length of working at the council by existence of a written records management policy. The findings showed that those who have worked at the council for 10-14 years (100 percent) were more likely to report that the council has a written records management policy than those who have worked for 0-4 years (66.7 percent) and 5-9 years (50 percent). In addition, those who have worked for 5-9 years were more likely to be not sure (50

percent) as to whether the council has a written records management policy. A Chi-square statistic test showed this to be statistically insignificant: $p = 0.06$.

4.2.3 Cross tabulation: job title by adherence to records management policy

Table 4.4 illustrates the cross-tabulation of Job title by whether staff members manage records according to records management policy. The findings showed that more Records Officers (100 percent), Senior Registry Clerk (100 percent) and Registry Clerk (66.7 percent) reported that staff members do not manage records according to records management policy. Additionally, Administrative Officer (100 percent) reported that staff members manage records according to records management policy at Lusaka city council.

Table 4.4: Cross tabulation: job title by adherence to records management policy

Job title	Whether staff members manage records according to policy			
	No	Yes	Not sure	Total
Record Officer	3	0	0	3
	100.0%	0.0%	0.0%	100.0%
Registry Clerk	6	0	3	9
	66.7%	0.0%	33.3%	100.0%
Senior Registry Clerk	3	0	0	3
	100.0%	0.0%	0.0%	100.0%
Administrative Officer	0	6	0	6
	0.0%	100.0%	0.0%	100.0%
Total	57.1%	28.6%	14.3%	100.0%

4.2.4 Cross tabulation of level of education and existence of records management policy

Table 4.5: Cross tab: level of education by existence of a written records management policy

Level of education	Whether the council has a written records management policy			
	Yes	No	Not sure	Total
Certificate	3		6	9
	33.3%	0.0%	66.7%	100.0%
Diploma	11	1	3	15
	73.3%	6.7%	20%	100.0%
Degree	9	0	0	9
	100.0%	0.0%	0.0%	100.0%
Total	23	0	9	33
	69.7%	3.0%	27.3%	100.0%

A cross tabulation was done between level of education and whether the council has a written records management policy. The findings in Table 4.5 show that most of the respondents demonstrated an awareness of the availability of a records management policy regardless of their level of education. This shows that these findings were not closely linked to level of education. A Chi-square statistic test on the relationship between level of education and awareness of the availability of a written records management policy was found to be statistically insignificant: $p = 0.072$

4.2.5 Cross tabulation of designation and existence of records management policy

Table 4.6: Cross tab: level of designation and existence of records management policy

		Whether the council has a written records management policy			
		Yes	No	Not sure	Total
Middle management	Count	6			6
	Percentage	100 %	0.0%		100.0%
Lower Management	Count	14	1	9	24
	Percentage	58.3%	4.2%	37.5%	100.0%
Subordinates (front liners)	Count		0	3	3
	Percentage		0.0%	100.0%	100.0%
Totals		20	1	12	33
		60.6%	3.0%	36.4%	100.0%

A cross tabulation was done between designation and existence of records management policy. Based on the findings shown in Table 4.6 a significant portion of lower management employees (80 percent) and middle management members of staff demonstrated knowledge of the existence of records management policy. In addition, all subordinates (100 percent) and 20 percent of lower management employees were not sure. A Chi-square statistic test showed this to be statistically significant: $p = 0.023$.

4.2.6 Filing and arrangement of records

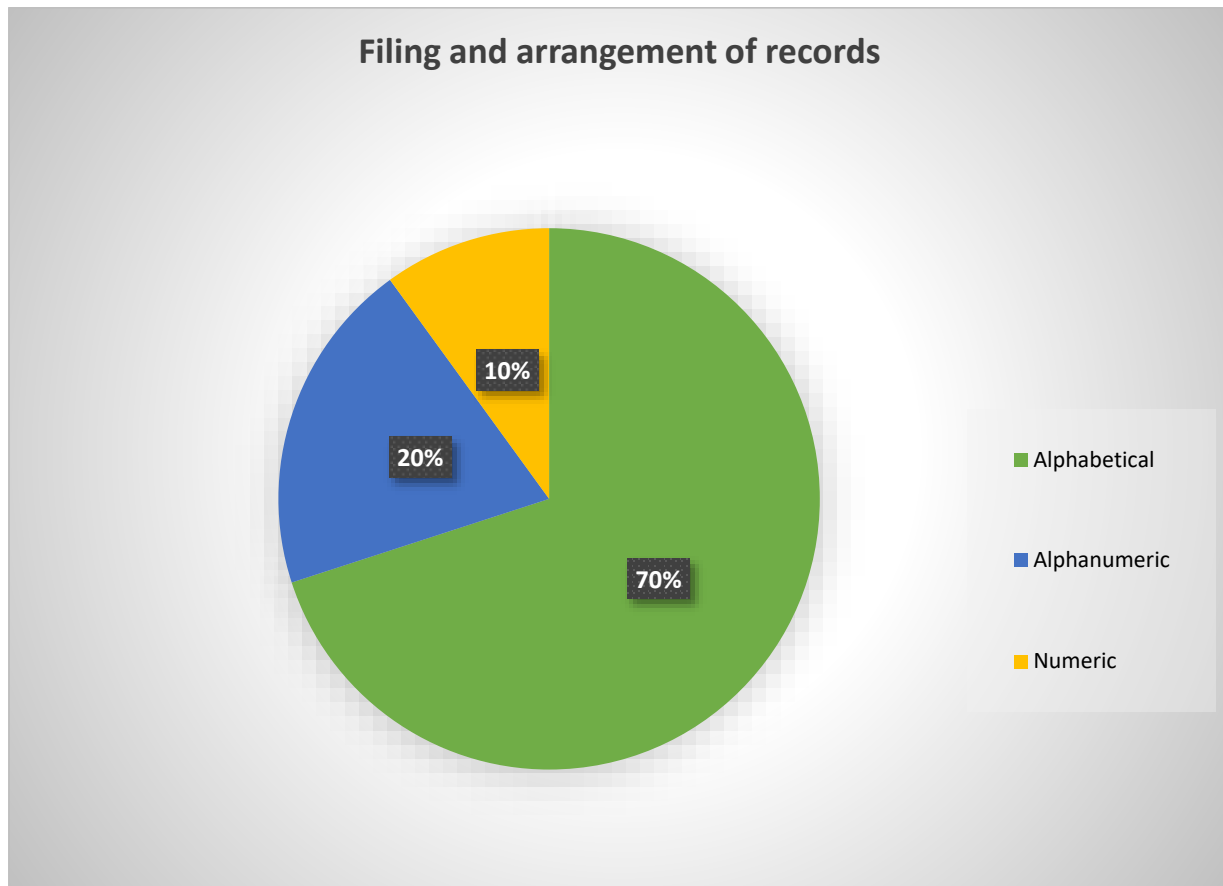


Figure 4.2: Filing and arrangement of records. Source: Field data, 2023.

Respondents were asked to indicate how records are filed and arranged at the council. The findings: 70 percent indicated alphabetical, 20 percent indicated alphanumeric and 10 percent numeric. Fig 4.2 illustrates these findings. Key informant interviews also revealed that the filing criteria used are Alphanumeric.

On participant submitted that: *“we arrange our records in both alphabetical and numeric order depending on what record it is.”*

4.2.7 Frequency of record filing

Respondents were asked to indicate how often records are filed and arranged at the council. The findings as presented in Fig 4.3 depicts that 63.6 percent of the respondents indicated that office records are filled on a daily basis, while 18.2 percent indicated weekly and monthly, respectively.

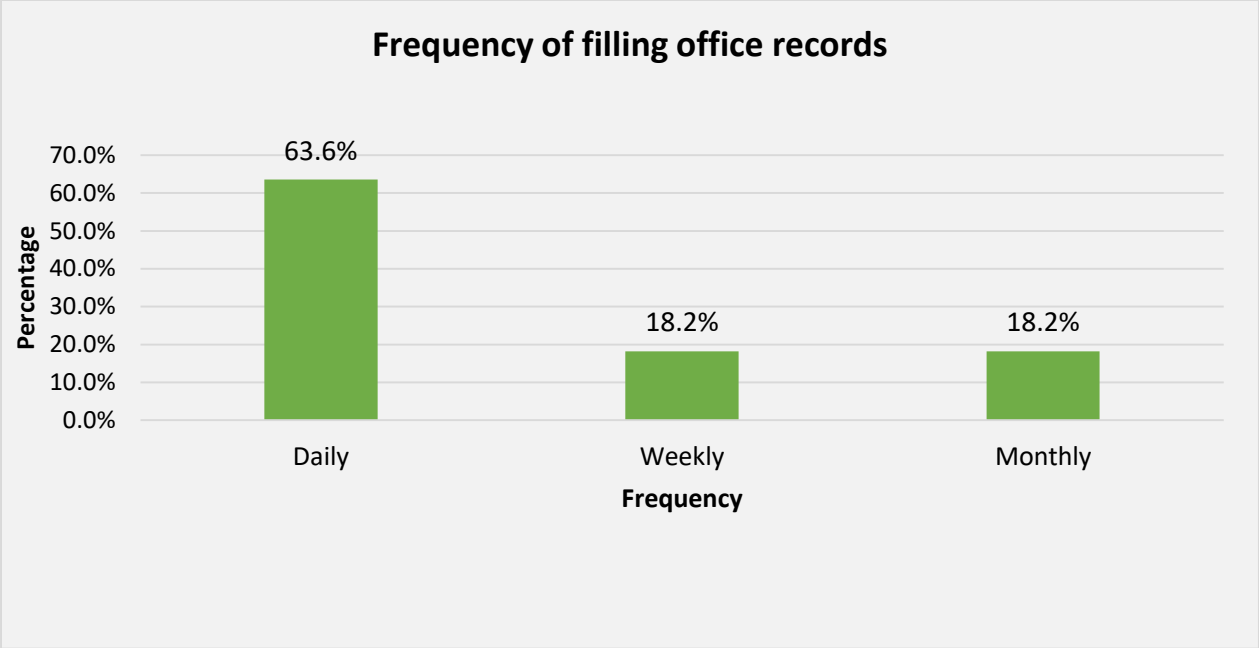


Figure 4.3: Frequency of filling records. Source: Field data, 2023.

4.2.8 Record storage facilities

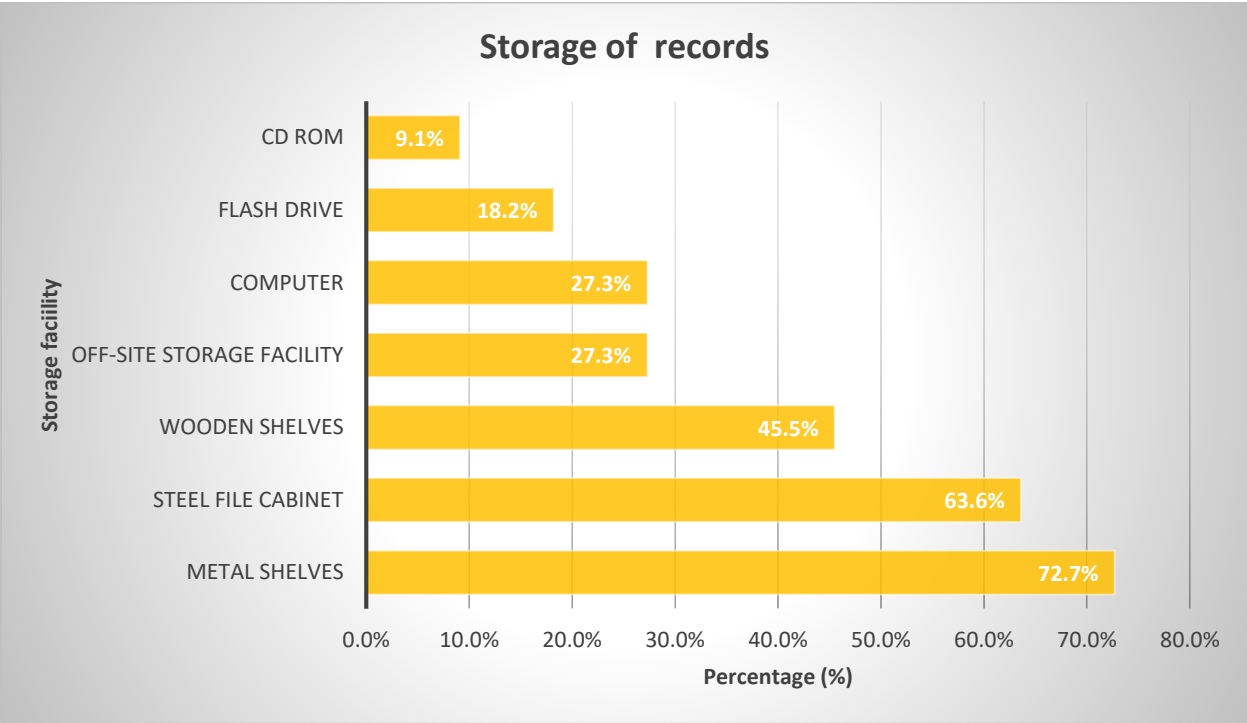


Figure 4.4: Record storage facilities: Source; Field data, 2023

Respondents were asked to indicate where records were stored once created by the local authority. As illustrated in Fig 4.4 72.7 percent of the records were stored on metal shelves, 63.6 percent

were stored on steel file cabinet whilst 45.5 percent were kept on wooden shelves. The least used medium of storing records included off-site storage facility (27.3 percent), computer (27.3 percent), flash drive (18.2) and CD Rom (9.1 percent). These findings are in line with the key informant interviews revealed that created records are stored in shelves, file folders, cabinets, and computers. One respondent submitted that:

““Most of the records that have are kept in the shelves in the registry room. But some of them are kept on computers and flash disks”

4.2.9 Types of records created by Lusaka city council

Respondents were asked to state what kind of records are created by the local authority. The findings showed that 100 percent of the respondents indicated that the council create paper-based records. Key informant interviews on the other hand revealed that in addition to paper based records, the council also creates records by preparing spreadsheets, emails, video tapes, and CD-ROMs. One respondent submitted that:

“In addition to the paper based records to make up most of our records, we also have soft copy documents that are entered into the computer based on the hard copy files. However, it is not all documents are converted into digital format”

4.2.10 Record availability

The study also endeavoured to find out how readily available records were at Lusaka city council. When asked whether records are readily available when required, 68 percent of the respondents agreed whilst the remaining 32 percent said no.

