

**THE ROLE OF RECORDS MANAGEMENT IN SUPPORTING LOCAL  
GOVERNMENT REFORMS PROGRAMME AT DAR ES SALAAM CITY  
COUNCIL, TANZANIA**

**BY**

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Sciences (Records and Archives Management)**

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**DEDICATION**

This work is dedicated to my late father William Ndaró Nyakabhi, my Mother Astelia Kuruchumila Ndaró, my beloved wife Berikiah (Hellen) and our children: Nyamisi, Nyabhundo, Nyakuruchumila, and Ndaró junior.

## ABSTRACT

Records management is a key driver in increasing organizational efficiency and offers significant business benefits to reforms in Dar es Salaam City Council, Tanzania. Tanzania has experience breakdown of recordkeeping systems in Local Government Authorities (LGA). Most of the LGA offices manage their records in an unsystematic way to warrant their continuous use in supporting the Local Government Reform Programme (LGRP) instituted in the early 2000.

The aim of the study was to investigate the role of records management in supporting local government reforms programme (LGRP) at Dar es Salaam City Council, Tanzania and propose a records management framework for implementation of reforms in Dar es Salaam City Council.

The specific objectives of the study were to: Establish the nature and purposes of records management reforms in Dar es Salaam City Council offices and their effectiveness in implementation of LGRP ; determine the methods used by RAMD Staff in addressing the records management issues during implementation of LGRP; establish measures taken by Dar es Salaam City Council management to sustain records management reforms; identify records management challenges experienced by Dares-Salaam City Council management in the implementation of local government reforms and suggest appropriate strategies that would help to address challenges identified by the study.

The study was informed by Frank Upward (1997) Records Continuum Model. Purposive sampling technique was used at various stages of the research process to collect data from 93 respondents namely Directors, Assistant Directors, Action Officers, RMA staff, RAMD staff, LGRP staff, PMs Office Staff and other records users. The data was collected through interview schedules supplemented by observations. Data was presented and analyzed qualitatively.

It is evident from the study findings that despite the efforts made by the government of Tanzania, donor community, and records management professionals; much work still needs to be done to sustain the reforms. The study recommend Dar es Salaam City Council Management to; design records management policies and procedures, train registry staff, educate and sensitize record users; upgrade records centers and archival repositories, manage the transition from paper records to electronic records as well as monitor and evaluate the implementation of records management programs. The study had proposed records management model for Dar es Salaam City Council to support effective implementation of LGRP.

It is hoped that, the recommendation of the study will assist the Dar es Salaam City Council to design effective recordkeeping system aimed at sustaining LGRP in collaboration with RAMD Management.

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## LIST OF ABBREVIATIONS

**HDPT**- Head of Department

**ICA** – International Council on Archives

**IRMT** – International Records Management Trust

**LGA** – Local Government Authorities

**LGRP** – Local Government Reforms Programme

**NGO** – Non- Governmental Organization

**NPM**- New Public Management

**OS** – Office Supervisor

**PMs** - Prime Ministers' Office

**QDA** - Qualitative Data Analysis

**RMA**- Records Management Assistant

**RAMD** – Records and Archives Management Division

**RMR** – Records Management Reforms

**UNESCO** – United Nations Education, Scientific, and Culture Organization

**RMP** – Records Management Programme

## DEFINITION OF KEY TERMS

**Accountability:** an aspect of governance which acknowledges and assumes responsibility for actions, policies. and decisions in Local Government Authorities (IRMT, 1999)

**Archives:** Records usually but not necessary non-current records of continuing value selected for permanent preservation or an institution responsible for the acquisition, preservation and communication of archives (IRMT, 1999)

**Good governance:** Is a process of decision making, whereby the decision are implemented in a participatory , consensus oriented, effective and efficient, equitable and inclusive manner, and follows rule of law (IRMT, 2005)

**Local government:** A council, which is elected by the people (Local government system in Tanzania, 2007)

**Recordkeeping:** making and maintaining of complete, accurate and reliable evidence of business transactions in the form of recorded information (IRMT, 1999)

**Records:** document regardless of form or medium created, received, maintained and used by an institution (public or private) or an individual in pursuance of legal obligations or in the transaction of business of which they themselves form a part or provide evidence (ISO, 2001)

**Records management:** the field of management responsible for the efficiency and systematic control of creation, receipt, maintenance, use, and disposal of records, including processes for capturing and maintenance of and information about business activities and transaction in the form of records (ISO, 2001).

**Records management reforms:** in the context of this study, records management reforms is considered as one of the local government reform program aim at improving access and flow of information, a pre-requisite for timely, efficiency and effective informed decision making and local government authority service delivery (Local government system in Tanzania, 2007)

**Transparency:** in the context of this study, refers to the quality or state of being clear and open towards achieving good governance (IRMT, 2005).

## CHAPTER ONE:

### BACKGROUND TO THE STUDY

#### 1.0 Introduction

This chapter discusses background information to the study. It provides an overview of records, characteristics of records, records management and local government reforms in Tanzania. It provides background information on Dar es Salaam City Council as one of the local government authorities under the Office of the Prime Minister. The chapter provides statement of the problem, aim and objectives, research questions and significance of the study. Other areas include scope and limitations of study and ethical considerations. Each of these aspects is presented in the following discussion.

#### 1.1 Concept of Records

Records are vital resources in fostering development in any nation and they serve as a benchmark by which future activities and decisions are made. They document fundamental rights and obligations and differentiate the rule of the law from actions of arbitrary states (World Bank, 2007).

The World Bank (2007) points out that, in the absence of records, there is no accountability, transparency and even rule of the law and decisions made may be based on an ad hoc without the benefit of an institutional memory. Further, fraud cannot be proven and meaningful audits cannot open to review. The citizen cannot be able to access information upon their rights and entitlements and hence no claims and contributions upon the countries development.

In exercising the rule of the law, the government depends on records of the legislature, courts, police and prisons. For accountability, the government will depend on policy files,

budget papers accounting records, procurement records, personal records, tax records, customer records and the electoral register. For entitlement, the government depends on pension records, birth and death records. Moreover, the production of social services such as education, health and water facilities need records to be in place (Worlds Bank and IRMT, 2000).

Shepherd and Yeo (2003) state that every organization needs to keep records that are used in the conduct of current business, decision-making and taking action. The authors further argue that organizations require information of precedent or previous action on a given matter to enable informed decision-making. From this observation, Shepherd and Yeo (2003) have emphasized the need for good recordkeeping towards supporting the organization's activities and processes. Availability of information contained in records is critical for survival of any organization. Thus, an organization needs to establish efficient and effective systems for controlling and managing records.

Similarly, Roper and Millar (1999), observe that good recordkeeping is a fundamental activity in public administration. Administrators depend on records to carry out the most basic functions. They call for the information in order to support plans, formulate policies, organize and coordinate human, technological and financial resources. Roper and Millar (1999) further opine that, information is needed by citizens for protecting their individual rights, to monitor the government functions, and to make informed decisions about national priorities. Besides, public services are incapacitated when inadequate information systems affect the delivery of government programmes. All aspects of public services, including local government, health, education, land and judicial rights depend on well-kept and well-managed records.

Without records, the country may result into persistent corruption, fraud and less accountability in daily office activities; and provision of social services such as education and health become inefficient and ineffective (Roper and Millar, 1999).

The International Standards Organization, ISO 15489-1(2001) defines records as information created, received and maintained as evidence and information by an organization or persons, in pursuance of legal obligations in the transaction of business. The definition is shared by a number of scholars, who contend that a record can be in any media, paper, electronic or microfilm (Ngulube, 2001; Shepherd and Yeo, 2003; Shepherd and Yeo, 2006)

The International Council on Archives, ICA (2005) Committee on Electronic Records, describes a record as recorded information produced or received in the initiation, conduct or completion of an institutional or individual activity and that comprises content, context and structure sufficient to provide evidence of the activity. This study adopted the ICA definition of a record as defined above as it covers both paper and electronic records in this digital era.

### **1.1.1 Characteristics of good records**

International Standards Organization, ISO 15489-1(2001) pointed out that; a record should correctly reflect what was communicated or decided or what action was taken. It should be able to support the needs of the business to which it relates and be used for accountability purpose. Further, a record must be authentic, reliable, integrity and usable as presented below;

- **Authentic**

One that can be proven to be

- To be what it purports to be;
- to have been created or sent to the person purported to have created or sent it, and
- to have been created or sent at the time purported
- **Reliable**

One whose contents can be trusted as a full and accurate representative of transactions, activities or facts to which they are attesting and can be dependent upon in the course of subsequent transactions activities.

- **Integrity**

Integrity of records refers to its being complete and unaltered. A record should be protected against unauthorized alteration: This can be done in presence of policies and procedures, which specify the authority to delete, create and add.

- **Usability**

One that can be located, retrieved, presented and interpreted. It should be capable of subsequent presentation as directly connected to the business activity or transaction that produced it.

### **1.1.2 Records management**

There is no universally accepted definition of the term “records management” and this is an indication that the discipline of records management is dynamic (Yusof and Chell 1999). However, ISO 15489-1: (2001) issued by International Standard Organization defines records management as "The field of management responsible for the efficient and

systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records".

Tough and Moss (2006) define records management as the systematic and administrative control of the records throughout their life cycle to ensure efficiency and economy in their creation, use, handling, control, maintenance and disposal.

According to Ngulube (2001), records management is concerned with the creation, organization, storage, distribution, retirement and final disposition of records irrespective of their form and media.

Moreover, the National Archives of the South Africa (2006) define records management as a process of ensuring the proper creation, maintenance, use and disposal of the records to achieve transparent and accountable governance.

Sound records management ensures that all the records that government bodies create in the conduct of their official business are reliable, and remain authoritative and authentic. All of the elements for effective development depend upon an effective records management infrastructure. Without a records management infrastructure, governments and organizations are incapable of effectively managing current operations, and have no ability to use the experience of the past for guidance (Tough and Moss, 2006).

### **1.1.3 Benefits of records management**

Government of South Australia (2005) cited by Kemoni (2008) notes that there are a multitude of benefits that can be expected from agencies and authorities with sound records management such as:

- Ability to mitigate the considerable risks associated with inadequate records management practice, specifically; accountability, transparency, sound corporate governance, and public sector efficiency.
- Compliance with statutory requirements.
- Ability to provide enterprise-wide access to documents, records and information resources contained within multiple databases.
- Ability to manage electronic documents and records as inviolate and credible evidence.
- Knowledge of fundamental records management practice and how they relate to Freedom of Information Privacy principles.
- Increased productivity and individual accountability.

The benefits of effective records management include supporting efficient joint working and information exchange, facilitating evidence-based policy making and supporting the administration of data protection principles and effective implementation of freedom of information and other legislation through good organization of records. Other benefits include supporting accountability by providing reliable records of actions and decisions and knowledge management across sectors of government by making reliable information available for sharing, extraction and summarization (Blake, 2005; Kemoni and Ngulube, 2008).

According to IRMT (1999), records management is a key driver in increasing organizational efficiency and offers significant business benefits namely:

- Improves the use of staff time by reducing the time spent looking for information
- Facilitates the sharing of information.
- Reduces the unnecessary duplication of information.
- Identifies how long records need to be kept before they can be destroyed, or transferred to the National archives
- Identifies how long records are needed and by doing so identifies those records that are needed in the medium term and long term.
- Supports risk management and business continuity planning.

Kemoni, Ngulube and Stilwell (2007) observed that, records are required for developing and implementing policies, planning, keeping track of actions, achieving consistency in decision making, providing effective service to citizens and achieving greater efficiency.

Regarding public service delivery, Kemoni (2007) states that, records management is the key to public service delivery. Without proper records management, transparency in the public service would be heavily compromised. Records are the known tools for demonstration of transparency and accountability as well as for manifestation of corruption and other irregularities in the public sector.

International Standards Organization, ISO 15489-1 (2001) states that, a systematic approach to the management of records is essential for organizations and society to protect and preserve records as evidence of transactions. A records management system results in a source of information about business activities that can support subsequent activities and business transactions.

According to Gorrod (2004), without good records management systems in place, local government authorities will be exposed to risk like service delivery and failures in enforcing compliance with existing regulatory framework. These risks are usually exacerbated by weak information and records management systems and practices. Gorrod's (2004) opinion is also shared by Borodzicz (2005), Mlabwa (2004) and Richard (2006) all of whom contend that effective records management is the foundation upon which institutions can demonstrate legal compliance, regulatory compliance, high standards of corporate governance and sustain operational benefits to an institution through the reduction of overheads, the protection of assets and the streamlining of business process.

From the foregoing, the relationship between records management and LGRP can be well understood considering the crucial role of information in the services delivery within LGA. This is because local government reforms programme operations strongly depend on information, which is held in records, any weakness in records management is bound to expose the LGA to more risk.

## **1.2 Nature of the Local Government Reforms Program in Tanzania**

The Local Government Reform Programme (LGRP) in Tanzania aims to improve performance by local governments, build their capacity, and promote decentralization by devolution (the transfer of powers, functional responsibilities and resources from central to local government) (Booklet 1, Local Government Reform Secretariat, 2007). It began to be implemented with six components. However, after implementation and particularly after the government/Donor review of 2001, the reform components (now referred to as outcome areas) were increased from six to eight with interlocking philosophy depicting outcome

areas. According to Booklet 1, Local Government Reform Secretariat, (2007), the objectives of the LGRP are to:

Make ‘wananchi’ aware of the programme so that they can participate in its implementation

- Increase efficiency in service delivery
- Increase revenues and promote financial management
- Increase efficiency in implementing the reform and promote accountability of the staff
- Facilitate the enactment of laws which will guide the implementation of the programme
- Facilitate capacity building of the ministry responsible for local government
- Co-ordinate sectors implementing the reform at council level and
- Monitor the implementation processes of the reform.

The local government reform vision is to increase service provision to the people and create a more democratic and participatory government system (Booklet 2, Local Government Reform Secretariat, 2007). Further, the local government reform is guided by several important government policy statements and is now being introduced through a new legislation.

The main principle of the reform was outlined in the government’s policy paper on local government reform, Ministry of Regional Administration and local government, published in

March 2002 namely “The local government reform programme in Tanzania – country experience”: These principles include:

- Letting people participate in government at the local level and elect their own councils;
- Bringing public services under the control of the people through their local councils;
- Giving local councils power over all local affairs (but not on issues of national importance);
- Improving financial and political accountability (fight against corruption and mismanagement). Popular participation is supposed to increase transparency of the financial management of the councils and thus improve accountability;
- Securing finance for better public services in the local communities;
- Creating a new local government administration, where the staff is answerable to the local councils;
- De-link local administrative staff from their former ministries, which means that they will be accountable to the councils;
- Creating new central-local relations; based not on orders, but on legislation between central and local authorities. Sector ministries will facilitate local authorities and will formulate policies within their respective sectors.

### 1.2.1 The Reform Strategies

The main reform strategy was to bring government and public services down from the central level to the grass roots level where people live and work. Local taxpayers should feel that they get something from their taxes and other charges. Decentralization should introduce a system of government of the people and for the people.

The local government reform is carried out in accordance with a strategy, which introduces gradual steps in the direction of decentralization. The goals are quite clear, but the means utilized are a bit more cautious. The following major reform components will only be introduced in a gradual way: (Local Government Act, No.8 of 1982)

- Central government grants will, in the beginning, be based on earmarked support to the major service sectors (education, health, water, roads and agriculture), and there will only be small grants for decentralized development projects and unconditional, i.e. non-earmarked Brock grants to the local councils.
- The local council and committees under the council will be in a much stronger position to identify and execute policies, which reflect the priorities of the local councils and the local communities.

The programme had six components that contributing to the achievement of the overall goal.

The components and their respective objectives are listed below:

- Governance: to establish broad community awareness of the participation in reform process and promote principles of democracy, transparency and accountability.

- Local government restructuring: to enhance the effectiveness of LGA in the delivery of quality services in a sustainable manner.
- Finance: to increase the resources available to local government authorities and improve the efficiency of their use.
- Human resource development: to improve the accountability and efficiency of human resources used at local government level.
- Institutional and legal framework: to establish the enabling legislation which will support the effective implementation of local government reforms and
- Program management: to support the effective and efficient management of the overall LGRP and in particular work of the local government reform team.

The local government reform strategy was to include all the important dimensions of local government in the reforms. New laws and regulations have been passed and issued by the parliament and the ministry. After a few years, all these various laws and regulation will be included in a new, comprehensive local government Act to be passed by parliament.

The three main areas of local government, namely politics, administration and finances are forming key aspects of any local government activities. The inclusion of all these three areas in the local government reform programme indicates that the reform is thorough and comprehensive. There was thus a simultaneous move towards political, financial and administrative decentralization.

- **Political decentralization**

Political decentralization was introduced to ensure empowerment of councils, participation of the people in elections, public hearings information and debates. The reforms require political accountability to be decentralized. Councils and standing committees will be the governing bodies. Powers and function will have to be decentralized further to the grass roots level.

- **Financial decentralization**

Transfer of government grants will enable councils to deliver services in an equitable way to the local population. The grants will consist of conditional and unconditional block grants and, at a later stage, equalization grants. Gradually, local tax administration will be improved. Development funds, which are today mostly controlled by the sector ministries, will to a much higher extent be decentralized.

- **Administrative decentralization**

It provides the councils with powers to establish an efficient and cost-effective administrative arm of local government. All local government staff will be accountable to the councils, and local government plans and staff plans will be discussed and passed by the councils.

### **1.2.2 Records Management and Local Government Reforms Programme**

Records management is key to the overall design of Local Government Reforms Programme (LGRP) (Manning, 2002)). Further, the formality and discipline of any sort of reform programme is recognized in the areas where records management is fundamental. The personnel issues such as recruitment, promotion and pay arrangements are based on ability to

access records about individuals and budget management. Hence, records management reform is one of the key aspects in LGRP.

Frost (2002) equated the absence of proper records management and information mechanisms to identifiable viruses contributing towards poor performance in the Local Government Authority (LGA). The author points out that in commonwealth countries, the effective operation of LGA is based on records management and information systems. All local government departments, local planning functions and local personnel agencies need information systems that will assist in making decisions and delivery of services. Thus without proper information and records management, there is no proper service delivery to local government authority. Further, the absence of records leads to catastrophe of deficits in terms of capacity, and lack of transparency and corruption. Therefore, information and records in management systems are the central functions that contribute to the woOrking of the civil service.

### **1.2.3 Role of Records and Archives Management Division (RAMD) in supporting local government reforms in Tanzania**

An essential part of accountability is to assign to the National Archives, legislated responsibility for the management of records throughout their life-cycle. A National Archives is and should be recognized as an administrative unit of government able to improve efficiency, ensure accountability and reduce public expense through the effective management of records (Millar, 2003). National archival institutions as the centralized agencies for official records in their countries are mandated to facilitate the proper management of public records so that the information contained in them remains accessible (Ngulube and Tafor, 2006).

The Government of Tanzania has taken some measures to provide administration and better management of public records and archives throughout their life-cycle through the National Archives of Tanzania under the RAMD (Manyambula, 2007; Word Bank and IRMT, 2002). As a means of strengthening the department and giving greater visibility and wider inter-ministerial powers to oversee records management activities throughout the civil service, the National archives was transferred from the Ministry of Education and Culture to the President's Office, Public Service Management (Manyambula, 2007; Mnjama, 2005). This effectively brought the management of all registries under the umbrella of the National Archives.

Records and Archives Management Division (RAMD) is mandated, under the Records and Archives Management Act No. 3 of 2002, to provide records and archives management services to the public service. RAMD is responsible for oversight of records management and archiving.

The division (RAMD) is charged with promoting records management and archives services to the general public, preservation of local government records, promotion of records management to the general public; introduction of modern records management systems in the councils so as to increase local government efficiency and accountability; provision of advice to LGA on best recordkeeping practices and standards. Its other activities include establishment and implementation of retention schedules and procedures for the timely disposal of council records of no continuing value; and establishment of vital records protection programmes as part of disaster preparedness.

It is important to note that the Records and Archives Management Act, No.3 of 2002 not only delineates responsibility but also provides for the inspectorate role of the RAMD.

RAMD provides the main repository of the government records and is also responsible for the management of public records including LGA records throughout their lifecycle. RAMD through PO-PSM as a department is expected to enhance: the provision of efficient administrative services to the government; efficient and effectiveness in the civil service operations; good governance; and the delivery of services to the public including local authorities at large.

#### **1.2.4 Dar es Salaam City Council**

This section presents the location and geographical characteristics, historical background, vision and mission, structural and functions of Dar es Salaam City Council.

##### **➤ Location and geographical characteristics**

The City of Dar es Salaam lies between 6 and 7 degrees south of the Equator on the West Indian Ocean coastline. Dar es Salaam is one of the East African big Cities that cover an area of 1800 square kilometers. The City region enjoys a warm tropical coast climate with mean annual temperature of 26°C and average annual rainfall of 1000mm (City Document, 2008).

##### **➤ Brief historical background**

Dar es Salaam is popularly believed to mean “the harbour (or haven) of peace from the Persian –Arabic Bandar-ul-Salaam (Swahili – Bandari ya Salama). Other contemporary records of the City in 1860’s rendered the name simply as Dar es salaam meaning “the house (or Abode) of peace or salvation”. The name was originally chosen by the City’s founder Seyyid Majid Sultan of Zanzibar in 1862.

The City's birth was not the result of a slow organic growth but of a 'grand design'. However, it is not clearly known whether the 'grand design' was conceived entirely by Seyyid Majid himself or it was influenced by foreign diplomats and or European missionaries who were optimistic of expanding their interests in east Africa (City Document, 2008).