4.2.11 Time taken to retrieve records

Further analysis was conducted to ascertain the time taken to retrieve records at the council. Respondents were asked to indicate the time taken to retrieve records at the council. The findings showed that 54.5 percent of the respondents indicated that it takes about 5-10 minutes to retrieve a record, while 27.3 percent indicated that it takes 1-5 minutes to retrieve the records and 18.2 percent reported that it takes 20 minutes-1 hour just for them to retrieve a record that is needed for various usage. In line with these findings, the PSRMP of 2012 pledged to develop and implement an effective tracking system in records management in order to foster effective and timely retrieval of information in public institutions.

4.2.12 Cross tab: time taken to retrieve records and years of service

Table 4.7: Cross tabulation: time taken to retrieve records and years of service

	Years of service			
Time taken	0-4 years	5-9 years	10-14 years	Total
1-5 minutes	4	5		9
	44.4 %	63.6%		100.0%
5-10 minutes	11	7		18
	61.1%	38.9 %		100.0%
20-60 minutes	3	0	3	6
	50%	0.0%	50%	100.0%
Total	18	12	3	33
	54.5%	36.4%	9.1%	100.0%

A cross tabulation was done between time taken to retrieve records and years of service at LCC. Table 4.7 shows that the time taken to retrieve documents was not influenced by the number of years served at LCC. A chi-square test of the relationship between these variables was found to be insignificant because the P value was above the accepted limit, that is, 0.062.

4.2.13 Cross tab: time taken to retrieve records and education level

Table 4.8: Cross tabulation: time taken to retrieve records and level of education

	Level of education			
Time taken	Certificate	Diploma	Degree	Total
1-5 minutes	5	3	1	9
	55.5 %	44.5 %		100.0%
5-10 minutes	4	9	5	18
	22.2%	50%	27.8	100.0%
20-60 minutes		3	3	6
		50%	50%	100.0%
Total	9	15	9	33
	27.2 %	45.5 %	27.3%	100.0%

A cross tabulation was also done between the time taken to retrieve documents at LCC and level of education. As shown in Table 4.8 below shows that the time taken to retrieve records was not influenced by the level of educational qualification of the respondents. Respondents with the

highest qualifications (degree) were represented in all the outlined time categories, that is, 1-5 minutes, 5-10 minutes, and 20-60 minutes. A chi-square test of this relationship was found to be insignificant because the P value was above the accepted limit, that is, 0.057.

4.2.14 Record retrieval tools

Respondents were asked to indicate the tools used to retrieve records. The findings showed 54.5 percent indicated Register while 45.5 percent indicated Simple List, 27.3 percent Index and 18.2 percent Calendar. Fig 4.5 below shows a graphical representation of tools used to retrieve records at the council.

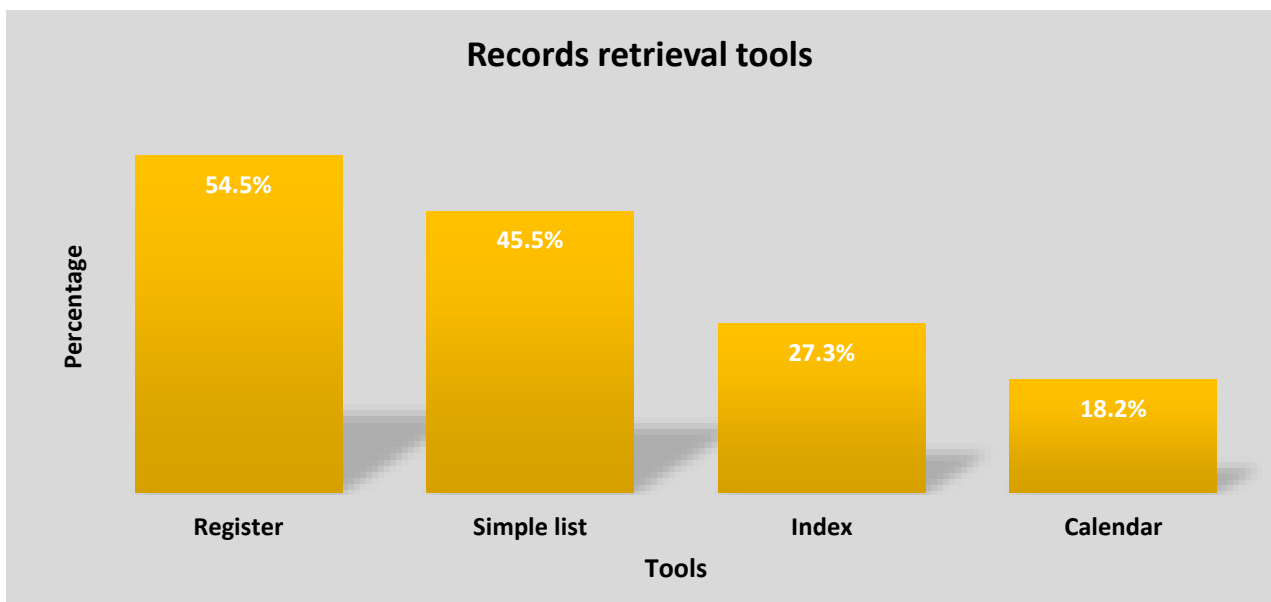


Figure 4.5: record retrieval tools. Source: Field data, 2023.

4.2.15 Delivery method for records distribution

Respondents in this study were also asked to indicate the method of delivery used to distribute records to users. The findings showed that email, fax or mail and hand-to-hand are mostly used (54.5 percent). Others reported hand-to-hand only (45.5 percent). The respondents were further asked about the methods used to request for files. It was found out that the methods mostly used to request for files was personal visit by action officers (63.6 percent). Some reported that it was via telephone call and personal visit by action officers (36.4 percent).

4.2.16 Record preservation and disaster management

In this study, respondents were asked whether there is artificial climatic control equipment installed in the storage areas, the findings showed that all (100 percent) the respondents reported that there is no artificial climatic control equipment installed in the storage areas.

In addition, all (100 percent) the respondents indicated that there is no fire detection and suppression system at the council. Furthermore, 54.5 percent reported that there is no disaster management plan, while 36.4 percent were not sure on this matter and only 9.1 percent indicate that there is a disaster management plan. Similarly, key informant's interviews also revealed that the council does not have a disaster management plan that could be enforced to in the event of an unfortunate event like a fire, or a flood amongst others. One interview participant submitted that:

“Unfortunately, I am not aware of any disaster management program that safe guards the records we keep at the council in case a disaster occurs”

With regards to the preservation of records, it was found that the PSRMP of 2012 aimed to provide secure environment and storage facilities for protection of records form hazards that they may compromise their integrity.

Respondents were further asked whether they have experienced pest infestations, it was found out that 90.9 percent indicated that they have experienced pest infestations in the record storage area, while 9.1 percent were not sure on this matter. Furthermore, the study also sought to find out on the prevalence of pest infestations and what interventions local authorities have put in place. With regards to pest infestations, 47 percent indicated Book lice, 32 percent indicated cockroaches whilst 21 percent indicated termites. When asked to state pest control methods employed at Lusaka city council, the study found that 46 percent selected debris removal, 62 percent selected the use of fumigation, and 52 percent selected the use of insect repellent chemicals.

4.2.17 Record security systems

Respondents in this study were also asked to indicate the records storage security systems that the council uses. For this question, respondents were provided with several options from which they selected more than one item that applied. The study findings revealed that 70 percent indicated

locked cabinets, 30 percent managerial clearance, ten percent personal coding, ten percent password, and ten percent backup to external hard drive. Fig 4.6 illustrates these findings.

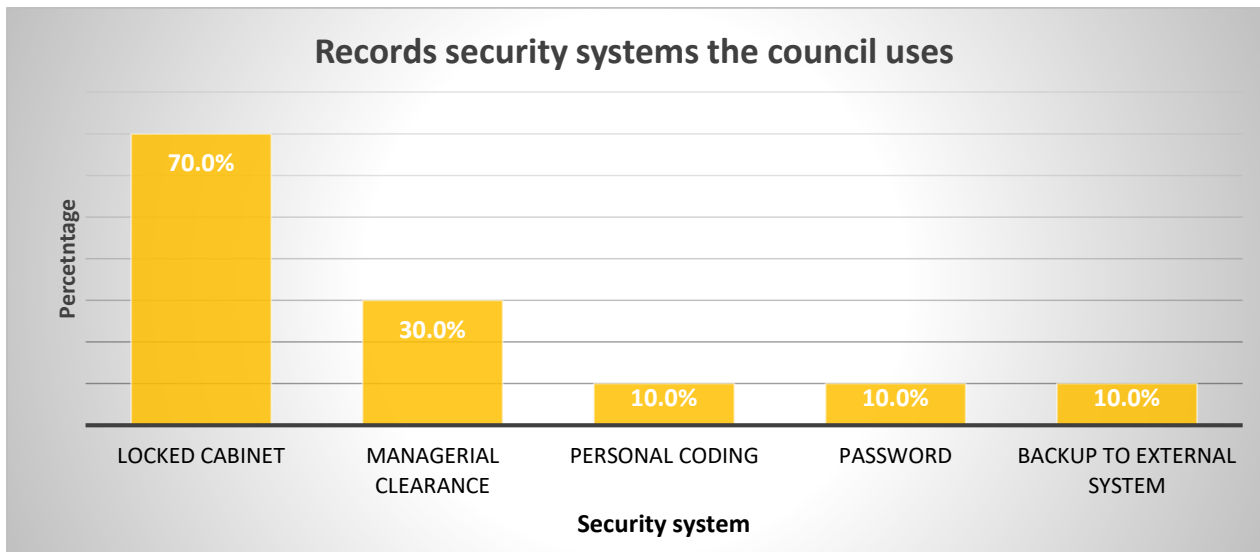


Figure 4.6: Record security systems. Source: field data, 2023.

4.2.18 Access to records

When asked about personnel with access to records, the findings revealed that 82 percent indicated that it is the registry officials who have access to the records in the storage areas. In addition, 18 percent indicated that is the authorized personnel who have access to the records in the storage areas. Respondents were further asked to indicate how access to records storage is controlled at the council. It was found out that 63.6 percent indicated that access is only granted to registry staff. The rest indicated that only selected staff are granted access (27.3 percent) and doors are always closed (9.1 percent).

4.2.19 Records disposal

In this study, respondents were asked to indicate whether the council has a records disposal policy. The findings revealed that 36.4 percent indicated yes and not sure, respectively and 27.2 percent indicated no. The respondents were further asked whether the disposal programme informed by a retention and disposal policy. It was found that 36.4 percent indicated no and not sure, respectively whilst 27.2 percent indicated yes. Furthermore, respondents were asked whether the developed policies and procedures are followed in safely transferring records from active to inactive. The findings revealed that 72.7 percent indicated no, while 27.3 percent were not sure on this matter.

Additionally, respondents were further asked whether the retention and disposal schedule is a useful tool in the management of records. It was found that 54.5 percent indicated no, 27.3 percent yes and 18.2 percent not sure.

Key informant interviews revealed that the registry supervisor through the Town clerks’ office decides which records created should be kept or discarded. Records that are presumed to be important are sent to the finance Department for storage. The finance department serves as a registry for archiving records that are considered to be of value. However, there are no guidelines provided on how long the archived documents should be kept.

A review of the PSRMP of 2012 revealed that the policy provided for the development of a system that ensured that there is a quick disposal of records that are no longer required for the conduct of current business.

4.3 Level of knowledge about records management among staff in the registry departments

The study sought to establish the levels of knowledge in terms of qualifications that employees engaged in the management of records have at Lusaka city council.

4.3.1 Formal qualification in records management and in-house training

Table 4.9: Record management formal qualification and training. Source: field data, 2023.

Items	Response		
	Yes	No	Total
Have any formal qualification in records management	18 (54.5%)	15 (45.5%)	33 (100%)
Received in-house training in records management	9 (27.3%)	24 (72.7%)	33 (100%)

In this study, respondents were asked whether they have any formal qualification in records management. It was found out that 54.5 percent of the respondents had some sort of formal qualification in records management, while 45.5 percent indicated no, implying that they did not have. In addition, respondents were also asked whether they have received in-house training in records management. The findings revealed that 72.7 percent indicated no, while only 27.3 percent indicated yes. Table 4.9 presents the findings on formal qualifications in records management and in-house training.

A review of the PSRMP of 2012 shows that the findings above do not conform the provision of the policy which pledged to

“(b)provide an appropriate competency framework, to identify the knowledge, skills and corporate competencies required for records and information management. (C) Develop and implement training programmes to build adequate capacity for effective and efficient records management”

4.3.2 Frequency of records management training

The respondents were further asked to indicate the frequency of attending training in records management. The results revealed that 54.5 percent reported that they never attended any records management training. The remaining 36.4 percent indicated that they only attended once a year whilst 9.1 percent indicated very rarely. Fig 4.7 illustrates these findings.

Key informant interviews revealed that registry staff are only trained at induction. That is registry employees are taught the responsibilities and processes of records management as per council policy. One respondent stated that:

“Honestly, I am not aware of any training programmes for registry personnel. We are usually trained at the time when just join the civil service and learn most of the things as we go”

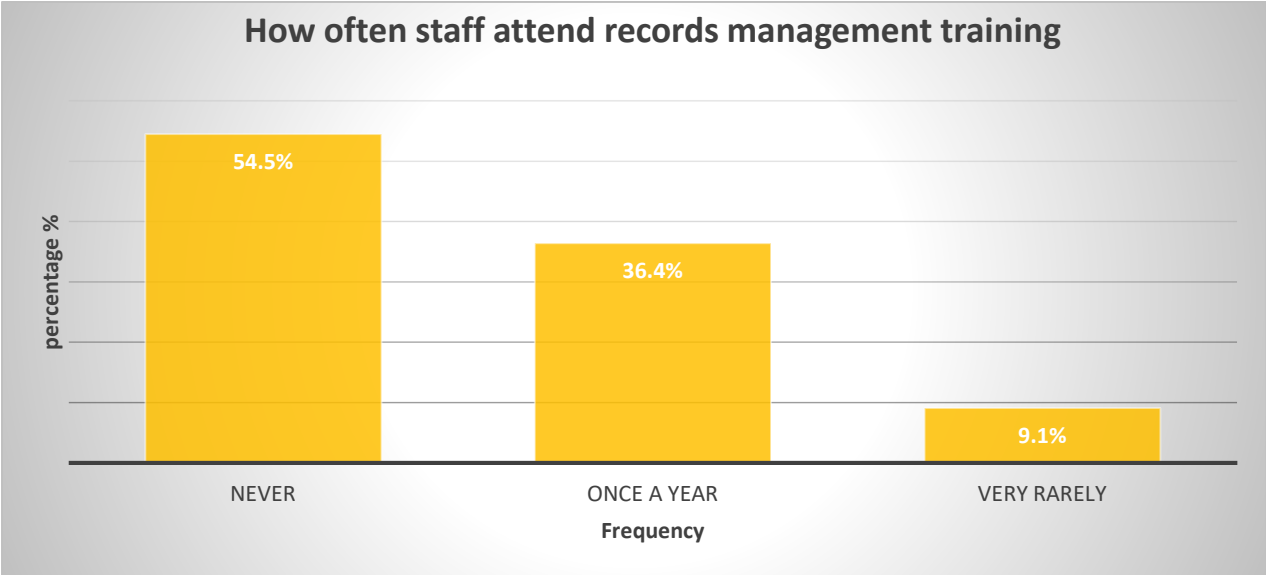


Figure 4.7: frequency of records management training. Source: field data, 2023.

4.3.3 Level of record management knowledge rating

Respondents were required to rate their overall level of knowledge on records management. The results revealed that 45.5 percent of the respondents indicated that they had moderate knowledge of records management, 27.3 percent indicated low knowledge, and 18.2 percent indicated high knowledge. Finally, 9.1 percent indicated that they had no knowledge of records management. The findings are presented in Fig 4.8.

Similarly, key informant interviews revealed that most of registry personnel do not have specialised knowledge in record management and usually gain knowledge with work experience. A key informant submitted that:

“The issue is that the entry qualifications for registry employees is just a grade 12 certificate. So you find that someone does not have the academic qualifications to meet the demands of their job”

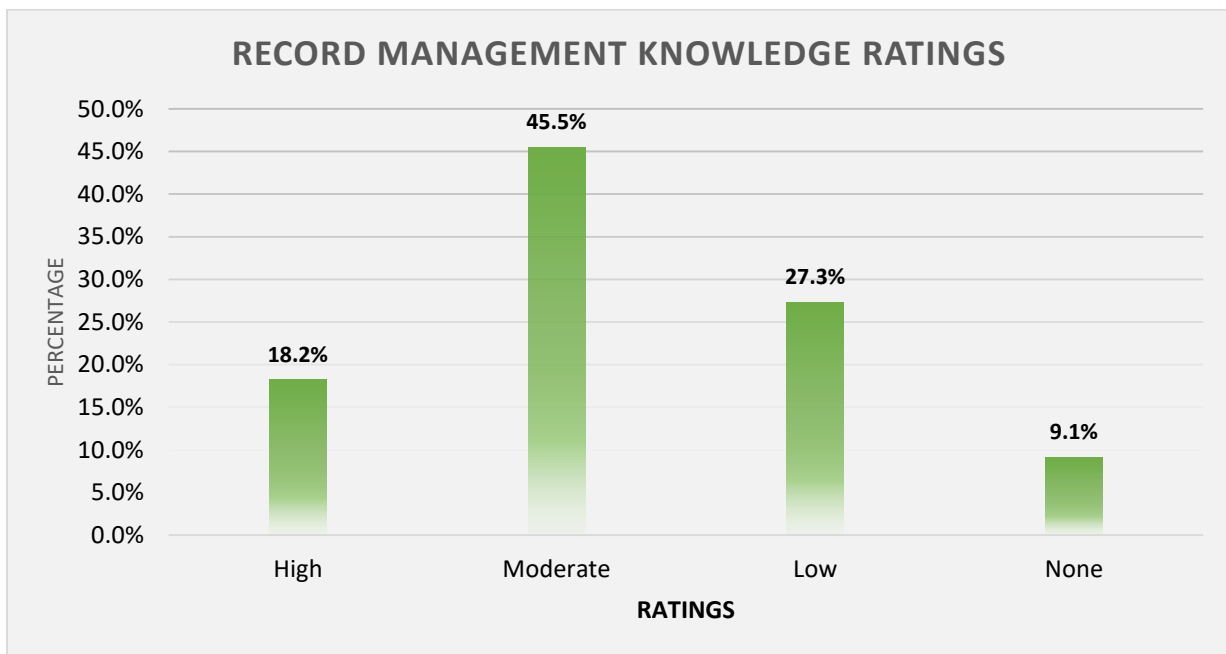


Figure 4.8: level of knowledge rating. Source: Field data, 2023.

4.3.4 Cross tabulation Level of record management knowledge rating*job position

These results on level of knowledge on records management were cross tabulated with job position. As shown in Table 4.10, high and medium levels of record management were more associated with middle and lower levels of management. Therefore, position tends to have an effect on knowledge levels. Furthermore, the chi-square statistic showed this to be statistically significant: $p = .011$

Table 4.10: Cross tabulation Level of record management knowledge rating*job position, 2023.

	Knowledge level				
Job Position	High	Medium	Low	None	Total
Middle count % within job positon	6 100%				100%
Lower count % within job positon		15 62.5%	9 37.5%		100
Subordinate count % within job positon				3 100%	100
Total	18.2	45.5	27.3%	9%	100

4.3.5 Cross tabulation: level of knowledge and years of service

A cross tabulation was done between record management knowledge level and years of service in records management at the council. Table 4.11 shows that most of the respondents with 0-4 years of experience had low to none record management knowledge whilst those with 5-14 years of experience had medium to high knowledge on record management. The chi-square statistic showed this to be statistically significant: $p = .031$.

Table 4.11: Cross tabulation Level of record management knowledge rating*years of service

	Knowledge level				
Years of service	High	Medium	Low	None	Total
0-4 years count % within years of service		6 33.3%	9 50%	3 16.7%	100%
5-9 years count % within years of service	3 25%	9 75%			100
10-14 Years count % within years of service	3 100%				100
Total	18.2	45.5%	27.3%	9%	100

4.3.6 Cross tabulation: level of knowledge and level of education

A cross tabulation was done between record management knowledge level and level of education amongst respondents. Table 4.12 shows that respondents with low levels of education (certificate) tend to have low to none record management knowledge levels. Furthermore, respondents with a

Diploma had medium levels of record management knowledge. Finally, all respondents with high levels of record management knowledge had a degree. The chi-square statistic showed this to be statistically significant: $p = .023$

Table 4.12: Cross tabulation Level of record management knowledge rating*level of education

Level of education	Knowledge level				Total
	High	Medium	Low	None	
certificate count % within level of education			6 66.7%	3 33.3%	100%
Diploma count % within years of education		12 80%	3 20%		100
Degree count % within years of education	6 66.7%	3 33.3%			100%
Total	18.2	45.5%	27.3%	9%	100

4.4 Extent to which records control influence service delivery

The study sought to establish how records management impacts the delivery of public services at Lusaka city council. The following sections provide information on the findings.

4.4.1 Records management rating

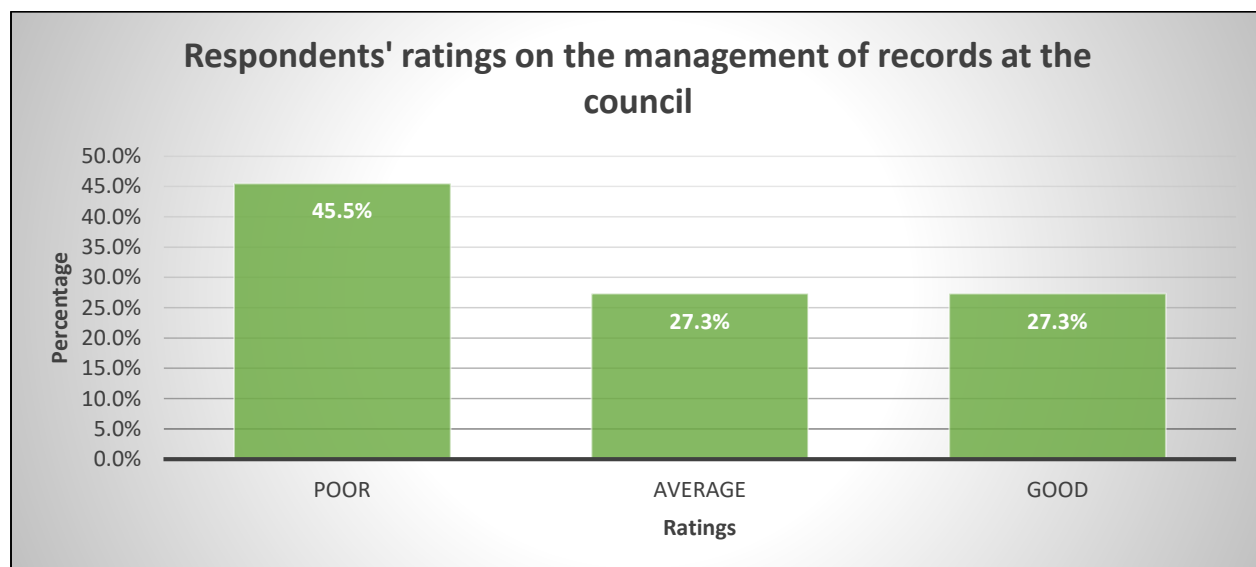


Figure 4.9: Records management rating. Source: field data, 2023.

In this study, respondents were asked to rate the quality of management of records and its impact on service delivery at the council. The results showed that 45.5 percent of the respondents rated the management of records at the council as poor. In addition, 27.3 percent rated the management of records at the council as average and good, respectively. These findings are presented in Figure 4.9.

4.4.2 Cross tabulation: Records management rating and employee designation

Table 4.13: Cross tabulation: Records management rating and employee designation

Records management rating	Employee designation			
	Middle	Lower	Subordinate	Total
Good	4	5		9
	44.4%	55.6%		100.0%
Average	2	6	1	9
	22.2%	66.7%	11.1%	100.0%
Poor		13	2	15
				100.0%
Total	6	24	3	33
	18.2%	72.7%	9.1%	100.0%

A cross tabulation was done to establish the relationship between employee designation and records management rating at LCC. As shown in Table 4.13, middle management members of staff were more likely to rate records management at LCC as good whilst lower to subordinate members of staff were more likely to rate record management as average and poor respectively. This was found to be statistically significant as the Chi-square statistic: $p = .042$

4.4.3 Cross tabulation: Records management rating and years of service

A cross tabulation was done to establish the relationship between years of service and records management rating at LCC. As shown in Table 4.14, years of service did not have a significant bearing on the rating of records management at LCC. This was established to be statistically significant by the Chi-square statistic test in which the p value was found to be 0.062.

Table 4.14: Cross tabulation: Records management rating and years of service

Records management rating	Years of service			
	0-4 years	5-9 years	10-14 years	Total
Good	4	4	1	9
	44.40%	44.40%	11.20%	100.00%
Average	6	2	1	9
	66.70%	22.20%	11.10%	100.00%
Poor	88	6	1	15
	53.30%	40%	6.70%	100.00%
Totals	18	12	3	33
	54.50%	36.40%	9.10%	100.00%

4.4.4 Records management and its impact on service delivery

With reference to Table 4.15, the study investigated the extent to which records control influence service delivery through a series of statements to which respondents were required to indicate their level of extent ranging from great extent to no effect. On the statements about whether records management improves accessibility and Retrieval of files and documents, the findings revealed that the majority (57.6 percent) of the respondents rated to a moderate extent, while 24.2 percent rated this item as little extent and only 18.2 percent rated it as to great extent. In terms of enhancing accountability and transparency, most of the respondents rated it moderate extent (54.5 percent). Furthermore, on the statement regarding whether records management enhances the quality of service offered, the results revealed that the majority (72.7 percent) of the respondents rated it to a moderate extent, whilst 18.2 percent indicated that they don't know and 9.1 percent rated it to a great extent.

The statement on whether records management reduces the time used in delivery of Services at the council, the findings revealed 51.5 percent rated moderate extent, 21.2 percent indicated I don't know and 9.1 percent rated little extent. In terms of the effect of records management enabling quick response to queries and complaints, the majority (63.6 percent) of the respondents rated it as moderate extent, whilst 36.4 percent rated it to a great extent. When asked to rate the statement on records management motivates employees when they access and retrieve files easily, the findings revealed that 33.3 percent rated it to a great extent, 12.1 percent moderate extent, 15.2

percent indicated to a little extent, while 30.3% indicated no effect. The last statement on reduces on cost and time, the results revealed that most of the respondents (54.5 percent) rated to it to a moderate extent, 36.4 percent rated to a great extent, and 9.1 percent indicated don't know. Key informant interviews revealed that record management tends to have an impact on the quality of services that members of the public receive. Poor record management tends to compromise the quality of services that the local council provides. One key informant submitted that:

“Sometimes, it is the council’s fault when documents go missing. As a result, clients are inconvenienced and it takes longer than usual for us to meet the needs of a client. Also, you find that some old documents are so difficult to locate because of the way they are stored. In paper format. So it takes time for us look for them. This is an inconvenience for clients”

Table 4.15: Records management impact on service delivery. Source: field data, 2023.