➤ **City Vision and Mission**

**City vision:** "To build Dar es Salaam to be a city with sustainable development, managed on the principles of good governance where residents do not live in poverty and have decent standards of living and a city with a competitive environment which attracts investors"

**City mission:** "To use all available resources augmented by the participation of stakeholders to provide quality and accessible service by all, reduce poverty, and achieve a high sustainable economic growth and excellent amenities, which will attract and retain private and public investments" (City Council Document, 2004).

➤ **Structure and administration of the City of Dar es Salaam**

Dar es Salaam was declared a Township in 1920 and was later upgraded to Municipality in 1949. Dar es Salaam acquired City status in December 1961 and was administered by the Dar es Salaam City Council until 1972 when the government of Tanzania abolished all Local Government Authorities in favor of the decentralized system of central government. (City Council Document, 2004 and 2008).

The Local Authorities, including the urban authorities were reinstated in 1978.

In 1992, a Commission of enquiry was set up to investigate the underperformance of the City Council in service delivery. It revealed structural and management weaknesses and recommended dissolution and restructuring of Dar es Salaam City Council.

The commission ceased in January 2000 and the new administrative structure was put in place. According to the new structure, Dar es Salaam City has four local authorities; three municipal councils (Ilala, Temeke, and Kinondoni) and the Dar es Salaam City Council (City Document, 2008).

➤ **Functions of the City Council**

The City Council performs a coordinating role and attends to issues that cut across all the three municipalities (City Document, 2008).

. The functions of the Dar es Salaam City Council are:

- To coordinate the powers and functions of the three Municipal authorities regarding infrastructure
- To prepare a coherent city-wide framework for the purpose of enhancing sustainable development
- To promote co-operation between the City Council and/or amongst Local Government Authorities within the city area
- To deal with all matters in which there is interdependency among the municipal authorities
- To support and facilitate the overall performance of urban authorities

- To provide peace, security and emergency services such as fire prevention and control, ambulance and auxiliary police
- To perform major functions relating to protocol and ceremonies.

➤ **Functions of the Municipal Councils**

Municipal Councils are responsible for primary and partially secondary education especially where the community is involved, primary health care, City waste management and cleanliness, district roads, water supply, trade and informal sector development, forestry, fisheries recreational parks and urban planning (City Council document, 2004).

### **1.3 Statement of the Problem**

Local government programs in Africa are plagued by various problems due to ineffective registries and national archival institutes (Mnjama, 2005; Ngulube and Tafor 2006). Beside the problem of managing local government records management development; also, the traditional support for recordkeeping system of local governments' office in Africa is weak.

Like many other developing countries, Tanzania has experienced breakdown of recordkeeping systems in Local Government Authorities (LGA). Most of the LGA offices manage their records in an unsystematic way to warrant their continuous use as a development resource. Reports of lost files, missing and misfiling of records, lack of consistent records management procedures and inadequate training of records management staff are described as a common feature in Dar es Salaam City Council offices (City Council document, 2004).

Local Government Reforms Programme (LGRP) was instituted in 1997. The first phase that involved 38 selected local government authorities was implemented in 2000. The overall objectives of the LGRP were to improve the quality of, and access the public services provided through or facilitated by local government authorities.

Restructuring of records and archives services which refers to a process of reorganizing the control, functions, processes, and systems of records and archives management in LGA to make them more efficient and effective in the delivery of local services have been conducted.

With some successful outcome to phase one, there were some noted problems and challenges that related to the attainment of various objectives due to the lack of required records (PO-PSM, 2005). This being the situation, LGRP realized that records management should be improved and included in the programme as a key component of the reform. Further, the LGRP recognized records management projects as supporting and sustaining all other aspects of the reform programme. The Records and Archives Management Division (RAMD), formerly Tanzania National Archives (TNA) was authorized to undertake registry staff training, decongestion and restructuring in various Municipals, District Council and Town Council offices depending on their planned annual budget.

Since these reforms in records management were instituted upon the programme there had been no research done to on how records management facilitates the six components of the programme, namely, governance, local government restructuring; finance; human resource development; institution and legal framework; and programme management as the major goals of the reform at Dar es Salaam City Council.

The current study set out to investigate the role of records management in supporting local government reforms programme at Dar es Salaam City Council, Tanzania and subsequently submit appropriate recommendations and propose a records management framework to improve the situation.

#### **1.4. Aim of the Study**

The aim of the study was to investigate the role of records management in supporting local government reforms programme (LGRP) at Dar es Salaam City Council and propose a records management framework for implementation of reforms in Dar es Salaam City Council.

##### **1.4.1 Objectives of the study**

The specific objectives of the study were to:

- Establish the nature and purposes of records management reforms in Dar Salaam City Council offices and their effectiveness in support of LGRP
- Determine the methods used by RAMD Staff in addressing the records management issues during implementation of LGRP
- Establish measures taken by Dar-es-Salaam City Council management to sustain records management reforms
- Identify records management challenges experienced by Dar-es-Salaam City Council management in the implementation of local government reforms and
- Suggest appropriate strategies that would help to address challenges identified by the study.

### 1.5 Research questions

In order to address the research objectives, the study was guided by the following research questions:

- How current records management practice support local government reforms?
- What records management advices given to Dar es Salaam City Council management by RAMD staff in support of LGRP?
- What records management challenges are faced by Dar es Salaam City Council Management during implementation of records management reforms?
- How can the identified records management challenges be addressed?

### 1.6 Assumptions of the study

The study was based on the following assumptions:

- Although RAMD provided records management advice to Dar es Salaam City Council, the advice have not been implemented in support of LGRP.
- Although RAMD staff provided records management advice to Dar es Salaam City Council, it has not been sufficient to support the implementation of LGRP
- Although the Dar es Salaam City Council Management faces various records management challenges in the implementation of LGRP, it is possible to identify these challenges and come up with strategies to address them in the implementation of LGRP

## **1.7 Significance of the study**

The researcher felt that the study had theoretical, practical as well as policy formulation significance.

### **1.7.1 Theoretical significance**

- The study will contribute to the body of knowledge in the area of records management as it supplements other researches on records management and LGRP.
- It will be of relevant to students in Tanzania and other countries which are undertaking research in the area of records management

### **1.7.2 Practical significance**

- The study findings will help RAMD and Dar es Salaam City Council staff to work in a team so as to overcome the existing records management challenges
- Recommendations in this study will provide practical ways of improving records management hence effective implementation of LGRP.
- The study creates awareness on the importance and role of records management towards the implementation of LGRP in Tanzania.

### **1.7.3 Policy formulation**

- Lastly, it is expected that the study will assist the Dar es Salaam City Council to formulate records management policies, which would go along way in supporting the implementation and sustenance of LGRP.

## **1.8 Scope and limitation of the study**

### **1.8.1 Scope**

In terms of scope, the study was limited to Dar-es-Salaam City Council area within the Dar-es-Salaam region in Tanzania. All the entire department under the Dar-es-Salaam City Council was involved (i.e. Human resource and personnel, accounts and finance, policy planning and development, local government reforms programme and social community development).

The study focused on eight (8) categories of staff namely; Directors (i.e. Heads of Departments) and assistant directors as decision-makers; Action officers as users of records; Records management assistants as records keepers; RAMD staff as records officers and archivists; LGRP as reform programme experts; Prime Ministers' office staff and other records users as they are key informants within the Dar-es-Salaam City Council.

### **1.8.2 Limitation**

In the course of conducting this study, a number of limiting factors were experienced. One of the limitations was scarcity of relevant literature in the field of records management and LGRP in Tanzania. The researcher therefore had to use the scarce literature available including other resources outside the country.

Some respondents were reluctant to answer some questions which they felt were sensitive. The researcher convinced them that the information will only be used for the study and all responses will be treated with high degree of confidentiality.

## **1.9 Ethical considerations**

Despite the high value of knowledge gained through research, knowledge cannot be pursued at the expense of human dignity (Oso and Onen, 2008).

The major ethical issues of concern to the proposed study were the informed consent, privacy, and confidentiality, anonymity and researchers' responsibility (Oso and Onen, 2008). These ethical issues were addressed in the present study as indicated in the following discussion:

### **1.9.1 Informed consent**

The researcher acknowledges that, the respondents' willingness to participate in the study is based on the adequate knowledge of the study. The researcher provided the respondents with information related to:

- The purpose of the research
- The expected duration of participation and procedure to be followed
- Any benefits to the subject or participants
- Any unforeseen risk or discomfort to the respondent
- The extent of privacy and confidentiality

### **1.9.2 Privacy and confidentiality**

For the purpose of the study, privacy refers to persons. Participants had the right to keep from the researcher certain information about themselves. Confidentiality, on the other hand, concerned the data collected rather than people. It was concerned with those who were to have access to data.

### **1.9.3 Anonymity**

All participants in this research had the right to remain anonymous, that individual identities would not be a salient feature in the study. To ensure that the participants remain anonymous, the researcher avoided the use of employment role titles.

### **1.9.4 Researcher's responsibility**

Researcher was sensitive to human dignity.

The researcher presented the findings honestly and objectively after completion.

## **1.10 Summary**

The chapter has presented background information to the study, an overview on records, records management, nature of LGRP in Tanzania, reform strategies, records management and LGRP, role of RAMD in LGRP and Dar es Salaam City Council. It also defines statement of the problem, aim and objectives of the study, research questions, assumption of the study, significance of the study, justification of the study, scope and limitations, and finally ethical considerations.

## CHAPTER TWO

### LITERATURE REVIEW

#### 2.0 Introduction

This chapter reviews literature relevant to the study and discusses the theoretical framework upon which the study is based namely the Records Continuum Model. The literature review themes covered in this chapter include the value of records, aims and objectives, uses and benefits, guidelines for managing records, role of Records an Archives Management Division in managing public sector and LGA records in Tanzania, local government and LGA and finally recordkeeping and LGRP.

A Literature review is a thorough examination of established writings on a topic of study (Kombo and Tromp: 2006). It aims at exploring what other scholars or researchers have published on a topic. It helps to convey knowledge and ideas that have been established on a research topic.

A good literature is characterized by a logical flow of ideas, current and relevant references with consistent, appropriate referencing style; proper use of technology; and a biased and comprehensive view of the previous research on the topic (Kothari, 2004).

Stilwell (2000) and Kemoni (2008) opine that, a good literature review needs to indicate the different views, agreements, and trends of thought on the topic of research and be accurately portrayed and acknowledged in the text. It needs to produce a conceptual framework, including philosophical stances and theoretical assumptions and theoretical problems or contradictions; that is, the problems or issues set on the theory and structured around a clear focus on the research objectives. The essential requirements of a successful literature review

are its evaluation, as well as its citation of the field, and its attempt to relate the work(s) reviewed to the thesis itself, either directly or indirectly (Pearce, 2005 in Kemoni, 2008).