Statements	Great extent	Moderate Extent	Don't know	Little Extent	No effect
Improves accessibility and Retrieval of files and documents	6 (18.2%)	19 (57.6%)	0 (0%)	8 (24.2%)	0 (0%)
It enhances accountability and Transparency	5 (15.2%)	18 (54.5%)	3 (9.1%)	6 (18.2%)	0 (0%)
Enhances the quality of service offered	3 (9.1%)	24 (72.7%)	6 (18.2%)	0 (0%)	0 (0%)
It reduces the time used in delivery of Services at the Department	0 (0%)	17 (51.5%)	7 (21.2%)	3 (9.1%)	6 (18.2%)
Enables quick response to queries and complaints	12 (36.4%)	21 (63.6%)	0 (0%)	0 (0%)	0 (0%)
It motivates employees when they access and retrieve files easily	11 (33.3%)	4 (12.1%)	3 (9.1%)	5 (15.2%)	10 (30.3%)
It reduces on costs and time spent	12 (36.4%)	18 (54.5%)	3 (9.1%)	0 (0%)	0 (0%)

4.5 Record management challenges

In this study, respondents were asked to indicate the challenges affecting the effective management of records at the council. It was found out that a number of challenges were identified as hindering the effective records management ranging from inadequate finance (81.8 percent), lack of skilled personnel (70 percent), inadequate storage facilities (63.6 percent), lack of equipment and materials (63.6 percent), no legislation (62.8 percent) to lack of management plan (54.5 percent). Other challenges identified included unfavourable working conditions and poor maintenance of culture at 45.5%, respectively. Fig 4.10 illustrates these challenges

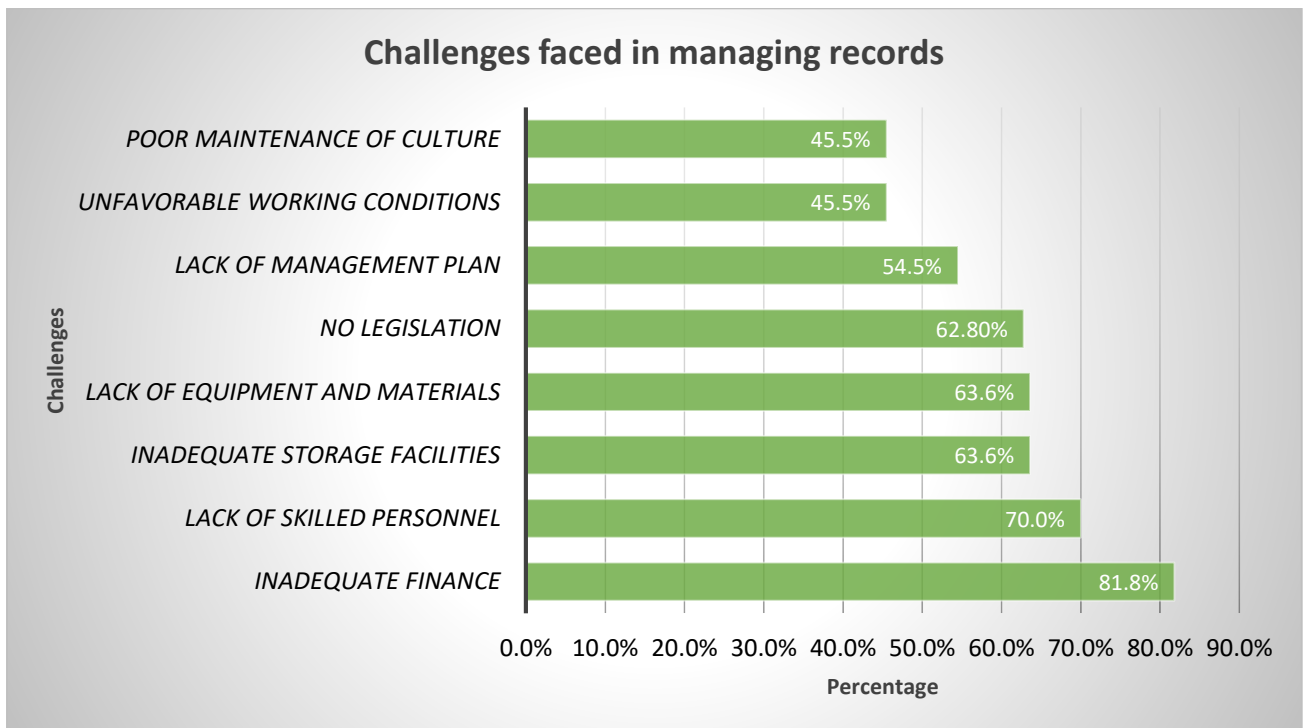


Figure 4.10: challenges faced in managing records. Source: Field data, 2023.

4.5.1 Additional record management challenges provided by registry employees

In addition to the ones in the figure above, respondents were asked to indicate other main challenges that they face in managing records at the council.

First, the study found that there is an absence of Electronic Records Management Systems (ERMS) which results into records being primarily maintained physically. One of the participants mentioned that:

“There hasn’t been a move towards creating an electronic record management system were records can be kept and accessed conveniently”

Another participant also said: *“Most of the records kept here in paper form. There is little to no digitization that has taken place”*

Another respondent submitted that: *“Council records stored in paper format which takes up a lot space”*

The responses show that there is an absence of an Electronic Records Management Systems (ERMS) for managing records at Lusaka city council.

Secondly, the registry clerks were faced with the challenge of poor funding to effectively manage records and integrate ICTs at Lusaka city council. One respondent mentioned that:

“The money allocated towards maintaining these records is not enough. So, you find that there are a lot of papers to organise but there is no money to buy box files, bond paper, markers and the like”

Another respondent submitted that:

“The funding given to the registry department is not adequate to purchase and maintain the tools needed to manage these records properly”

Another participant noted that:

“We do not have enough money to allow us to upgrade to digital system were records can be accessed easily”

Thirdly, it was found that unqualified personnel were given opportunities to work from the registry department. Therefore, individuals that had not undergone training were given the responsibility of managing records. One participant submitted that:

“It is so sad that the entry requirements for a registry job are so low. Even a Grade 12 can be given a job in the registry. As a result, the registry function has employees without a paper in records management”

Another respondent submitted that:

“A lot of registry staff have not been to school to study record management. So, they do not have an academic background”

Another participant said that:

“Registry work is taken for granted. People need to go to school and develop themselves in the field of record management for them to do a good job”

Finally, there was also a challenge of inadequate support from executive management with regards enhancing effective record management and political interference. One respondent mentioned that:

“The people at the top do not give us enough support to effectively maintain council records. But, we cannot blame them because the council just doesn’t have money to implement record management programmes”

Another respondent mentioned that:

“We need more support from our bosses in order for us to perform as registry department. They should not be influenced by politicians”

Another respondent submitted that:

“For us to do a good job, we need management to address the challenges we face”

4.5.2 Interventions for improved record management

Respondents were asked to recommend interventions for improved records management and service delivery at Lusaka city council. Respondents recommended that there is need to provide adequate storage facilities for easy storage and retrieval. One of the participants said: *“There is no enough space to fit all the paper documents that are created every day. So we need more space to accommodate them”*

Another respondent mentioned that: *“when papers are a lot, it difficult to locate documents in a small room. So, we need a bigger space for these papers”*

Another respondent mentioned that: “we need more space in order to organise council documents properly

Secondly, it was recommended that the council should integrate ICTs in the record management process through Electronic Records Management System (ERMS). This will allow for an efficient and effective record management system. One of the participants said that: *‘there is need to start using computers in record management at the council’*

Another respondent submitted that: *“record management should be digitalised in order to make it easier for us to store, locate, and preserve sensitive documents”*

Another respondent mentioned that: *“we need to store these documents electronically to the cloud so that it is easier to protect and restore in the event of a fire or any other unfortunate event”*

Thirdly, there was a recommendation for the council to employ qualified personnel and periodically train registry staff on new and updated methods of managing organisational records.

One respondent submitted that:

“There is need to revise the entry requirements for registry officers in order to ensure that trained and qualified people take up these jobs”

Another participant noted that: *“there is need to train registry staff from time to time on how to manage records”*

Another respondent mentioned that: *“registry staff should have the necessary training and skills to effectively carry out their duties”*

4.6 Chapter Summary

This chapter has presented the findings of the study after analysis of data collected from the field. The findings were presented in line with the research objectives. The study established that the systems and processes put in place to manage records at Lusaka city council include the adoption of a records management policy. In addition, records are filled and arranged in alphabetical order on a daily basis. Records are stored in metal shelves in lockable cabinets. However, there was an absence of disaster management plan to facilitate the protection and retention of records in the event of an unfortunate event. With reference to level of records management knowledge among registry staff, it was found that a significant number of them did not have formal education in records management. This was compounded by the lack of in-house records management training amongst registry staff. This translated into moderate records management knowledge.

This chapter also provided some insights into how records control influences the delivery of services at the council. It was records management moderately fosters good service delivery at Lusaka city council. Furthermore, the challenges identified that hinder effective records management include funding, poor infrastructure, lack of digitisation, absence of Electronic Records Management Systems (ERMS), and lack of qualified staff.

CHAPTER FIVE: DISCUSSION

5.0 Over view

This chapter presents a discussion of the findings of this study which aimed to evaluate the records management systems and processes at Lusaka City Council with the aim of informing policy for improved service delivery. The findings have been discussed in light of the reviewed literature and research objectives. The researcher made an effort to reflect, confirm, and extend current knowledge and thinking on the state of records management systems and processes. The discussions were presented under the sub-themes as presented in Chapter Four of this study.

5.1 Systems and processes that have been put in place to manage records

Organisations need to have strategies to ensure that full and accurate evidence of their decisions, actions and transactions are recorded, captured and maintained by record-keeping systems. Objective one of this study sought to establish the systems and processes that have been put in place to manage records at Lusaka City Council.

The study findings revealed that the majority (63.6 percent) of the respondents indicated that the council has a written records management policy. The results suggested that there is an existence of the policy that guides the management of records at the council. However, despite the majority of respondents acknowledging the existence of a records management policy, key informant interviews also revealed that the council does not have an official in-house records management policy. Individuals usually rely on anecdotal information on how to manage records. Therefore, employees at could work under the assumption that the processes and procedures availed to them are based on policy.

In order to establish relationships between the availability of record management and respondent background information, it is evident that years of service and level of education had no bearing on knowledge of record policy existence. However, employee designation showed a significant relationship with awareness of the existence of a records management policy as employees in middle management were likely to demonstrate knowledge of the existence of a records management policy ($p=0.23$). This could be attributed to the tendency of employees in higher ranking to protect the image of an organisation.

In addition, it seemed that the council does not have an electronic management system for capturing and storing records as evidenced in the study findings which revealed that the majority (54.5%) indicated that the council does not have an electronic records management system. Participants explained that the council mainly create paper-based records. These findings are contradiction with the Public Service Records Management policy (2012) which amongst many other objectives set out to design and implement a records management system in all public institutions. The results suggested that there is a dominance of manual type of records management mainly characterized by paper-records. Furthermore, was also established through key informant interviews that LCC also creates records by preparing spreadsheets, CD-ROMs and video tapes. This shows that the primary record creation medium at LCC is paper which is then later transferred or converted into digital format for some records.

In relation to previous studies, the findings of this study seem to be consistent with earlier observations by Bakare et al. (2016) who found that most of the records in the selected local government councils of Nigeria were in paper format suggesting that most of their records were not digitally created. However, these findings are not in line with the findings from studies done in developed countries which have established that government agencies capture and manage current records in an electronic records management system such as ERMS, EDRMS (National Archives of Australia, 2016). The reasoning here could be that the integration of ICT into records management practices in local government councils of developing countries like Zambia has not fully been realized due to restrictions in funding. The implication here is that these local governments will continue to face challenges of records missing, wearing and tearing. Therefore, there is need for effective ICT adoption and use in record capturing and storage in the operations of local government councils in order to improve on the delivery of services the people.

Filing of records, when done correctly, ensures accurate and prompt retrieval of records when required. Alegbeleye and Chilaka (2019) inform us that records can be filed using different benchmarks such as numeric, alpha-numeric, alphabetical or chronological. The findings of this study revealed that a large proportion of the respondents indicated that the council files and arranges the records using alphabetical (70 percent). The rest indicate alphanumeric (20 percent) and numeric (10 percent). The findings of this study seem to correspond to the findings by Mulindwa (2015) who found that alphabetical system was the widely adopted by most of the local

government organizations in Butambala District when filing records. The current study concludes that alphabetical system is the most filing system used when managing active records at the council. Likewise, a recent study conducted by Makgahlela (2021) on records management practices in selected municipalities in Limpopo province of South Africa found that the two most used filing systems were alphabetical and alphanumeric mentioned by 51.2 percent and 44.2 percent respondents, respectively. It is very important to note that there is no generally accepted method of record filing as most organisations tend to adopt methods of filing which aligns with their modus operandi and ensure administrative conveniences.

In terms of how often records are filed and arranged at the council. The findings revealed that the majority (63.6 percent) of the respondents indicated that office records are filled on a daily basis. The findings of this study are in line with the findings by Makgahlela (2021) who found that the vast majority (97.7 percent) of respondents filed records on a daily as opposed to a weekly basis. The similarity in these findings could be attributed to the standardisation of record filling across the world. Therefore, institutions are more likely to use any of the available filling standards that meets their needs.

Going further, all the respondents indicated that after creation, records are kept in the registry. The study found that the most used facility for storing records were metal shelves (72.7 percent), steel file cabinet (63.6 percent) and wooden shelves (45.5 percent). Similarly, Kalusopa and Ngulube (2012) examined e-records readiness in 50 registered labour organisations in Botswana and found that in terms of storage, 56 percent used steel cabinets, mainly for storing current records, while semi-current records were kept on the shelves together with current records by more than 72 percent of the labour organizations. This is consistent with the findings by Bakare et al. (2016) who found that the majority of the councils surveyed in Nigeria indicated that steel file cabinets constituted their main storage facility followed by wooden shelves. Similarly, Makgahlela (2021) found that filing cabinets were the most used for the storage of records with 52.3 percent respondents indicating this. According to Makgahlela (2021), shelves were the next most used storage mechanism mentioned by 46.5 percent respondents. The use of metal shelves to store records could be due to protect records in the event of a fire.

It was found in this study that the least used medium of storing records included computer (27.3 percent), flash drive (18.2 percent) and CD Rom (9.1 percent). Similarly, Bakare et al. (2016)

observed that only a few respondents indicated that CD-ROMs and flash drives were used in their respective local government councils as record storage facilities. Likewise, Unbegun and Adenike (2013) in their study noted that records at the Ministry of Information and Strategy in Nigeria kept their records safe on Compact Disks and flash drives. It is evident from the study findings and those cited above that there are various records storage mediums and facilities that are used by local government organisations to store records in different formats. However, electronic mediums of storage are the least used. This could be attributed to the lack of digitalisation of records management in public institutions.

In terms of the tools used to retrieve, the findings showed that the council uses a number of tools to retrieve records. In their order of frequency, the most used retrieval tool is the register (54.5 percent) followed by simple list (45.5 percent). Other retrieval tools reported included index (27.3 percent) and calendar (18.2 percent). This was expected, since all records, especially those received, are usually registered as they are filed and their registers can be useful in locating the needed records from their stores. This is consistent with the observations by Bakare et al. (2016) and Abioye (2006) who reported that registers constituted the most common type of finding aid followed by indexes. It was also observed from Abuki's (2014) study that some of the methods used in tracking files included use of file registers, file tracking cards and indexes. Similarly, Kalusopa and Ngulube (2012) also noted that most of the institutions surveyed used indexes, inventories or registers for organizing and retrieving their records. The possible explanation here is that when a business transaction or an activity takes place, it is recorded and kept in a register book by the registry section. This makes it easier for management in the organization to trace the transaction using the register book.

The study also found that the rate at which records were retrieved took an average of 5 to 15 minutes at the council. This is a better record retrieval rate considering the situation of records management at the council, given the observation that most of the records are paper based. The reasoning here could be because of the use of registers as the tools for locating records and thus a better retrieve rate. However, efficiency could be compromised in the event multiple documents are being requested for retrieval. In addition, the study also established that there was no significant relationship between time taken to retrieve documents and years of service, and time taken to retrieve documents and education level. This could be because retrieval of documents

anchors on systems (filling, indexing, and retrieval) which tend to be uniform across all members of staff and are not affected by education level and years of service.

The findings of this study correspond to earlier observations by Bakare et al (2016) who found that the majority of the respondents surveyed reported that it took an average of 5-10 minutes for them to retrieve the needed records. However, this was in contrast with the observations by Mutula and Brakel (2006) and Kalusopa and Ngulube (2012) who earlier observed that retrieving paper records took from minutes to hours for most of the labour organizations surveyed. The difference here could be due to variations in the location in which the studies were conducted. This may be due to differences in the setup of the organizations studied. Mutula and Wamukoya (2007) also noted that most of the government institutions were concerned that it takes hours to locate and retrieve the needed records. They attributed this to lack of electronic management systems for managing records.

The study findings further revealed that all the respondents reported that there is no artificial climatic control equipment installed in the storage areas. In addition, the findings also showed that all (100 percent) the respondents indicated that there is no fire detection and suppression system at the council, and more than half reported that there is no disaster management plan. The implication here is that the protection and preservation of records at the council is at risk of disaster and the council stand a greater chance of losing its records and institutional memory should a disaster occur. The absence of record protection technology could be due lack of funding towards record management. These findings are in contradiction with the PRMP of 2012 which provides for the creation of an environment that protects records from hazards that could compromise their integrity.

Similarly, Makgahlela (2021) investigated the records management practices in selected municipalities in Limpopo province of South and found that the vast majority of respondents (96.5 percent) stated that there was no disaster management plan in place. His findings also showed that the vast majority of respondents (94.2 percent) did not have a fire detection and suppression system.

The study findings revealed a number of record security system used to secure records at the council. The most common security systems that was found to be used as reported by the

respondents were locked cabinet (70.0 percent), followed by managerial clearance (30 percent). This could be attributed to the fact that most of the records were stored in either metal shelves or steel file cabinet. In terms of personnel with access to records, the findings revealed that the majority (82 percent) indicated that it is the registry officials who have access to the records in the storage areas. In relation to previous studies, the findings of the present study seem to be in line with earlier observations by Bakare et al. (2016) who observed that there were strong restrictions placed on the use of records and access to records was usually subjected to managerial clearance. In fact, their observations showed that users had to fulfil bureaucratic procedures before being allowed access to records for inspection and needed information for official and public use (Bakare et al., 016).

In terms of records disposal policy, the findings revealed that it is not clear whether the council has a records disposal policy as 36.4 percent of the respondents were not sure on this matter, while 27.2 percent indicated no. In addition, key informant interviews also despite having a designated registry for archiving records of value under finance department, there are no clear guidelines on how long the archived documents should be kept and when they can be discarded. These findings are in not in conformity with the PSRMP of 2012 which pledged to develop systems and clear guidelines for the disposal of records when they no longer make business sense. The disparity in the policy provisions and the actual situation at LCC could be attributed to poor implementation of the policy.

Contrary to these study findings, Makgahlela (2021) in a study on records management practices in selected municipalities in Limpopo province of South Africa found that all (100 percent) respondents indicated that their municipality has a records disposal policy that guides them on which records to dispose of. The differences here could be due to the value placed on the management of records. In this study , it was observed that the majority (72.7 percent) of the respondents said that the developed policies and procedures are not followed in safely transferring records from active to inactive. More than half (54.5 percent) of the respondents were of the opinion that the retention and disposal schedule is not a useful tool in the management of records. Similarly, Makgahlela (2021) also found that a very large number of respondents (98 percent) indicated that they do not follow developed policies and procedures when transferring records

from active to inactive. Understanding the importance of an effective disposal programme is a vital element in ensuring that records are effectively managed.

5.2 Level of knowledge about records management among staff

Scholars have argued that managing records involves more than collecting and keeping data and information (Unegbu, 2013). It also concerns the knowledge of what records must be kept, where they are to be stored, how they are to be managed, and who has the right of access. The second objective of the study sought to determine the level of knowledge about records management among staff working in the registry departments at City Council. The study findings revealed that overall, most (45.5%) of the respondents had moderate knowledge of records management. The findings suggested that employees working in the registries were not very highly knowledgeable with the management of records at the council. These findings tend not to align with the provisions of the PSRMP of 2012 which provided the identification of knowledge gaps amongst registry personnel, develop and implement training programmes in order to enhance capacity for effective and efficient records management.

The findings of this study seem to disagree with the findings in a study conducted by Lobres et al (2020) in Santa Rosa, Laguna, Philippines where it was found that local government employees were highly knowledgeable in records management. Contrary to the findings of this study, Seniwoliba, Mahama and Abilla (2017) found that local government personnel in-charge of the maintenance of the registry system in Ghana were ignorant of their responsibilities.

In addition, the study found a relationship between educational qualifications, years of service, and job position. Employees who were relatively higher in the organisational hierarchy (middle management, and lower management) were more likely to have medium to high levels of record management knowledge. This also applies to individuals who have served longer at LCC. This could be attributed to the fact that upward mobility in the civil service takes time, therefore, these individuals may have acquired substantial record management information over the years. Similarly, employees with higher educational attainment were more likely to score medium to high. This could be as a result of the knowledge that they have attained through formal training on records management. Furthermore, their drive for knowledge through higher education puts in them in a better position to easily assimilate information.

The moderate level of knowledge among local government officials observed in this study could be attributed to the lack of formal qualification in records management, in-house training, and low entry requirements for registry employees in terms of educational qualifications. This was evident from the study findings which revealed that about 46 percent of the respondents reported that they did not have any form of formal qualification in records management, while the majority (72.7 percent) of the respondents indicated that they did not receive any in-house training in records management. The results suggest that there is lack of capacity building in records management among workers working in the registry at the council. A study by Makgahlela (2021) in selected municipalities in Limpopo province of South Africa found that with the exception of one respondent, all the respondents, 85 (98.9 percent) indicated that they had received in-house training in records management. However, Makgahlela (2021) found that despite all the respondents working in registry offices, only 2.3 percent indicated that they had a formal qualification in records management. With the large number of records created every day, it is important for registry staff to be able to deal with those records. That can only happen if staff have the necessary knowledge and are properly trained to manage records. Therefore, training of staff is one of the important steps in implementing successful records management practices in local governments.

5.3 Extent to which records control influence service delivery

Kanzi (2010) asserts that a sound records management programme is fundamental to providing high quality services delivered to the public and to provide a basis for managing resources. Atulomah (2011) noted that sound records management reforms are imperative to eliminate maladministration, and administrative problems and weaknesses that cause inefficiency and ineffectiveness in the institutions.

The third objective of this study sought to examine the extent to which records control influence service delivery at the City Council. The study findings revealed that overall, the records management at the council affects service delivery to a moderate extent. On average, the respondents rated the effects of records management on service as moderate extent (51.2 percent). In addition, the majority (57.6 percent) of the respondents rated to a moderate extent in terms of records management improving accessibility and retrieval of files and documents. Furthermore, the results revealed that the majority (72.7 percent) of the respondents rated the effects of records management in enhancing the quality of service offered as moderate extent. In relation to previous

studies, the findings of this study seem not to be consistent with the findings of a study conducted in Kenya by Oyaro (2013) who found that with regards to the effect that the records management had on the quality of the services at the the local government department, 57.4 percent of the respondents said the effect was to a great extent. In addition, Oyaro (2013) also found that the records management enabled quick response in delivery of service to the clients to a great extent.

The study also established a relationship between employee designation and how records management at LCC impacts service delivery. Middle management members of staff were more likely to rate records management at LCC as good whilst lower to subordinate members of staff were more likely to rate record management as average and poor respectively. This outcome maybe because lower level employees tend to have a first-hand experience of records management quality than middle managers.

The study findings has provided some insights into how records control influence the delivery of services in a government/public institution. It is evident that the extent to which records management influence service delivery at the council is moderate. In other words, the records management at the council moderatly fosters good service delivery. This could be explained in part by the poor quality of managing records since the management of records is done manually dominated by paper-based records. Most of the respondents in this study rated the management of records at the council as poor. The study emphasises that records management be recognised as one of the cornerstone strategic tools and this will contribute towards the realisation of effective service delivery in the local governments.

5.4 Challenges faced in managing records

Government institutions face various challenges with regard to the management of records (Wamukoya, 2000). The last objective of the study attempted to identify the challenges faced by the Council officials in managing records. The study identified a number of barriers hindering the effective records management at the local government council. These barriers/challenges included inadequate finance (81.8 percent), lack of skilled personnel (70 percent), inadequate storage facilities (63.6 percent), lack of equipment and materials (63.6 percent), no legislation (62.8 percent) and lack of management plan (54.5 percent). These finding are supported by Popoola (2000) and Bakare et al. (2016) who also reported that lack of equipment and materials, inadequate funds, inadequate storage facilities and absence of skilled manpower to manage records as some

of the problems obstructing effective records management in organizations. According to Coetzer (2012) institutions face these challenges because of the inability of registries and national archival institutions to perform their roles effectively.

Other challenges identified included lack of electronic-records management systems, lack of and/or inadequate ICT infrastructure, political interference, lack of training for staff in the registry and too much unqualified personnel found in the registry. Others were weak legislative and regulatory framework and slow adoption of standards and practices. Participants explained that records are easily lost due to using the manual system and clients of the council are on many instances told to resubmit their documents. The least challenges identified included unfavourable working conditions and poor maintenance of culture at 45.5 percent, respectively. These findings are consistent with the findings by Abuki (2014) who investigated the records management practices in Kisii county government in Kenya and found that county government departments experienced challenges in the provision of access to information. The most cited challenges reported by Abuki (2014) included poor working conditions, lack of adequate facilities and equipment and retaining of files presented to action officers, lack of automated records management program, lack of enough trained personnel. Other challenges that were identified by Abuki (2014) included lack of clear records management policy, low priority being awarded to records management and lack of equipment, supplies and facilities in registries (Abuki, 2014).

It is evident from the study findings that there are several challenges/barriers hindering the effective management of records at the council. These challenges are mainly due to the absence or inadequate Electronic Records Management Systems (ERMS) brought about by the lack and/or inadequate of ICT infrastructure which in turn is caused by lack of support by top management to records management activities. The other ones are related to unqualified personnel in charge on managing records. It was observed that most of the staff in the records lack or do not have sufficient training in records management or related field. Political interference and inadequate funding to the activities of records management were other challenges raised by the participants. This may be due to lack of political will from local government administration. Because of this, records management programmes have been neglected and overlooked when it comes to budgeting. In most instances, the council's budget does not cover aspects of records management programmes.