According to Taylor (2005) the main purpose of writing a literature, review is to convey to the reader what knowledge and ideas have been established on a topic, and what are their strength and weakness. Kemoni (2008) pinpoints that, the principle purpose of a literature review is to establish the academic and research areas that are of relevant to the subject of the research

According to Kombo and Tromp (2006) and Kemoni (2008), the importances of literature review in research include;

- Sharpens and deepens the theoretical foundation of the research by enabling the researcher to study different theories related to the identified topic.
- Gives the researcher insight into what has already been done in the selected field, pinpointing its strengths and weaknesses.
- Enables the researcher to know the kind of additional data needed in the study. This helps avoid duplication of work.
- Helps the researcher to develop a significant problem that will provide further knowledge in the field of study.
- Exposes the researchers to variety of approaches of dealing with the research issues, thus contributes to a well-designed methodology.

- Helps in developing an analytical framework or a basis for analyzing and interpreting data.
- It assists in the achievement of a critical analysis of the existing literature in the proposed research area,
- Enabling clarifying and framing research questions as it discovered what has been done and not done and
- It is useful in discovering research findings and how they relate to the existing appropriate literature.

A good literature review should put some factors into considerations. These important factors are the stages in literature review, elements of a literature review, and elements of a literature source (Taylor, 2008).

## **2.1 Theoretical framework**

The word theory has a number of distinct meanings in different fields of knowledge, depending on their methodologies and the context of the discussion (Douglas, 2008).

A number of authors have however presented definitions of the word theory both from a scientific or general viewpoint (Mugenda & Mugenda, 1999; Stoner et al, 2003; Kothari, 2004; Johnathan, 2005; Eagleton, 2008). The thrust of their definitions is that a theory is a set of hypotheses, assumptions, or propositions, logically or mathematically linked, offered as an explanation in general terms for a wide variety of connected natural observable phenomena.

Kombo and Tromp (2006) define a theoretical framework as “a collection of interrelated ideas” based on theories. It is a reasoned set of prepositions, which are derived from and

supported by data or evidence. A theoretical framework accounts for or explains phenomenon.

In common usage, the word theory is often used to signify a conjecture, an opinion, or a speculation that explain a group of observed fact in a particular field (Nonaka, 2005; and Eagleton, 2008). A theory generalizes about observations and consists of an interrelated, coherent set of ideas and models. Theories provide stable fact for understanding what we experience and provide criteria of determining what is relevant. For instance, the fact that the sun rises in the morning and sets in the evening can be explained by the Rotation of the Earth.

In science, Cleland (2006) indicates that a theory is a mathematical or logical explanation, or a testable model of the manner of the interaction of a set of natural phenomena, capable of predicting future occurrences or observations of the same kind, and capable of being tested through experience or otherwise falsified through empirical observations (Brullouin,2004). For example, it is a fact that Isaac Newton observed an apple drop on earth from apple tree. In this case, the dropping apple is the observed fact. From this observation, a theory that was developed to describe and explain this behavior is Newton's theory of Universal Gravitation.

In scientific research, Kemoni (2008) citing Cozby (2001) points out that, theories serve four purposes namely, description, explanation, prediction and control. Theories generates new knowledge and new hypothesis about behavior, which could be confirmed or contested through research, and research could reveal weaknesses in a theory and force researchers to modify or develop a new and more comprehensive theory.

### **2.1.1 Theories in records management**

Various theories have been advanced to support the management of records. Among existing theories in records management are the records lifecycle model, integrated records management model and the records continuum model (McKemmish, 1997 and Kemoni, 2008). These have been variedly referred to as models, standards, or theories by various authorities within the records management profession (Shepherd and Yeo 2003; Tough and Moss 2006).

According to Shepherd and Yeo (2003), all the models originate from the records lifecycle and records continuum approaches. Some models focus only on management of paper records, while others emphasizes to management of both paper and electronic records. Tough and Moss (2006) point out, however, that among record-keeping professionals, the lifecycle and the records continuum models have dominated discourse, while the lifecycle model being challenged or criticized by the records continuum model.

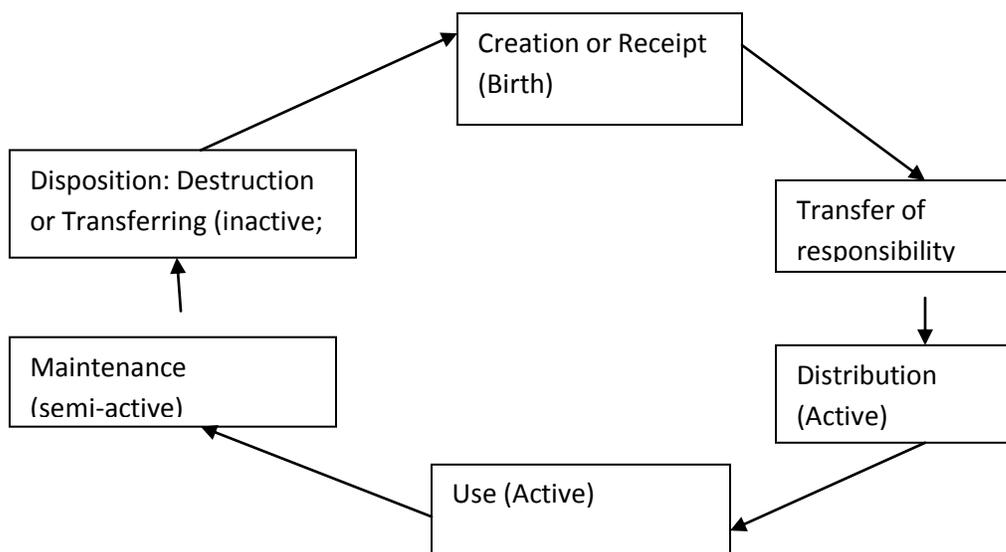
### **2.1.2 Records Lifecycle Model**

The lifecycle concept that is the platform of the lifecycle model for managing records, has been viewed by archivists and records management professionals, as “the most integrated and comprehensive approach to records management” (Akussah, 1996). This approach to managing records is still widely used all over the globe, and it is the primary model used within Canada and the United States to manage records throughout their lifetime.

The lifecycle model was created by American Archivist Theodore Schellenberg as a more efficient and authoritative way of managing physical records during the 1930’s and 1940’s (Shepherd & Yeo, 2003).

According to Millar (1997), the records lifecycle concept is an analogy of the life of a biological organisms, which is born, lives and dies. In the same manner, a record is created, used as long as it has continuing value and is subsequently transferred to national archives or destroyed. The records lifecycle concept has four phases, namely; creation, destruction, maintenance and use, and appraisal and disposition. Shepherd and Yeo (2003) observe that since the 1950's, many variants of the records lifecycle concept have been modeled, and most models aim to show a progression of action taken at different times in the life of a record: typically, its creation, capture, storage, use and disposal. Some writers show this as a linear progression, while others describe it as a loop or cycle (Fig.2.1).

**Fig: 2.1 Records Lifecycle Model**



**Source: (An, 2003)**

Records lifecycle had its own weakness though it influences the development of records and archives. The theory explains the existence and management of records as undergoing distinct life-cycle phases that can be viewed in two perspectives of age and use. The age

perspectives assert that records go through three stages of current, semi-current and non-current stages. The use perspective asserts that a record goes through the three phases of its usability that are active, semi-active, and non-active use. Because of this distinction of phases, it has been argued that the theory also demarcates the role of records managers and archivists and regards the stage when the archivist intervenes in the cycle occurring sometime toward end of the life cycle when the records becomes inactive and archival (Kent, 2002).

According to Xiaomi (2003), the lifecycle model uses a birth to death analogy to describe records as passing through a series of stages. It provides a fragmented framework for records keeping by: artificially dividing the mission of records and archives management, dismantling the responsibilities of records managers and archivists into divided roles, limiting ways of thinking about custody through narrow selection criteria, viewing records as tangible physical objectives in a paper world and static environment.

Yusof and Chell (2000) pointed out that Records lifecycle model is not applicable in managing electronic records due to its special characteristics hence needs to be replaced by another model as technology changes.

### **2.1.3 The integrated records management model**

Roper & Millar (1999) of the International Records Management Trust (IRMT) advanced the integrated records management theory. According to Roper & Millar (1999), it portrays a matrix of relationship between the records life cycle and records continuum models. This theory argues that records follow a life cycle and their care follows a continuum. This could perhaps be justified by the argument by Jay Artheton, while defending the continuum, when he says that the stages of records are interrelated, forming a continuum..." (Xiaomi, 2001).

The use of the word stages may allude to the existence of records in some stages (as argued by the lifecycle)

#### **2.1.4 The records continuum model**

The second major model for records management is the continuum model. The records continuum model was developed in the 1980s and 1990s, as a response to criticism of the lifecycle model. According to McKemmish (1997), the lifecycle model argues that there are clearly definable stages in recordkeeping, and creates a sharp distinction between current and historical recordkeeping. In addition to that, the lifecycle model sees records passing through stages until they eventually die, except for those chosen as archives.

Continuum model is defined in the Australian standard 4390 as “the whole extent of a record’s existence” (An, 2003). The model refers to a “consistent regime of management processes from the time of creation of records (and before creation, in the design of recordkeeping systems) through to the preservation and use of records as archives” (Flynn, 2001). Thus management of records in the continuum refers to full day-to-day management of records in the organization based on established programme, policies and procedures, under set up of physical resources and infrastructure and by the identified personnel and staff, from creation to disposition.

The continuum model as established itself in Australia as the prevailing model for recordkeeping, it has attracted much study and development from archivists and scholars in Australian institutions. The origins of the continuum model are said to be iterated by Ian Maclean, Australia’s first national archivist, who held the position from 1944-1968. He argued for the role of archivists to be actively engaged in the recordkeeping process, and for records management to be seen as a system, rather than a series of tasks or functions.

In the 1980's and 1990's, the continuum model was expanded upon and diagrammed. Jay Atherton, a Canadian archivist, contributed significantly to the development of the model. Atherton analyzed functions of records managers and archivists, and argued for some integration or unified approach to records. This would adapt the lifecycle model into a continuum of functions, reflecting the singular nature of records, and viewing them as a whole, rather than in chopped up stages. This model is based on the ways that records serve operational needs, as well as provide historical and evidentiary functions.

Atherton's model, which also drove the Australian development of the continuum, records are not viewed within a cycle of birth, classification, maintenance/use and disposition, neither are they divided into active and archived. He proposed four stages for documents: *Creation, Classification, Scheduling of the records, and the maintenance/use*. This invoked the archivist role within the continuum of activity (under classification and scheduling), while playing attention to the active service of the records, "All four stages are interrelated , forming a continuum in which both records managers and archivists are involved, to varying degrees, in the ongoing management of recorded information" (Atherton, 1985).

This proposal has been further refined and adapted, and according to Frank Upward, an Australian archivist, professor and theorist, it is currently taught in Australian Universities as the components of a rhythm: *create, capture, organize and pluralize* (Upward & MacKemmish, 1997).