5.5 Theoretical framework and study findings

This study adopted the Record life cycle theory which postulates that records move in one direction where they are either destroyed or preserved. Furthermore, the life cycle model argues that the life cycle of a record can be broken down in three distinct stages. The first stage is that of creation where records are born, then followed by maintenance where they are kept for use, and the final stage is where they are either archived or disposed (Yusof & Chell, 2000). The study also adopted the Records Continuum Model (RCM) which argues that there are four actions involved in the process of records and archives management in this model. These actions include: Identification and acquisition (record creation); intellectual control (classification of records in a logical system); Access (preservation and usage of records); and physical control (destruction, disposal, and archiving) (Saffady, 2011).

The theory aligns with the study findings that illustrate that at Lusaka city council, records are created usually in the form of paper. They are then stored in filing cabinets and sorted accordingly for ease of access whenever they are required. Furthermore, additional processes intended for maintenance include preservation of records, and implementation of security systems like locked cabinets, and managerial clearance. Finally, documents that had retention value are kept at the registry under the finance department at LCC or the National archives of Zambia. Records that are considered not useful are then discarded.

5.6 Chapter summary

The chapter has discussed the findings of the study in light of the revealed literature and research objectives set out in chapter one of this study. It was evident from the study findings that there are various systems and processes that have been put in place to manage records at the council. In addition, it was noted from the study findings discussed that staff working in the registry have a moderate level of knowledge on records management and most of them have not attended any in-house training pertaining to records management. Furthermore, it was found that records management influenced service delivery at the Council to a moderate extent. The study also identified a number of challenges hindering the effective management of records at the council. Finally, it also discussed how the theoretical framework adopted by the study aligned with the findings.

CHAPTER SIX: SUMMARY, CONCLUSION AND RECOMMENDATIONS

6.0 Overview

This chapter presents the summary, conclusion, as well as recommendations based on the findings of the study.

6.1 Summary

6.1.1 Study overview

The study evaluated the records management systems and processes at Lusaka City Council with the aim of informing policy for improved service delivery. The study findings provided a basic understanding of the state of records management at the council. To conduct this study, the case study design was used to provide an in-depth and detailed investigation of the records management systems and processes. The case study design was nested on the mixed method approach using both quantitative and qualitative research methods. Data was collected through questionnaires and interviews from the council employees. SPSS was used to analyse quantitative data, while qualitative data was analysed using thematic analysis. The researcher adhered to the research ethics when conducting the study.

The key findings of the study may be summarised by objectives as follows:

6.1.2 Records management processes at Lusaka city council

It is evident from the findings that the council has a written records management policy that guides the management of records at the council. However, it seemed that the council does not have an electronic management system for capturing and storing records as evidenced in the study findings. The results suggested that there is a dominance of manual type of records management mainly characterized by paper-records. The study established that the alphabetical system is the most filing system used when managing active records at the council and filing pf records is done on a daily basis. The study found that the most used facility for storing records were metal shelves, steel file cabinet and wooden shelves. In terms of the tools used to retrieve, the study established that the council uses the register, simple list, index and calendar. The study also found that the rate at which records were retrieved took an average of 5 to 15 minutes at the council. In terms of records preservation, the study established that there is no artificial climatic control equipment installed in the storage areas. In addition, it was observed that there is no fire detection and suppression system

at the council, and no disaster management plan as well. The most common security systems that were found to be used by the council were locked cabinet and managerial clearance. Furthermore, despite having a Public Service Records Management Policy of 2012 that provides for the implementation of an electronic management systems, development of processes and procedures for preservation of records and timely disposal, LCC has not digitalised their records management systems and has interventions for record preservation and disposal.

6.1.3 Records management knowledge levels

The study findings revealed that overall, most of the staff working in the registry had moderate knowledge of records management. The study concluded that employees working in the registries were not very highly knowledgeable with the management of records at the council. The moderate level of knowledge among the staff observed could be attributed to the lack of formal qualification in records management and in-house training. The study established that there is lack of capacity building in records management among workers working in the registry at the council. Furthermore, it was established despite having a Public Service Records Management Policy of 2012 that provides for development of staff through record management training members of staff reported low knowledge levels with little or no training availed to them on records management.

6.1.4 Impact of records management on service delivery

The study findings provided some insights into how records control influence the delivery of services at the council. It was evident that the extent to which records management influence service delivery at the council is moderate. This is attributed to the poor quality of managing records since the management of records is done manually dominated by paper-based records.

6.1.5 Challenges faced in effective records management

Finally, the study identified a number of challenges hindering the effective management of records at the council. These challenges included. These barriers/challenges included inadequate finance, lack of skilled personnel, inadequate storage facilities, lack of equipment and materials, no legislation and lack of management plan. Other challenges identified included lack of electronic-records management systems, lack of and/or inadequate ICT infrastructure, political interference, lack of training for staff in the registry and too much unqualified personnel found in the registry. Others were weak legislative and regulatory framework and slow adoption of standards and

practices. The least challenges identified included unfavourable working conditions and poor maintenance of culture. From the summary of the key findings presented above, it is clear that all the study objectives of the study were met.

6.2 Conclusion

The study evaluated the records management systems and processes at Lusaka City Council with the aim of informing policy for improved service delivery. The study results provided a basic understanding of the state of records management practices at the council. Using univariate analysis, the findings of this study showed that the council still depend on manual system and paper when capturing, storing and preserving records. Understanding the state of records management practices in local government institutions may provide insights in designing interventions for improving the management of records in these institutions for improved service delivery. Therefore, the results suggested contextually specific evidence which might be taken into consideration when rethinking policies to improve the record management practices in local government councils in Zambia. Top local government management and political office bearers need to support effective and efficient records management practices in their institutions. The study contributes to the body of knowledge on records management practices, especially in the context of the Lusaka City Council.

6.3 Recommendations

Based on the findings of the study the following are the proposed recommendations;

- i. LCC should create a record a comprehensive records management policy that explicitly outlines the processes and procedures relating to the creation, storage, preservation, recovery, and disposition of records. In this way, employees will no longer rely on anecdotal information on how to manage records but on laid down processes and procedures. In addition, this policy should be distributed to registry staff in order to ensure acquaintance record management policy for effective service delivery.
- ii. In line with the provisions of the Public Service Records management policy 2012, and the Electronic Government Act 2021, LCC should embark on designing and adopting an ERMS system to address issues of shortage of space, retrieval, preservation, and recovery in the event of a disaster. In addition, ERMS could improve service delivery as records are easily accessible across all departments to aid decision making.

- iii. The recruit process at LCC should ensure that registry jobs have an academic qualification in records management as part of the key requirements.
- iv. Training and education: LCC employees should be trained on the principles of record management and the pivotal role it plays in enhancing service delivery. In addition, employees recruited without formal qualifications in record management should be awarded partial scholarships in order to allow them to obtain formal qualifications in the management of records.
- v. LCC should develop mechanisms to preserve records and protect them from hazards fire and flooding. In addition, there is also need to create a disaster recovery plan that clearly outlines how to protect and recover documents in the wake of an unfortunate event like a fire or floods. This will allow the council to retain organizational memory in the event of a disaster.
- vi. Registry departmental heads should lobby for additional funding to facilitate good record management practices. These include expansion of storage area, installation of safe and lockable cabinets and purchase of computers.

6.4 Recommendations for future studies

Since this study was limited to Lusaka city council only, the study recommends that future researchers focus on other local government councils in other provinces of the country. In addition, further research can be done on the state of ERMS implementation amongst Local authorities.

References

- Abuki, B. J. (2014). The role of records management in public service delivery in county governments in Kenya: A case study of KISII county government headquarters. Nairobi: University of Nairobi.
- Adams, R. J., Lucash, C., Schutte, L. & Waits, P. L. (2007). Locating hybrid individuals in the red wolf (*Canis rufus*) experimental population area using a spatially targeted sampling strategy and faecal DNA genotyping. Blackwell Publishing Ltd.
- Akakandelwa, T. B. A. (2023). An assessment of government efforts towards the implementation of integrated electronic management system in the Zambian public service: *Zambia Journal of library and information science*. 7(2), pp. 1-12.
- Alegbeleye, G. O. & Chilaka, U. C. (2019). Evaluation of Records Management Practices at the Ministry of Health, Abia State, Nigeria: *Library Philosophy and Practice* (e-journal). Available at <https://digitalcoms.unl.edu/libphilprac/2306>. Accessed on March 18, 2022.
- Amankwah, G. & Syllias, K. (2019). Assessing Records Management Knowledge among Local Government Staff in Ghana. Springer.
- Atherton, J. (1985). From life cycle to continuum: some thoughts on records management Archives relationship. *Archivaria* 21 (Winter, 1985-1986), pp. 43-51.
- Atulomah, B. C. (2011). Perceived records management practice and decision making among university administrators in Nigeria: *Library Philosophy and Practice*. Available at <https://unllib.uni.edu/LPP/>. Accessed on March 18, 2022.
- Atkinson, P., & Coffey, A. (2004). *Analyzing Documentary Realities*. London: Sage.
- Attiah, J., Mahama, A., & Abilla, R. (2017). Challenges of records management in higher education in Ghana: The case of University for Development Studies. *International journal of Educational Policy Research and Review*.
- Babbie, E. R. (2013). *The practice of social research*. Belmont: Wadsworth Cengage Learning.
- Bakare, A., Abioye, A., & Issa, A. (2016). An Assessment of Records Management Practice in Selected Local Government Councils in Ogun State, Nigeria. *Journal of Information Science Theory and Practice*, 49-64
- Bantin, P. C. (2008). *Understanding data and information systems for recordkeeping*. London: Facet.
- Benard, H. (2012). *Social research methods: qualitative and quantitative approaches*. Sage.
- Blunt, P. (1995). Cultural relativism, “good” governance and sustainable human development: *Public Administration and Development*. 15(1), pp. 1-9.
- Braun, V. & Clarke, V. (2006). Using thematic analysis in psychology: *Qualitative Research in Psychology*. 3(2), p. 77–101.

- Brink, H., Van der Walt, C. & Van Rensburg, G. (2012). *Fundamentals of Research Methodology for Healthcare Professionals*. 3rd ed. Cape Town: Juta & company Ltd.
- Brothman, B. (2006, September 25). *Archives, Life Cycles, and Death Wishes: A Helical Model of Record Formation*. Retrieved from <https://archivaria.ca/index.php/archivaria/article/view/12542>
- Bwalya, T., & Akakandelwa, A. (2023). An assessment of government efforts towards the implementation of integrated electronic management system in the Zambian public service. *Zambia Journal of library and information science*, 7(2), 1-12.
- Chirwa, F. (2015). *An investigation of the knowledge levels and practices of the records management staff in the Ministry of Education, Science, and Vocational training and Early Education Headquarters*. Lusaka: Unza.
- Chitembo, A., Sakala, J., Mukwena, R., Mwasile, F., Zulu, J., & Ilojij, P. (2014). *50 years of local government in Zambia*. Lusaka: Local Government Association of Zambia.
- Coetzer, P. (2012). *The status of Records Management at the University of Zululand*. University of Zululand.
- Cohen, L., Manion, L. & Morrison, K. (2007). *Research methods in education*. 6th ed. Routledge/Taylor & Francis Group.
- Creswell, J. (2008). *Educational Research: Planning, Conducting, and Evaluating Quantitative and Qualitative Research*. Upper Saddle River, NJ: Merrill Prentice Hall.
- Creswell, J. W. & Miller, D. L. (2000). Determining Validity in Qualitative Inquiry: Theory into Practice. 39(3), pp. 124-130.
- Garcia, L. & Hernandez, J. (2019). *Records Storage Practices in Latin American Municipalities: Embracing Cloud-Based Solutions*. IGI Global.
- Garcia, L. & Patel, H. (2020). *Impact of Technology on Records Management in Local Government*. IGI Global.
- Gibbs, G. (2007). *Thematic Coding and Categorizing, Analyzing Qualitative Data*. Sage Publications Ltd.
- Gill P, Stewart K, Treasure E, Chadwick B. Methods of data collection in qualitative research: interviews and focus groups. *Br Dent J*. 2008 Mar 22;204(6):291-5. doi: 10.1038/bdj.2008.192. PMID: 18356873.
- Electronic Government Act. (2021). Lusaka: Grz.
- Johnson, M. & Kallaus, N. (1987). *Records Management*. 4th ed. Cincinnati: South Western Publishing.
- Jones, A. & Williams, B. (2017). *Life Cycle of Records in Local Government: A Comprehensive Investigation*. Taylor & Francis.