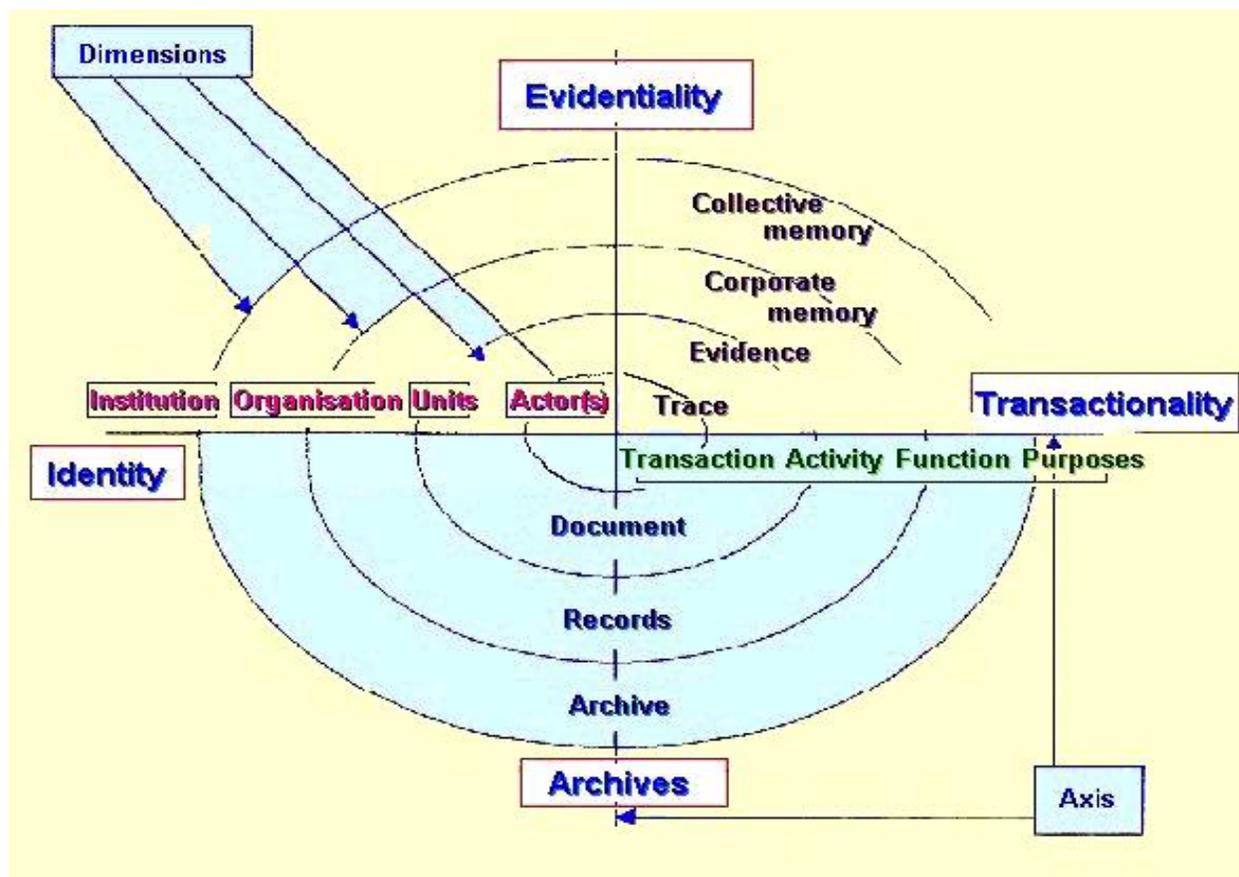
*Create*- this is the first dimension, and occurs when the document is created. It also describes the creation of the relationship between the author and the organization for which the record is created. The designation of the piece of data as a record occurs with its creation.

*Capture*- this is about the routine storage and linkage between the document and data systems that maintain integrity. This varies according to needs of workplace and technologies, and so is subject to the societal and transactional aspects on the record. Here is where metadata is created right away for purposes of maintaining the integrity of the document in whatever form or forms it is captured.

*Organize*- this takes documents to the point of access in anticipation of being used for transactional, evidentiary and memory purposes. For example, records would be available on ascertain their function.

*Pluralize*- expands access to the documents to the large societal functions. Electronic records are maintained and reviewed in the context of how they fit into current technology and distribution. The continuum model has been diagrammed (*Upward, 2000*) as follows.

Figure 2.2. Records Continuum Model



Source: *Upward (2000)*

This diagram contains four dimensions. The dimensions refer back to the four components of the rhythm, and the vectors create the continuum or functions through which the record flows.

- Dimension one involves the creation of documents – some will be work transactions; all will record some activity (i.e. they are transactional).

- As it passes into dimension two, the records capture, the recordkeeping system of the particular organization transforms the data or document into a record, fixes its content, structure and context within the system. The system for management of records is put in place, including policies for organization, identification, access and preservation. These institutions for management are attached to the record as metadata, which interacts with recordkeeping system.
- Dimension three represents the corporate function. The recordkeeping regime that has been established is now functional, and the record is used and treated within the system. If it has already been designated as a potential archives that decision is revisited and revisited as appropriate within the time of transactionality.
- Dimension four relates to the collective memory and maintaining the integrity and evidentiary functions of the document so that they are useful for the wider community record. Even then, the electronic records are managed by their original organizations, usually maintaining archival standards of authority.

The activities represented in this dimensions can take place over many years, sequentially or simultaneously and currently in real or virtual environments. Records are both current and historical from the moment of their creation.

There are four vectors or axes; recordkeeping/archives, authority/identity, transactionality and evidential. All interact to achieve a continuous, dynamic whole, which ranges over the four dimensions. Note that there are transactional functions captured within the vectors, such as individual, organizational and societal roles in which the records plays a part and is connected.

#### **2.1.4.1 Principles of the records continuum model**

The continuum model is based on the various principles of operation and retention (An, 2003). Firstly, the location of a record is far less important than its functionality and accessibility. Records are treated as logical (i.e. purposeful) rather than physical. For this reason, treatment of electronic records is more natural within this system than in a straightforward lifecycle system. It matters less whether the records are in a specific format, than whether they can be located.

The metadata about the record identifies its accessibility for memory, evidentiary and transactional purposes. The system stress functionality, so the record must be continually identifiable for purpose rather than for storage.

The third principle to recognize is that recordkeeping system must always take into account the role of the record within the organization or societal body that it is retained by. For example, if the organization is a corporation, records such as deeds of the land are retained because they have functionality within the organization. They may have another intrinsic value (for historical purposes within a large community) but their capture (or classification) needs to relate to their function first, and contain within it the opportunity to serve other functions when it comes time to do so. The deed may become ceremonial only for corporation, for example. It will not go into 'archives' at that point but rather will be identified for its larger societal purpose and become accessible in its new role as a historical and evidentiary document.

As a philosophical pointed out, the continuum model puts aside the notions of active, inactive and archived. Rather, records are capture for past, present and future consideration within the

continuum. Actions are not linear or directional. This creates adaptability and accessibility for the system, and for the use of the record.

According to Kemoni (2008), in a continuum there are no separate steps (see figure 2.2). Managing records is seen as a continuous process in which one element of the continuum passed seamlessly into another.

Generally, the continuum model has a broad interpretation of the concept of records and recordkeeping. It is inclusive in that the role of archiving a record is incorporated into the system. It takes into account more of the functioning, historical, and evidentiary aspects of the record. Finally it integrates the functions of record keepers and archives administration.

The four actions of records care under the records continuum model include (Millar, 1997):

- *Identification and acquisition* – records management actions are the creation or acquisition of records, while archives management action relate to the selection and acquisition of archives
- *Intellectual control* – records management actions include classification of records within a logical system, while archives management actions relate to the arrangement and description of archives
- *Access* – records management actions relate to the maintenance and use of records, while archives management actions relate to the description of archives
- *Physical control* – records management actions are the disposal by destruction of records, or their transfer to the national archives, while archives management actions relate to the preservation of archives.

In this study, records continuum model was preferred basing on its four principles as discussed above. The model was used to investigate the standards outlined by records continuum model. Close to that, the study sought to asses if the continuum model was applied in the integration of records management and archives administration functions. It sought to assess the merging of records management unit and Records and Archives Management Division (RAMD) within the LGA.

### **2.1.5 Differences between the records lifecycle model and continuum model**

In contrast with the lifecycle model, aspects that make the continuum model ideal for the study are as follows: (An, 2001)

- Life Cycle Model (LCM) Evolve from the need to effectively control and manage physical records after second world war II (half a century ago) while Continuum Model (CM) Evolving from the more demanding need to exercise control and management over electronic records for digital era (today)
- Life cycle model is a physical entity while continuum model covers content; context; structure
- LCM its major concerned is Records-centered, product driven; focused on records as tangible physical records entities, the physical existence of records and records themselves: Paper world while that of CM is purpose-centered, process & customer driven; focus on nature of records, the records keeping process, the behaviors and relationships of records in certain environments: Digital world
- LCM is Time-based stage: records pass through stages until they eventually ‘die’, except for the ‘chosen ones’ that are reincarnated as archives( i.e. Records processes

take place in a given sequence) while in CM, multi-dimensional records exist in space-time not space and time i.e. records processes can happen at any point in the record's existence or indeed precede it.

- LCM recordkeeping perspective is exclusive, single purpose organizational or collective memory, current or historical value while in CM is inclusive, multiple purposes, can be organizational and collective memory; can have current, regulatory and historical value from the time of creation simultaneously not sequentially
- Recordkeeping process in LCM show clearly definable stages and creates sharp distinction between current and historical recordkeeping while in CM, there should be integration of recordkeeping and archiving processes
- Criteria for selecting archive in LCM is based on current or historical value while in CM it involves continuing value including current and historical value
- Time of archival appraisal in LCM usually based on end of records movement while in CM takes place from time of beginning to the end
- Undertaking records management tasks in LCM, things are done to the records in fixed stages, in a particular professional group while in CM there is integration of business processes, the tasks can happen in almost any sequence by any professional group

Last but not least, the records continuum model offers an integrated approach to managing records, particularly electronic records. The model recognized that records passed through identifiable stages, but the stages acted as a point of reference rather than as functions of

records management. Significantly, the model allows records managers and archivists to operate at the appropriate stages of the records continuum to meet their sometimes different but harmonious objectives (Kemoni, 2008).

#### **2.1.5.1 Relevance of the Records Continuum Model to the Study**

Given that this study is about the role of records management in supporting local government reforms programme, the records continuum model was seen to be the most appropriate. This is because, within the view of the continuum concept, an archival document can be retrieved and returned to a current status just as a newly created records and can be archived immediately after its use. This view is more practical in local government service delivery, where archival records can be returned back to current use, for example review of reports/minutes of closed project to provide business evidence if it was efficient and effective. The reviewed reports usually used to improve planning, decision-making, retrieval, access and tracking of records and implementation of the new project. This approach is very close to the first objective of the study on how effective is the records management continuum practices in the implementation of LGRP.

In addition, the continuum concept captures the modern definition of the records that is inclusive of the key elements of content (the fact about the activity), context (information about the circumstances in which the records was created) and structure (relationship the constituent parties).

Furthermore, the model provides a graphical tool for framing issues about the relationship between records manager and archivists, past present and future, and for thinking strategically about working collaboratively and building partnership with the stakeholders.

Establish a relationship is a demand to institutions in solving the existing records management challenges which match with the fifth objective of this study (i.e. appropriate strategies that would help to address records management challenges identified by the study).

Under the records continuum model, archivists and records managers would be involved in all the stages of managing records. The following would thus be realized: ensuring the creation of right records containing the right information in the right formats; organizing the records to facilitate their use; systematic disposing of records of no longer required, and protecting and preserving records. Participatory involvement of both records managers and archivists addresses the needs that were to be met by the objective of the study (i.e. determine the method used by RAMD in addressing the records management issues during implementation of LGRP).

The advantages of the records continuum model over the life cycle model are grounded in its mechanism, which consists of integration of the management of documents, records and archives. The integrated approaches, integrated control and integrated framework can be components of a best practice framework. The records continuum model is more applicable to records and archives management hence its use as a theoretical foundation of studies dealing with the management of both paper and electronic records and archives such as this one.

## 2.2 The Value of Records

Records are created because of the day-to-day official work transacted by agencies. As by-product of those daily activities, records therefore can be created and received to serve several functions from which their value emanates.

Shepherd and Yeo (2003) summarize different purposes for using records as: business purposes; accountability purposes; and cultural purposes. They went on to identify three further underlying values of records, which motivate these different purposes for records use. They are: the evidential value of records; the value of records as an information source; and the value of the records as an artifact or object.

Wamukoya (2007) states that for a long time, the historical value of records took precedence over the evidential and other values those records contained, hence the recognition of records as arsenals of history. In recent years, a major paradigm shift had taking place, giving primacy to the business and accountability values, besides many secondary uses. These are business, accountability and research values.

As business value, records are identification and evidence of business transactions. The records identify people, service and goods in the recording of economic transactions (Lundgren, and Lundgren, 1989).

According to Kemoni, Ngulube & Stilwell (2007), records are required for developing and implementing policies, planning, keeping track of actions, achieving consistency in decision making, provide effective service to citizens and achieving greater efficiency. In the modern industrial world, records are indispensable for daily operations and activities. Accurate and reliable information is essential for nearly every transaction. Emmerson (1989) notes that

records demonstrate and confirm the decisions taken by the organization, the actions carried out in the course of business and the result of that action. As such, records can be produced in the court to support legal action and regulatory authorities to show compliance with regulations.

With regard to accountability value, records are a way by which performance measurement is done. They are the bases upon which we can ascertain whether the right thing was done or not. Accountability is the onus, requirement or responsibility to provide an account (by no means necessarily a financial account) or reckoning of the actions for which one is held responsible (Grey et al, 1992; Seiler, 1990). Records help expose corruption, fraud, embezzlement and all manner of waste and management. They are the basis upon which corporation entities are able to defend their decisions and actions (Wamukoya, 2007).

In reference to financial records, Akotia (1996) observes that financial reporting in public financial administration is a product of well-structured financial records management systems, a critical element in the accountability of government. The key objective of financial reporting has always been to provide the legislature and the public with the assurance that there has been conformity with legal and other mandatory requirements in the government of resources. It provides the bases for the accountability, retrospective reporting, and planning and authorization information.

Regarding the research value, records embody and re-live society's collective memory and experiences. Records enable scholars and the general public to use records for all manner of research including historical, cultural, sociological, demographic, scientific, medical and technological (Wamukoya, 2007)

To conclude, a number of authors (Barrett 2002; Mnjama and Wamukoya 2004; Wills and Fox 2005; Mnjama 2005 Piggot 2002; Okello-Obura 2007) have argued and pointed out the intrinsic values of sound records and archives management in any country. Some of the benefits highlighted include:

- Records are an indispensable element of transparency, both within the organization and externally.
- Without good records, officials are forced to take decisions on an ad hoc basis, without the benefit of institutional memory. Fraud cannot be proven, meaningful audit cannot be carried out and government actions are not open to review.
- Sound records management does not only underpin the due process, but enable accountability.
- The protection of citizens' entitlements depends on pension records, social security records, land records birth and death records.
- To preserve the rule of law, the government relies on the legislative, court. Police and prison records as evidence.
- Good management of policy files, hospital records, school records, budget papers, accounting records, personnel records, tax records, election registers, procurement records, etc, demonstrates government's commitment to accountability to its citizens and promotion of good governance.

### **2.2.1 Aim and Objectives of Records Management**

Records management aims to understand and control the information collected or generated by an organization, so that all appropriate information required for the conduct of businesses acquired, made available to the people who need it and recorded in suitable systems and that the most available core of the resulting records is exploitable in the long term (Sanderson, 2001).

Records management has a number of objectives whose purpose is to promote the care and use of records. These includes: setting policies and procedure; assigning responsibilities for records management at various level within the organization; setting best practice standards; processing and maintaining records in safe and secure storage; implementing a records retention and disposal policy; integrating records management into business systems and processes; assigning, implementing and administering specialized systems for managing records; providing a range of services relating to the management and use of records (ISO 15489-1:2001; Wamukoya, 2007)

### **2.2.2 Uses and benefits of records**

Records are essential for the effective and productive functioning of private and public organizations. Records document the decisions and activities of the government and private institutions and serve as a benchmark by which future activities and decisions are measured. The World Bank (2008) underscores the importance of records as they document fundamental rights and obligations and differentiates the rule of law from the action of arbitrary state. Without records there can hardly be the rule of law and no accountability hence, no good governance. Without good records, official are forced to take decisions on an *ad hoc* basis without the benefits of institutional memory. Besides, fraud cannot be proven,

meaningful audit cannot be carried out and government actions are not open to review (IRMT, 1999).

Records are vital resource in fostering development in any nation. According to the World Bank's Comprehensive Development Framework (2008), all of the elements or pillars of effective development (i.e. good governance, equitable judicial system, accountable, financial system, and enforceable civil rights) depend upon good/effective records management infrastructure. Without a records infrastructure government and organizations may be incapable of effectively managing current operations and have no ability to use the experience of the past for guidance.

Shepherd and Yeo (2003) states that every organization need to keep records that are used in the conduct of current business, decision-making and taking action. The authors further argue that organizations require information of precedent or previous action on a given matter to enable decision-making. From these observations, Shepherd and Yeo (2003) have emphasized the need for good record keeping towards supporting organizational activities and processes.

Records contain information that is a valuable resource and an important business asset. A systematic approach to the management of records is essential for organizations and society to protect and preserve records as evidence of actions. A records management system results in a source of information about business activity that can support subsequent activities and business decisions as well as ensuring accountability to present and future stakeholders (ISO, 2001). Therefore, according to ISO (2001), records enable organizations to;

- Conduct business in an orderly, efficient and accountable manner.
- Deliver services in a consistent and equitable manner.
- Provide consistency, continuity and productivity in management and administration.
- Facilitate the effective performance of activities throughout the organization.
- Provide continuity in the event of disaster.
- Meet legislation and regulatory requirements including archival, audit and oversight activities.
- Provide protection and support in litigation including the management of risks associated with the existence of, or lack of, evidence of organizational activities.
- Protect the interests of the organization and the rights of employee, clientele and present and future stakeholders.
- Provide evidences of business, personal and cultural activity.

Duranti (2001) presents a holistic benefit of records playing a crucial to all of our business and social interactions. Records are the basis of our legal system. Government functions and accountability, medical treatment and scientific research all depend on them.

According to Robek.et.al. (1995), setting up a good records management programme and practice in an organization has benefits such as:

- Control the creation and growth of records

- Improve efficiency and productivity
- Foster professionalism in running business
- Reduce operating costs
- Ensure regulatory compliance
- Assimilate new records management technology
- Support better management decision making and
- Preserve the corporate memory.

Records management is essential in enhancing good governance. According to Chibambo (2003), documentary heritage or records are not only a key to the presentation of an organization and society's memory, but to the effectiveness of good governance and the development of national awareness and identity.

Good governance has to do with the institutional environment in which citizens interact among themselves and within government bodies and/or officials. It prevails when the government manages public institutions in an efficient, transparent and responsive manner, and when citizens are engaged with the government in the pursuit of mutually beneficial economic, social, political, and cultural objectives. The elements of attributes of good governance are therefore, accountability, transparency, efficiency, participation, predictability, and human rights, which includes the right of access to information in whatever format (Abdellatif, 2003; Kabumba, 2005; UNESCO, 2005)

All the ingredients of good governance and sustainable development depend upon an effective records management system. Indeed a number of scholars contend that without records management infrastructure, governments and organizations are incapable of effectively managing their current operations, and are unable to use the experience of the past for guidance. Records are inextricably intertwined with transparency, accountability and all the other elements of good governance. Their documentation and management serve as a benchmark by which future organizational and government activities and decisions are taken and implemented. (Duranti, 1998; Meijer, 2001; Chibambo, 2003; Sebina, 2004; Mat-Isa, 2005; Kemoni, 2007).

### **2.3 Guidelines for managing records**

Records management governs the activities both of records management and of any persons who create or use records in the course of their business activities. Records management in an organization includes:

- setting policies and standards,
- assigning responsibilities and authorities,
- establishing and promulgating procedures and guidelines,
- providing a range of services relating to the management and use of records,
- designing, implementing and administering specialized systems for managing records, and
- interacting records management into business systems and process (ISO, 2001).

It is in recognition of the importance of records management as outlined above that Wamukoya (1996) has appropriately argued that records management incorporates the policies, systems and professional and management techniques, systematically applied to the control of recorded information to enhance an organization's efficiency and effectiveness, while at the same time consolidating its evidential base.

Records are created, received and used in the conduct of business activities. To support the continuing activities of business, comply with the regulatory environment, and provide necessary accountability, organization should create and maintain authentic, reliable and usable records for as long as required. To do this, organizations should institute and carry out a comprehensive records management programme which includes:

### **2.3.1 ISO 15489 (2001) Records Management standards**

Records management standards under International Standards Organization (ISO) requires to:

- determine what records should be created in each business process, and what information needs to be included in the records
- deciding in what form and structure records should be created and captured, and the technology to be used
- determining what metadata should be created with the records and through records processes and how the metadata will be persistently linked and managed

- determine requirements for retrieving, using and transmitting records between business processes and of users and how long they need to be kept to satisfy those requirements
- decide how to organize records so as to support requirements for use
- assessing the risk that would be entailed by failure to have authoritative records of activity
- preserving records and making them accessible over time, in order to meet business requirement of community expectations
- comply with legal and regulatory requirements, applicable standards and organization policy
- ensure that records are retained only for as long as needed or required, and
- identifying and evaluating opportunities for improving the effectiveness, efficiency or quality of its process decisions, and action that could result from better records creation or management.