- Jones, A., B. Williams, K. Mandy (2022). Enhancing Record Retrieval in U.S. Local Governments: A Survey on Integration of Computerized Databases. Taylor & Francis.
- Joppe, M. (2000, December 16). The Research Process. Retrieved from <http://www.ryerson.ca/~mjoppe/rp.htm>
- Kalusopa, T., & Ngulube, P. (2012). Record management practices in labour organisations in Botswana. SA Journal of information Management
- Kanzi, N. (2010). An investigation of the role of records management with reference to Amathole District Municipality. SEALS.
- Karabinos, & M. (2015). The shadow continuum: testing the records continuum model through the Djog-dja Document and the Migrated Archives. Leiden University: Leiden University
- Kemoni, H. & Ngulube, P. (2008). Management of public sector records: The Kenyan picture', Issues in Managing and Preserving the Documentary Heritage of Africa.
- Kim, Y. & Lee, S. (2019). Comparative Analysis of Records Management Practices in Local Government Agencies. Taylor & Francis.
- Kombo, D. & Tromp, D. (2006). Comparison of quantitative and qualitative research traditions: epistemological, theoretical, and methodological differences. Eur J Educ, 48(2), pp. 311-25.
- Kothari, C. (2004). Research Methodology: Methods and Techniques. 2nd revised edition ed. New Delhi: New Age International Publishers.
- Lee, S. & Kim, H. (2020). Securing Electronic Records in South Korean Local Governments: The Rise of Biometric Authentication. Springer.
- Library of Virginia. (2014). Records Management. Retrieved from <https://www.lva.virginia.gov/agencies/records/>
- Lobres, D. C. et al. (2020). Knowledge, Attitudes, and Practices of Records Management among Bank Professionals: A Basis for a Competency Training Program, Human Behavior, Development and Society. 21(1).
- Makgahlela, A. K. (2020). Enhancing service delivery through records management in Mogale City Local Municipality. Pretoria: University of South Africa.
- Makgahlela, L. A. (2021). Records Management Practices in Selected Municipalities in Limpopo Province of South Africa. Pietermaritzburg: University of KwaZulu-Natal.
- Makhura, M. (2005). The Contribution of Records Management towards Organisational Operational Efficiency and Competitiveness. University of South Africa Press.
- Ministry of Local government and Rural Development. (2024). Back ground of the Ministry. Retrieved from https://www.mlgrd.gov.zm/?page_id=423

- Mouton, J. (2001). *How to succeed in your master's and doctoral studies: A South African guide and resource book*. Van Schaik Publishers.
- Mulauzi, F., Hamooya, C. & Munsanje, V. M. (2015). Records Management Practices in the Zambian Pension Industry: *Journal of the Eastern and Southern Africa Regional Branch of the International Council on Archives* 33.
- Mulindwa, E. (2015). *Management of Active Records in Butambala District Local Government*. Makerere University.
- Munetsi, N. (2011). *Investigation into the state of Digital Records Management in the Provincial government of Eastern Cape: a case study of the Office of the Premier*. University of Fort Hare.
- Mvula, M. (2018). *Knowledge Management Practices in University Administration: The Case of the University of Zambia*. Stellenbosch University.
- Munsanje, V., Mulauzi, F., & Hamooya, C. (2015). Records management practices in the Zambian pension industry. *ESCARBRICA*, 33, 16-22.
- National Archives Records Administration. (2004). *National Archives and Records Administration*. Retrieved from <https://www.loc.gov/item/lcwaN0031215/>
- Neuman, W. (2000). *Social Research Methods: Qualitative and Quantitative Approaches*. Boston: Allyn & Bacon.
- Ngoepe, M. & Van der Walt, T. (2010). A framework for a records management programme: lessons from the Department of Cooperative Governance and Traditional Affairs in South Africa. *Mousaion*. 28(2), pp. 82-106.
- Nyamwamu, D. (2018). *Records Management Practices in the Administration of Public Institutions in Kenya: A Case Study of Kenya Reinsurance Corporation Limited*. Nairobi: University of Nairobi.
- Ongwenyi, A. N., Yegon, B. & Mathangani, S. (2018). The Role of Records Management In Enhancing Service Delivery In Nairobi City County: *The Strategic Journal of Business & Change Management*, 19 September, 5(3), pp. 1067 - 1079.
- Oyaro, J. (2013). *The Impact of Records Management on Service Delivery in Kenya's Immigration Department*. Nairobi: Kenyatta University.
- Park, E., & Kim, K. (2014). *An Integrated Adoption Model of Mobile Cloud Services: Exploration of Key Determinants and Extension of Technology Acceptance Model*. Elsevier.
- Patel, H. & Desai, D. (2020). *Information Management in Indian Municipal Councils: A Case Study on Records Classification*. Springer.
- Penn, I. A., Pennix, G. & Coulson, G. (1994). *Records Management Handbook*. 2nd ed. Aldershot: Gower Publishing.
- Popper, M. & Millar, L. (1997). *Managing Electronic Records*. London: IRMT.

- Popoola, S. (2000). Information and records management in a state primary Education Board in Nigeria. Lagos: Lagos Librarian.
- PSMD (2012). Public service records management policy. Lusaka: GRZ.
- Ricks, B., Swafford, A. & Gow, E. (1992). Information and Image Management: A Record System Approach. Cincinnati: South Western Publishing.
- Rowley, J. (2002). Using Case Studies in Research: Management Research News. 25(1), pp. 16-27.
- Saffady, W. (2011). Records and Information Management: Fundamental of Professional Practice. Kansas: Arma International.
- Singh, P., & Mishra, s. (2018). Record management in India: A deep dive in local authorities. Malda.
- Selltiz, C. (1962). Research Methods in Social Relations. New York: Cambridge University.
- Sharma, R., J. Prakash., and N. Jayal (2021). Disaster Management Practices in Indian Local Government Record Repositories. Springer.
- Shepherd, E. & Yeo, G. (2003). Managing records: a handbook of principles and practice. Facet Publishing.
- Shonhe, L. & Grand, B. (2018). A Service Delivery Improvement Strategy for a Records Management Programme: Journal of the Eastern and Southern Africa Regional Branch of the International Council on Archives. 16 August, 37, pp. 196-220.
- Smith, P. (1995). Introduction to Records Management. Australia: Macmillan Education.
- Smith, P. & Johnson, L. (2019). Records Disposal Policies in Local Governments: A UK Perspective. Routledge.
- Stephens, D. (1996). Records retention: Records Management in the United Kingdom. Records Management Quarterly, 30(1).
- Taylor, W., & Brown, A. (2019). The record management cycle. Houston.
- Upward, F. (2001). "Modelling the continuum as paradigm shift in recordkeeping and archiving processes, and beyond –a personal reflection. Records management journal, 115-139.
- Venter, L. (2004). The impact of the Provincial Records Management Capacity Building Project on the roll-out of integrated document and records management solutions. Cape Town, SA.
- Wade, E. (2014) 'Black Past Store'. Available at: <https://www.blackpast.org/global-african-history/places-global-african-history/lusaka-zambia-1913/>. Accessed on March 18, 2022.
- Wamukoya, J. & Mutula, S. (2005). E-records management and governance in east and southern Africa. Library & Information Science. 10(2), pp. 67-83.

Wang, Y., D. Wang. L.Zhang.,W. Sun (2018). Assessing the digital readiness of Chinese municipal governments: A case study of record creation processes. IEEE.

Western Australian Auditor General's Report (2019). Records Management in Local Government. Perth: Office of the Auditor General Western Australia.

Williams, P. (2006). Memorial museums: the global rush to commemorate atrocities. Oxford: Berg Publishers.

Wimmer, R., & Dominick, J. (2006). Mass Media Research: An Introduction. London: Cengage learning.

Yusof, Z. & Chell, R. (1999). The eluding definitions of records and records management: is a universally acceptable definition possible? Part 2: Defining records management. Records Management Journal, 9(1), pp. 9-20.

Yusof, Z. M. & Mokhtar, U. A. (2015). Records and Information Management: The Requirement for Functional Classification. Open Journal of social sciences. 3(3), pp. 1-3.

Yusuf, Z. & Chell, R. (1998). Records management education and training worldwide: a general overview of the current situation. Records Management Journal. 8(2), pp. 25-54.

Appendices

Appendix A: Questionnaire for council workers

THE UNIVERSITY OF ZAMBIA INSTITUTE OF DISTANCE EDUCATION

The Self-administered questionnaire for council staff

TOPIC: Evaluating the state of records management in the local government of Lusaka Province for improved service delivery: A case study of Lusaka City Council

Dear respondent, my name is Namasiku Mubiana, I am a student at the University of Zambia pursuing a Master of Library and Information Science. As part of the requirements for the award of the Master's degree, I am conducting a research on evaluating the state of records management in the local government of Lusaka Province for improved service delivery: A case study of Lusaka City Council. I am therefore requesting your assistance in filling up the questionnaire attached below.

The information you are requested to give is for academic purposes only and will be treated with maximum confidentiality as no identity will be revealed. You are therefore requested not to write your name or indicate your identity.

Kindly respond to the questions by expressing your view according to your experience.

Thanking you in anticipation.

Section A: Background information of respondents

Q 1. What is your age?

- a. 20-30 []
- b. 31-40 []
- c. 41-50 []
- d. 51+ []

Q 2. What is the highest level of education you have attained?

- a. Technical training []
- b. Certificate []
- c. Diploma []
- d. Bachelor degree []
- e. Master degree []
- f. Doctoral degree []

Q 3. What is your current job title?

- a. Record Officer []
- b. Registry Clerk []
- c. Senior Registry Clerk []
- d. Administrative Officer []
- e. Other (Specify).....

Q 4. How long have you been working at the Lusaka city council?

- f. 0-4 years []
- g. 5-9 years []
- h. 10-14 years []
- i. 15-19 years []
- j. 20 years and above []

Q5. What is your designation in this Department?

- a. Top Management []
- b. Middle []
- c. Lower []
- d. Subordinate []

Section B: Systems and Processes that have been put in place to manage records

Records capture/creation

Q6. The table below shows items related to records management, please choose of the options.

Questions	Yes	No	Not sure
Does the council have a written records management policy?			
If yes to the question above, are all employees aware of the records management policy?			
Is the policy reviewed at regular intervals?			
Do staff members manage records according to this policy?			
Do you have an electronic management system for capturing and storing records?			

Q7. What types of records does your municipality create more? Choose ONE of the options

- a. Paper-based records []
- b. Electronic records []
- c. Audio-Visual []
- d. All the above []

Records classification

Q8. How are the records filed and/or arranged?

- a. Alphabetical []
- b. Numeric []
- c. Alphanumeric []
- d. Other (specify).....

Q9. How often do you file the office records? Choose ONE of the options

- a. Daily []
- b. Weekly []
- c. Monthly []
- d. Other (specify).....

Records Storage

Q10. Where are records kept after creation?

- a. Offices []
- b. Registry []
- c. Other, please specify.....

Q11. Which of the following is used for storing paper records in municipality? Choose ALL that apply from the options.

- a. Computer []
- b. Metal shelves []
- c. Wooden shelves []
- d. Steel file cabinet []
- e. CD Rom []
- f. Flash drive []
- g. Off-site storage facility []
- h. Other (Specify).....

Records retrieval tools

Q12. Are records readily available when required?

- a. Yes []
- b. No []

Q13. Indicate the retrieval tool(s) used for locating records in your department. (**Choose all that apply**).

- a) Simple list []
- b) Register []
- c) Calendar []
- d) Color code []
- e) Index []
- f) Functional code []
- g) Other (please specify)

Q14. Indicate the time taken to retrieve records in your department.

- a) 1-5 minutes []
- b) 5-10 minutes []
- c) 10-15 minutes []
- d) 15-20 minutes []
- e) 20 minutes -1 hour []
- f) 1 hours + []

Q15. Which method of delivery is used to distribute records to users?

- a) Hand-to-hand []
- b) E-mail, fax or mail []
- c) All the above []
- d) Other (please specify)

Q16. Which of the following indicates the methods used to request files?

- a) Telephone call []
- b) Personal visit by action officers []
- c) All the above []
- d) Other (please specify)

Records Preservation and Disaster Management

Q17. Do you have artificial climatic control equipment installed in the storage areas?

- a. Yes []
- b. No []

Q18. If yes to Q11, which of the following do you use to control temperature and relative humidity in record storage area? Choose ONE of the options.

- a) Fans to ensure good air circulation []
- b) Use of dehydration agent []
- c) Use of dehumidifiers
- d) Air conditioning []
- e) All the above []
- f) Other (please specify)

Q19.

Questions	Yes	No	Not sure
Is there a fire detection and suppression system?			
Is there a disaster management plan in place?			
Have you experienced pest infestations in the record storage area?			

Q20. If you have ever experience pest infestation, which of the following pests have you experienced in the record storage area?

- a) Silverfish []
- b) Termites []
- c) Booklice []
- d) Bookworms []
- e) Rats []
- f) Cockroaches []
- g) Other (please specify)

Q21. How do you control pest infestations in the record storage area? Please select all the applicable options

- a) Use of insect repellent chemicals []
- b) Use of fumigation []
- c) Removing debris regularly []
- d) Thorough vacuuming of the record storage are []
- e) Use of traps []
- f) All the above []
- g) Other (please specify)

Records security

Q22. Indicate the security systems that are used in your department for protecting records.
(Choose all that apply)

- a. Managerial clearance []
- b. Personal coding []
- c. Password []
- d. Locked cabinet []
- e. Backup to external system []
- f. Database security []
- g. Other (Specify).....

Q23. Who has access to the records storage areas? Choose ONE of the options.

- a. Registry Officials []
- b. All council staff members []
- c. Authorized personnel []
- d. Other (Specify).....

Q24. How is the access to records storage areas controlled?

- a. Doors are always closed []
- b. Selected staff granted access []
- c. Access only granted to registry staff []
- d. Other (Specify).....

Disposition of Records

Q25.

Questions	Yes	No	Not sure
Does the municipality have records disposal policy?			
Is the disposal programme informed by a retention and disposal policy?			
Are developed policies and procedures followed in safely transferring records from active to inactive?			
In your opinion, is the retention and disposal schedule a useful tool in the management of records			

Q26. What guides you in determining, which record to destroy?.....

Section C: Knowledge about records management among staff

Q27. Do you have any formal qualification in records management?

- a. Yes []
- b. No []

Q28. Did you receive in-house training in records management?

- a. Yes []
- b. No []

Q29 .How often do you attend records management training? Choose ONE of the options.

- a. Once a year []
- b. Twice a year []
- c. More than twice a year []
- d. Never []
- e. Other (Specify).....

Q30. How would you rate your level of knowledge regarding record management?

- a. High []
- b. Medium []
- c. Low []
- d. None []

Section D: Extent to which records control influence service delivery

Q31. How would you rate the management of records at the council?

- a. Excellent []
- b. Good []
- c. Average []
- d. Poor []
- e. Very Poor []

Q32. To what extent do you think the management of records affects the following factors (statements) at the council?