### **2.3.2 The Australia Records Management Standard (AS 15489, 2001)**

Pinpointed that, records management involves:

- planning the information needs of an organization
- identify information requiring capture

- creating, approving and enforcing policies and practices regarding records, including their original and disposal
- developing a records storage plan, which includes the short and long term housing of physical records and digital information
- identifying, classifying and storing records
- coordinating access to records internally and outside of the organization, balancing the requirements of business confidentiality, data privacy, and public access
- executing a retention policy on the disposal of records which are no longer required for operational reasons; according to organizational policies, statutory requirements and other regulations this may involve either their destruction or permanent preservation in the archive

#### **2.4 Role of Records and Archives Management Division (RAMD) in managing public sector records in Tanzania**

The Tanzania National Archives currently known as Records and Archives Management Division (RAMD) was first established in 1962 and had acquired vast quantities of archival materials which were well organized with reading facilities provided. However, by early 1980s the national archives was in a poor state of decline which Nyirenda (1994) in his article “Archives administration in Tanzania: *quo vadis*” attributed to economic, shortage of manpower and poor management. The author was amazed when he first visited Tanzania in 1991, to see archival records dumped and exposed to all sorts of hazards at an old Amani Cinema hall in the heart of Dar es Salaam.

The poor state of records keeping continued until the mid-1990s when the UK Department for International Development (DFID) engaged the International Records Management Trust (IRMT) to advise the government of Tanzania on efficient and effective records management systems as part of the wider administrative reform programmes. Since then, the situation has remarkably improved. Several workshops and training programmes were introduced, registries decongested and records appraisal work at the National Archives was carried out in order to create space and improve finding aids. A new records and archival legislation has also been enacted giving the national archives wider powers to oversee records management activities from the time of records creation to their preservation stage (Mlyansi, 2002).

Section 6 (1) of the Records and Archives Management Act No. 3 of 2002 states that, the Department shall contribute to the efficiency, effectiveness and economy of the Government of the united republic by:

- Ensuring the public offices follow good record keeping practices
- Establishing and implementing procedures for the timely disposal of public records of no continuing value
- Advising on best practices and established standards in records keeping in the public service and
- Establishing and implementing procedures for transfer of public records of enduring value for preservation in the National Archives or such other archival repository as may have been established under this Act.

- The Department shall preserve and make available for consultation public records selected for preservation in the National Archives or any other archival repository under the control of the director

Moreover, as means of strengthening the Department and giving it greater visibility and wider inter-ministerial powers to oversee records management activities throughout the civil service, the national archives was transferred from the Ministry of Education to the Civil Service Department under the Office of the President. This effectively brought the management of all registries under the umbrella of the national archives. New strategies for managing personnel and financial records systems were introduced including records retention schedules and other records procedures manuals. A new scheme of service for records managers has been adopted and an in-service training programme for serving records officers leading to a records vocational qualification developed. Through the project several officers were sent for training at the University College London and taken on tours to Ghana where similar records management initiatives had taken place.

#### **2.4.1 Role of RAMD in managing records of local government authorities**

The Records and Archives Management Act No.3 of 2002 of The United Republic of Tanzania outlines the role of RAMD staff in managing LGA records (Section 14 (1) – (5):

- 1 The Director shall establish a network of branch offices of the Department each serving one or more regions of the united Republic
- 2 The head of each such branch office shall be responsible to the Director for implementing the general policy of government in respect of public records of local authorities in the regions which that branch office serve

- 3 In respect of public records created, received and maintained by local authorities the responsibilities set out under section 9 and 10 of this Act shall be those of the heads of such local authorities and the responsibilities set out under sections 11, 12 and 13 shall be those of the heads of the appropriate branch offices of the Department
- 4 Records centers and archival repositories established in the regions shall be regarded as being under the control of the Director of the Records and Archives Management Department and the public records therein as being in his custody for the purpose of this Act
- 5 Where there is no archival repository within the regions served by a branch office of the Department, the Director may direct the transfer of archives to the National Archives or to any other archival repository under his control until such time as an archival repository to serve those regions may be established

#### **2.4.2 Challenges faced by RAMD staff in managing local government authority records**

According to Presidents' Office, Tanzania Public Service Management- Five Year report (2003) the main challenges include

- 1 Lack of skills in records management, as a result even gardeners, watchmen and cooks were promoted to become record keepers
- 2 Level of education hinders the successful implementation of records management procedures
- 3 Absence of control tools, hence it takes a long time to retrieve and access needed information

- 4 Backlogs of records in a room mixed with other equipments like typewriters, tires and other accessories with a lot of cobwebs, dusts and moisture.

### **2.4.3 Achievements**

In the ten years (1997- 2007) of the records management sub-component of reforms notable achievements have been realized by the government and the public as whole (Manyambula, 2007), the achievements are:

- New legislation known as “The Records and Archives Management Act No.3 of 2002” to govern the management of records from creation to disposition was passed by the Parliament in January 2002.
- The National Archives of Tanzania transferred to the President’s Office, Public Service Management from the Ministry of Education to form a new department known as Records and Archives Management Division (RAMD).
- A standard filing system based on function has been installed to all Ministries and to some Districts and Councils.
- Retention and disposal schedules have been developed
- A new scheme of service for the records cadre has been introduced.
- There have been numerous capacity building initiatives across government that raise awareness of the importance of records management at all level from senior staff to registry clerks

## 2.5 Local Government and Local Government Authorities

According to The new Local Government System in Tanzania (2007), a local government in Tanzania is:

- a council, which is elected by the people
- the elected council has the political authority to decide on any local government issues;
- councils are not independent government. They operate within the national legal framework. Nevertheless, councils are the highest political authorities within their jurisdiction;
- All other political bodies and organizations involved in the provision of social services will refer to the council;
- A local government will collect taxes to be spent according to an approved budget. There can be no spending on items which have not been included in the approved budget

The New Local Government System in Tanzania (2007) points out that, Local Government Authorities exist for the purpose of consolidating and giving more power to the people to completely participate in the planning and implementation of development programs within their respective areas and generally throughout the country. Local government authorities are classified into two categories: urban authorities and rural authorities. Urban Authorities are responsible for the administration and development of urban areas ranging from townships, municipalities and cities. Rural authorities are mandated to play two main functions of

administration, law and order; and economic and development planning in their respective areas of jurisdiction. Dar es Salaam City Council is categorized under urban authority. For successful implementation of LGRP in LGA systematic recordkeeping is necessary.

### **2.5.1 Recordkeeping and Local Government Reforms Program**

Internationally, the past two decades have witnessed considerable changes in the management and control of Local Government Authorities. The changes emanated from dissatisfaction with their performance. Poor performance in Local Government Authorities forced Government of Tanzania to embark on LGRP. According to Mark (2002), LGRP is a generic term that can be defined in terms of the following elements:

- Deliberate and planned changes to local bureaucracies
- Changes that are aimed at improving the efficiency and effectiveness of organizations
- Changes that are concern with innovation, and
- Changes that are likely to run into resistance from groups in the state and society that feel threatened by the reforms.

According to Schacter (2000), LGRP is about strengthening the way that LGA is managed. It attempts to improve poorly organized and delivered Local authority services, irrational decision making processes, mismanaged staff, weak accountability, and poor designed local government programs. He further argues that in recent years, the agenda of LGRP has gained momentum because of the notion of New Public Management (NPM) and the promotion of good governance initiatives by the donor community. Good governance considers improvement in LGA as an essential element, while NPM seeks the adoption of private

sector management and market discipline in the LGA. This entails, among others, various reform components that range from privatization, deregulation, downsizing, and human resource management.

Heeks (1998) defines service reforms in the context of LGRP. He argues that LGRP is a change within LGA that seeks to improve their performance. He further identifies the three main causes of the local government reforms namely: the crisis in the local authorities, a renewed ideology, and political will and power. Regarding local authority crisis, Heeks (1998) identifies perceived problem relating to an increase in local government expenditure, inefficiency, ineffectiveness and poor local government service delivery. In relation to renewed ideology, he cites neo-liberalism whereby market drives costs down and increases efficiency and/or effectiveness of service delivery. Concerning political will and power, he cites issues such as pressure from international organizations (referring to donor – driven local government reforms).

IRMT and World Bank (2003) observe that there is a universal fact that good recordkeeping is an important aspect of LGRP. Government, donors and community as pioneers of LGRP have realized that reforms cannot succeed without proper, reliable, and readily available records. However, this fact is not recognized in many developing countries.

Pra (2002) stated that archives and records are roots of development. Records are important in development agenda because they are used as evidence for citizens, clients, constituents and donors. The author further notes that, recordkeeping has to be seen as part of the broader LGRP agenda.

Wilson (2002) opines that good recordkeeping is a link to poverty reduction. Poverty reduction means, thinking about the delivery of services to people. In delivery of services, public agencies need to keep, gather and use information about what kind of services citizen are getting, what treatment they are getting and who is getting what services. Further, good recordkeeping ensures keeping evidence in order to provide better services and good governance for the people. Therefore, there is a need to address records management in ongoing LGRP.

## **2.6 Summary**

The chapter has provided a review of literature on the topic of records management and local government reform programme. The literature reviewed has revealed that records management is a key function to the success and implementation of LGRP. Furthermore, it has been revealed from the literature reviewed that the records model principles and standards are critical since they are used as guidelines as well as benchmark for the management of local government authority records.

The literature has revealed that, in Tanzania, records management formed a part of the local government reform programme which have been implemented in a number of components. These components are development of records management legislation, standards and policy, capacity building, development of new scheme of service, retention and disposal schedule, and installation of records systems. This means that the reforms focused at improving local authority records as a prerequisite for, efficiency, accountability, transparency and local service delivery. To this extent, the literature sources consulted are unanimous that records management should be harnessed as an essential success factor in implementation of LGRP.

## CHAPTER THREE

### RESEARCH METHODOLOGY

#### **3.0 Introduction**

The chapter presents the research methodology used in the study. The issues discussed include: study population and justification, sampling technique/procedure, data collection instruments, data collection procedures, data validity and reliability, and data presentation, analysis and interpretation.

#### **3.1 Research design**

According to Powell and Connaway (2004), research design refers to the strategies surrounding the use of multiple methods of conducting a research study as required by different type of research studies to achieve high degrees of reliability and validity. It is a body of practices, procedures, and rules used to conduct research. Similarly, Williamson (2002) defined methodology as a set of principles of methods, which in any particular situation have to be reduced to a method uniquely suitable to that particular situation. In addition, research methodology is a strategy or plan of action that links method to outcomes, govern choice and use of methods.

In this study the researcher used qualitative approaches. The qualitative approach is one that involves intensive data collection (of several variables), over an extended period of time in a natural setting (variable are studied when and where they naturally occur) (Kombo and Tromp, 2006). The qualitative approaches were used to provide descriptive forms which involve conducting face to face interviews, observations and review of documentary sources. The choice for qualitative approach was based on the fact that, face to face interview,

observation and documentary review enable the researcher to gather detailed information on records management and local government reform programme.