Statements	(1) Great extent	(2) Moderate Extent	(3) Don't know	(4) Little Extent	(5) No effect
Improves accessibility and Retrieval of files and documents					
It enhances accountability and Transparency					
Enhances the quality of service offered					
It reduces the time used in delivery of Services at the Department					
Enables quick response to queries and complaints					
It motivates employees when they access and retrieve files easily					
It reduces on costs and time spent					

Section E: Challenges faced by Lusaka City Council officials in managing records

Q33. The table below shows some of the barriers/challenges to effectively manage record. Tick in the box to indicate your response.

Barriers /Challenge	A major challenge	A minor challenge	Not a challenge
Inadequate finance			
Lack of equipment and materials			
Unfavourable working conditions.			
Poor maintenance of culture			
Erratic power supply			
Lack of skilled personnel			
Inadequate storage facilities			
Lack of management plan			
No legislation			

Q34. In addition to the ones in the table above, what are some of the main challenges that you face in managing records in the council?

.....

.....

.....

.....

.....

Q35. In what ways could the management of records be improved at the Department?

.....

.....

.....

End of questionnaire!!!! Thank you for taking part in answering this questionnaire.

Appendix B: Interview guide

THE UNIVERSITY OF ZAMBIA INSTITUTE OF DISTANCE EDUCATION

Interview Guide

TOPIC: Evaluating the state of records management in the local government of Lusaka Province for improved service delivery: A case study of Lusaka City Council

Dear respondent, my name is Namasiku Mubiana, I am a student at the University of Zambia pursuing a Master of Library and Information Science. As part of the requirements for the award of the Master's degree, I am conducting a research on Evaluating the state of records management in the local government of Lusaka Province for improved service delivery: A case study of Lusaka City Council. I am therefore requesting your assistance in participating in this interview.

The information you are requested to give is for academic purposes only and will be treated with maximum confidentiality as no identity will be revealed. You are therefore requested not to give your name or indicate your identity.

Thanking you in anticipation.

Section A: Background Information

1. Date of interview.....
2. Place of interview.....

Section B: Systems and processes that have been put in place to manage records

Q9. Does the council have a written records management policy/strategy? (*Probe whether staff manage the records according to the policy*)

Q10. How are records created at the council? (*Probe for the types of records created, formats*)

Q11. Where are records kept after creation? (*Probe for records storage facility*)

Q12. How are records filed in the council?

Q13. Does the record-filing system make it easy to retrieve a file?

Q14. What retrieval tools do you use to retrieve records?

Q15. How does the council ensure the safety and security records?

Q16. Does the council have a disaster management program?

Q17. In the event of a fire, flood or other natural disasters can you explain how the records would be safeguarded?

Section D: knowledge about records management among staff working in the registry

Q18. Is the number of registry officers sufficient to deal with records?

Q19. Do all staff in the records management section or registry have sufficient training in records management?

Q20. Do staff undergo regular staff development training in records management? (*Probe for the type of management training that the council has provided*)

Q21. Do you believe regular training for staff is necessary to realise the full potential of the management of records?

Section C: Records management and service delivery at the Council

Q22. What contribution if any does records management have on the service delivery provision?

Q23. Does records management contribute to good governance in the council?

Section E: Challenges faced by Lusaka City Council officials in managing records

Q24. What are some of the main challenges that you face in managing records in the council?

Q25. Is the council taking any step towards addressing the challenges faced in the management of records?

Q26. What suggestions can you recommend to help improve records management practices in the council?

End of interview, thank you for your participation!!!

Appendix C: Confirmation of Study



THE UNIVERSITY OF ZAMBIA DIRECTORATE OF RESEARCH AND GRADUATE STUDIES

Great East Road Campus | P.O. Box 32379 | Lusaka10101 | Tel: +260-211-290 258/291 777 Fax: (+260)-211-290
258/253 952 | E-mail: director.drgs@unza.zm | Website: www.unza.zm

APPROVAL OF STUDY

IORG No. 0005376
HSSREC IRB No. 00006464

09th May, 2024

REF NO. HSSREC-2024-MAY.-020

Ms. Namasiku Mubiana,
School of Education,
P.O.BOX 32379,
Lusaka.

Dear Ms. Namasiku Mubiana,

**RE: "AN EVALUATION OF THE STATE OF RECORDS MANAGEMENT
AMONGST LOCAL AUTHORITIES FOR IMPROVED SERVICE DELIVERY:
A CASE STUDY OF LUSAKA CITY COUNCIL"**

Reference is made to your submission of the protocol captioned above. The HSSREC resolved to approve this study and your participation as Principal Investigator for a period of one year.

REVIEW TYPE	ORDINARY REVIEW	APPROVAL NO. HSSREC-2024-MAY-020
Approval and Expiry Date	Approval Date: 24 th June, 2024	Expiry Date: 24 th June, 2025
Protocol Version and Date	Version - Nil.	24 th June, 2025
Information Sheet, Consent Forms and Dates	<input type="checkbox"/> English.	To be provided
Consent form ID and Date	Version - Nil	To be provided
Recruitment Materials	Nil	Nil
Other Study Documents	Questionnaire.	

Number of Participants Approved for Study		
----------------------------------------------	--	--

Specific conditions will apply to this approval. As Principal Investigator it is your responsibility to ensure that the contents of this letter are adhered to. If these are not adhered to, the approval may be suspended. Should the study be suspended, study sponsors and other regulatory authorities will be informed.

CONDITIONS OF APPROVAL

- No participant may be involved in any study procedure prior to the study approval or after the expiration date.
- All unanticipated or Serious Adverse Events (SAEs) must be reported to HSSREC within 5 days.
- All protocol modifications must be approved by HSSREC prior to implementation unless they are intended to reduce risk (but must still be reported for approval). Modifications will include any change of investigator/s or site address.
- All protocol deviations must be reported to HSSREC within 5 working days.
- All recruitment materials must be approved by HSSREC prior to being used.
- Principal investigators are responsible for initiating Continuing Review proceedings. HSSREC will only approve a study for a period of 12 months.
- It is the responsibility of the PI to renew his/her ethics approval through a renewal application to HSSREC.
- Where the PI desires to extend the study after expiry of the study period, documents for study extension must be received by HSSREC at least 30 days before the expiry date. This is for the purpose of facilitating the review process. Documents received within 30 days after expiry will be labelled "late submissions" and will incur a penalty fee of K500.00. No study shall be renewed whose documents are submitted for renewal 30 days after expiry of the certificate.
- Every 6 (six) months a progress report form supplied by The University of Zambia Humanities and Social Sciences Research Ethics Committee as an IRB must be filled in and submitted to us. There is a penalty of K500.00 for failure to submit the report.
- When closing a project, the PI is responsible for notifying, in writing or using the Research Ethics and Management Online (REMO), both HSSREC and the National Health Research Authority (NHRA) when ethics certification is no longer required for a project.
- In order to close an approved study, a Closing Report must be submitted in writing or through the REMO system. A Closing Report should be filed when data collection has ended and the study team will no longer be using human participants or animals or secondary data or have any direct or indirect contact with the research participants or animals for the study.

- Filing a closing report (rather than just letting your approval lapse) is important as it assists HSSREC in efficiently tracking and reporting on projects. Note that some funding agencies and sponsors require a notice of closure from the IRB which had approved the study and can only be generated after the Closing Report has been filed.
- A reprint of this letter shall be done at a fee.
- All protocol modifications must be approved by HSSREC by way of an application for an amendment prior to implementation unless they are intended to reduce risk (but must still be reported for approval). Modifications will include any change of investigator/s or site address or methodology and methods. Many modifications entail minimal risk adjustments to a protocol and/or consent form and can be made on an Expedited basis (via the IRB Chair). Some examples are: format changes, correcting spelling errors, adding key personnel, minor changes to questionnaires, recruiting and changes, and so forth. Other, more substantive changes, especially those that may alter the risk-benefit ratio, may require Full Board review. In all cases, except where noted above regarding subject safety, any changes to any protocol document or procedure must first be approved by HSSREC before they can be implemented.

Should you have any questions regarding anything indicated in this letter, please do not hesitate to get in touch with us at the above indicated address.

On behalf of HSSREC, we would like to wish you all the success as you carry out your study.

Yours faithfully,

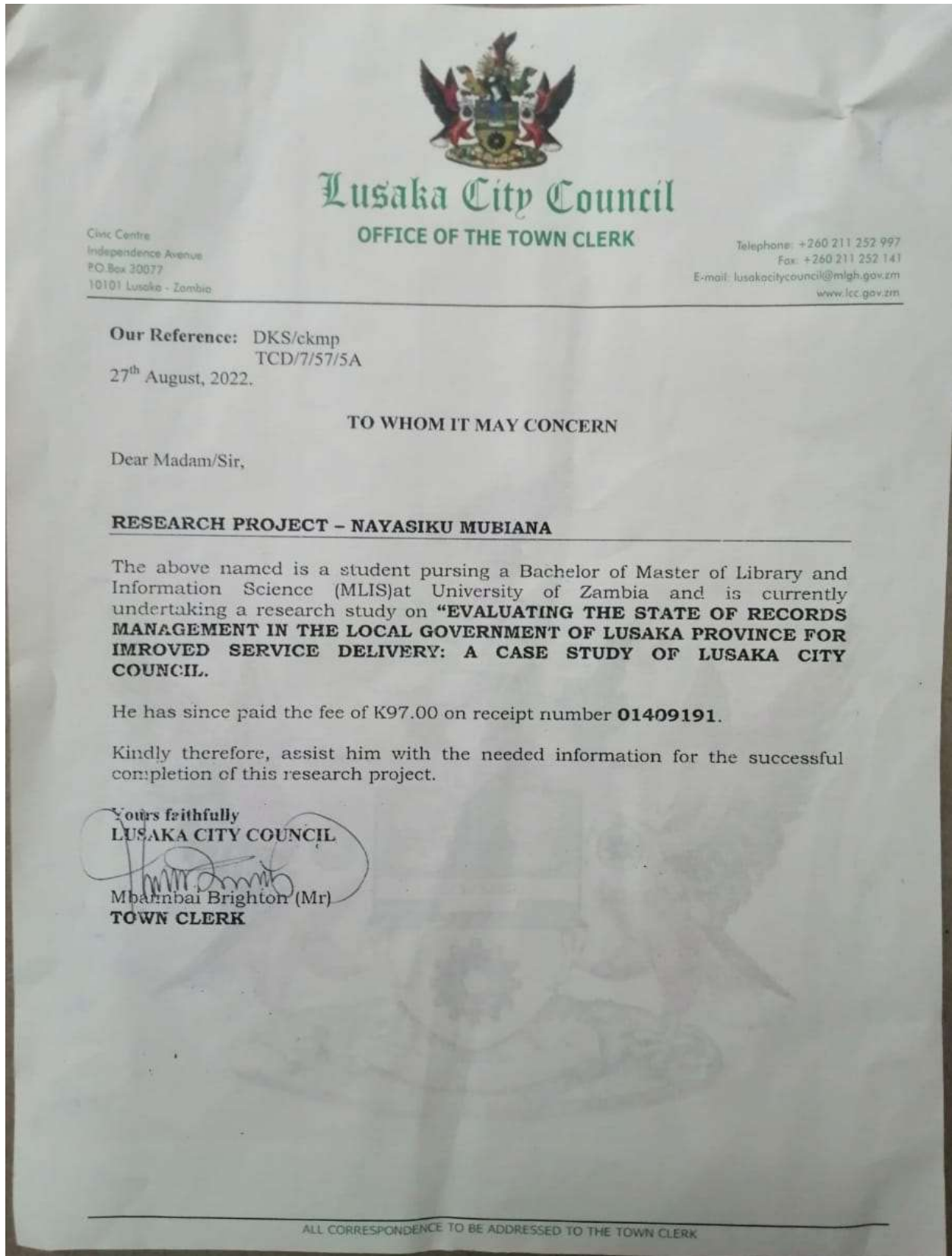
Dr. J. I. Ziwa

DR. J. I. Ziwa

**CHAIRPERSON
THE UNIVERSITY OF ZAMBIA HUMANITIES AND
SOCIAL SCIENCES RESEARCH ETHICS COMMITTEE - IRB**

cc: Director, Directorate of Research and Graduate Studies
Assistant Director (Research), Directorate of Research and Graduate Studies
Assistant Registrar (Research), Directorate of Research and Graduate Studies

Appendix D: Approval to Conduct Research



Lusaka City Council

OFFICE OF THE TOWN CLERK

Civic Centre
Independence Avenue
PO Box 30077
10101 Lusaka - Zambia

Telephone: +260 211 252 997
Fax: +260 211 252 141
E-mail: lusakacitycouncil@mlgh.gov.zm
www.lcc.gov.zm

Our Reference: DKS/ckmp
TCD/7/57/5A
27th August, 2022.

TO WHOM IT MAY CONCERN

Dear Madam/Sir,

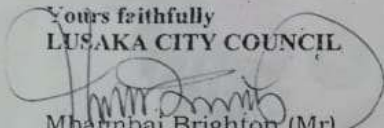
RESEARCH PROJECT - NAYASIKU MUBIANA

The above named is a student pursuing a Bachelor of Master of Library and Information Science (MLIS) at University of Zambia and is currently undertaking a research study on **"EVALUATING THE STATE OF RECORDS MANAGEMENT IN THE LOCAL GOVERNMENT OF LUSAKA PROVINCE FOR IMPROVED SERVICE DELIVERY: A CASE STUDY OF LUSAKA CITY COUNCIL.**

He has since paid the fee of K97.00 on receipt number **01409191.**

Kindly therefore, assist him with the needed information for the successful completion of this research project.

Yours faithfully
LUSAKA CITY COUNCIL


Mbatimbi Brighton (Mr)
TOWN CLERK

ALL CORRESPONDENCE TO BE ADDRESSED TO THE TOWN CLERK