The face-to-face interview was administered to Directors (i.e. Heads of Departments) and assistant directors; Action officers; Records management assistants; RAMD staff; LGRP staff; Prime Ministers' office staff and other records users. In order to compliment the face-to-face interview questions, the observation method was used to observe various aspects such as workflow in the operation of records management procedures, accessing facilities, environmental conditions, and security control in the registries, records centers and repositories.

Qualitative case study method was found appropriate for the study because of its suitability in investigating records management and LGRP in a single unit of Dar es Salaam City Council. Qualitative research allows the use of multiple methods that are interactive and humanistic. It uses the actual instruments of data collection; traditionally based on interviews, observations, and review of relevant documents (Kombo and Tromp, 2006). Cresswell (2003) observed that qualitative research takes place in a natural setting. It requires a researcher to go to the site (home or office) of the participant and gather the information about actual experiences of the participants. Case study enables researchers to obtain comprehensive information about a research problem being investigated.

Case study allows a detail examination and analysis of a research problem being investigated. The researcher sought the view of respondents from various departments of Dar es Salaam City Council and outside the office regarding the effectiveness of records management towards the ongoing LGRP.

### 3.2 Case study approach

This study utilized the case study approach. The case study method is a very popular form of qualitative analysis and involves a careful and complete observation of a social unit, be that of a person, a family, an institution, a cultural group or even the entire community. It is a method of studying in depth rather than breadth (Kothari, 2004). The case study places more emphasis on the full analysis of a limited number of events or conditions and their interrelations. The case study deals with the processes that take place and their interrelationship. Thus, case study is essentially an intensive investigation of a particular unit under consideration. The object of case study method was to locate the factors that account for the behavior-patterns of the given unit as an integrated totality.

Case study research methods have the following advantages: Being an exhaustive study of social unit, the case study method enable to understand fully the behavioral pattern of the concern unit; it enhances the experience of the researcher and this in turn increases his ability and skill; a researcher can obtain a real and unlighted record of personal experiences that would reveal man's inner strivings; tension and motivations that driven him to action along with the forces that direct him to adopt a certain pattern of behavior, and this method makes possible the challenge of social changes (Kothari, 2004).

Further the author, Kothari (2004) highlighted some important limitation in case study: it consumes more time and requires lot of expenditure; the study based on several assumptions which may not be very realistic at time, and as such the usefulness of case data is always subject to doubt; and that case study can be used only in a limited sphere, it is not possible to used it in case of big society, and that sampling is not possible under a case study method. The researcher was conscious of these limitations as he was well trained in the modern

method of collecting case data and the scientific techniques of assembling, classifying and processing the same. Data were amenable to quantification and statistical treatment.

The researcher revealed unique problems that face the Dar es Salaam City Council and gives suggestions on how they can be addressed.

### **3.3 The study area**

The study was conducted at Dar es Salaam City Council. All its five departments namely: Human resource and personnel, accounts and finance, policy planning and development, local government reforms programme and social community development were involved.

### **3.4 Study Population and justification**

According to Bless and Higson –Smith (2004) population is the complete set of events, people or things from which samples are taken for measurement (for example a population of students). There are two types of population namely; the study population and target population. The study population is the entire number of units under study (i.e. sample or study population) and target population is the entire element to which the researcher wishes to generalize.

- **Study population**

The total population comprised of 153 persons. The total population was categorized into: 5 Directors, 5 Assistant directors, 10 Action officers, 40 RMAs, 40 RAMD staff, 8 LGRP staff, 5 PMs staff and 40 other records users (see Table 3.1)

- **Target/sample population**

The target population of the study was 93 persons (drawn from total population of 153) including those who use records as well as those who have experience and

special insight into the records management and local government reforms programme within the Dar es salaam City Council community.

- **Justification**

The researcher interviewed 5 Directors (heads of department) and 5 Assistant directors because they are the ones who are responsible for policy formulation, planning, monitoring, and evaluation. Their views on records management and reforms in their respective department were, therefore, critical to this study

The population of 10 Action Officers was interviewed because of the nature of their duties that center on decision-making, implementation of strategies and delivery of local government authority services that cannot be successfully accomplished without the use of records management in place. They are the right people to determine the impact of records on LGRP.

Furthermore, 20 Records Management Assistants (RMA) were also interviewed because they are responsible for records keeping up-to-date; ensure its movement and all correspondences within and among the organizations and also, as information service providers.

The study also involved 20 RAMD staff and 8 LGRP staff because they are the ones who are responsible for overseeing the implementation and supervision of records management programme across all local government authorities in the country as experts.

In addition, 5 members of the Prime ministers' office staff and 20 other records users from outside the office (i.e. 5 Teachers, 5 Tax payers, 5 Nurses and 5 Students who were after services) were involved as main key informants. The total study population (sample) consisted of 93 respondents (see table 3.1).

### 3.5 Sample Design and Procedure

Oliver (2004) categorizes sampling procedures into probability and non-probability sampling. Probability sampling is sought if the researcher adopts a positivity approach. This is a sample in which each member of the research population has a known probability of being included in the sample. The best-known technique of probability sample is the simple random sample. Oso and Onen (2008) mentioned other several techniques that are used in probability sampling as follows: stratified sampling, area (Cluster sampling) and systematic sampling.

In many forms of research and particularly those which employ largely qualitative data, there is usually no attempt to employ a probability sample. The so called non-probability sample typical of research within an interpretative perspective is usually much smaller, but the data collected is more detailed than in the case of a probability sample (Oliver, 2004).

Non-probability sampling is that sampling procedure which does not afford any basis for estimating the probability that each item in the population has of being included in the sample (Kothari, 2004). Purposive and convenience sampling techniques were used at various stages of the research process. Purposive sampling is appropriate in three situations: first, a researcher can use it to select unique cases that are informative; secondly it can be used in difficult-to-reach specialized population; and thirdly, can be used when one wants to identify particular types of cases for in-depth investigation (Kothari, 2004).

In seeking information towards the context of this study, the researcher decided to use purposive sampling. The purposive sampling was applied to all staff. According to Powel and Cannaway (2004) purposive sampling is appropriate when a researcher deliberately and

subjectively selects certain individuals from a population. It is based on one's knowledge of the population and the objective of the research. The choice was based on the fact that the researcher has knowledge of the study population.

Convenience sampling involves choosing the nearest individuals to serve as respondents and continuing the process until the required sample size has been obtained.

The researcher focused on the five departments of the Dar es Salaam City Council namely; Human resource and personnel, accounts and finance, policy planning and development, local government reforms programme and social community development.

The researcher also made use of the daily attendance list available at Dar es salaam City Council offices, RAMD office and Prime ministers office as the sampling frame to determine the names of actual participants.

The study population of 93 respondents was drawn from Directors (HDPT) and Assistant Directors, Action officers, RMAs, RAMD staff, LGRP Staff and Prime Minister's Office staff including other users of records, as shown by Table 3.1

**Table 3.1 Distribution of sample population size (n=93)**

Category	Total population	Study/sample population	Percentage (%)
Directors (HDPT)	5	5	5.4
Assistant Directors	5	5	5.4
Action Officers	10	10	10.7
RMA's	40	20	21,7
RAMD Staff	40	20	21.7
LGRP Staff	8	8	8.6
PM's Office staff	5	5	5.4
Other records users	40	20	21.5
<b>Total</b>	<b>153</b>	<b>93</b>	<b>100</b>

### 3.6 Data collection instruments

In this study the researcher employed two data collection instruments namely face-to-face interviews and observation.

#### 3.6.1 Interviews

According to Creswell (2003), an interview is a data collection instrument based on a series of questions to be answered by interviewees. Kothari (2004) defines interviews as a method of collecting data that involves presentation of oral-verbal stimuli and reply in terms of oral-verbal responses. To him this method can be used through personalized interviews and through telephone interviews. Personal interviews require the interviewer asking questions generally in a face-to-face contact to the other person or persons.

Interview as one of the data collection instrument was administered to Directors (HDPT) and Assistant Directors, Action officers, RMA staff, RAMD staff, LGRP Staff and Prime Minister's Office staff including other records users.

The researcher used face-to-face interview as the main data collection instrument. The interviews were designed and piloted among the respondents in RAMD. The feedback from such a pilot study was used to refine the questions. Six different sets of interview-guides were designed and distributed to Directors (HDPT) and Assistant Directors; Action officers; Records Management Assistant; Records and Archives Management Division staff; LGRP Staff; and Prime Minister's Office staff including other records users. In this regard the researcher was able to record the experiences that these officials undergo when implementing, coordinating and evaluating records management and LGRP. It also helped the researcher to collect the information on the impact of records management services.

The researcher chose to use interviews because the sample size was manageable. Another rationale for using this technique is that people are more willing to talk than to write. The use of face-to-face interview was suitable for this study because of the following advantages (Kothari, 2004):

- They are flexible. This is because they consist of both open and closed-ended questions.
- In-depth information was gathered using closed-ended questions.
- By using both the open and closed-ended approach, the researcher gets a complete and detailed understanding of the issue under research.
- Observation method can as well be applied to recording verbal answers to various questions

With the aid of an interview schedule, the researcher was able to record the proceedings in a diary.

The interview schedule required respondents to provide data relating to various aspects namely: general data (e.g. name, designation, qualifications and department), purposes of records management reforms at the Dar es Salaam City Council offices and their effectiveness in implementation of LGRP, methods used by RAMD Staff in addressing the records management issues during implementation of LGRP, measures taken by Dar-es-Salaam City Council management to sustain records management reforms, records management challenges experienced by Dar-es-Salaam City Council management in the implementation of local government reforms and Suggest appropriate strategies that would help to address challenges identified by the study (See appendices 1-6).

### **3.6.2 Observation**

The researcher used the observation technique based on a pre-prepared observation checklist. According to Neumann (2000), observation is an important means of obtaining data in fieldwork studies. In observation, the researcher becomes an instrument that observes all sources of information. The researcher carefully scrutinizes the physical settings to capture the atmosphere.

There are various types of observation, which include structured and unstructured observation, participant and non-participant observation and controlled observation (Kothari: 2004).

In this study, the researcher observed aspects such as conditions in storage areas, recordkeeping processes and systems in use, and workflows and patterns of communication.

The time taken to retrieval records was also observed. Through personal visits and observations, it was possible to find facts about the impact of records management reforms in the LGA and RAMD. The areas observed were the repositories, records centers and registries. In the registries, records centers and repositories the researcher observed aspects such as the availability of space, environmental conditions, facilities, security control, finding aids, physical condition of archival materials, and existence of legislation and policies (see observation schedule; Appendix 7). Notes were taken on all of the observations.

### **3.6.3 Pre-testing of research instruments**

A pilot study was undertaken to test interview schedules on 23<sup>rd</sup> to 25<sup>th</sup> October 2009 before the actual data collection started at Dar es Salaam City Council. The six sets of interview schedules were pre-tested on a small sample within RAMD. A pre-test check-list in the form of questionnaire was used (see appendix. 7). The sample respondents included two Assistant Directors and three senior postgraduate action officers.

The findings are presented below descriptively:

1. ***Spell-check:*** the respondents were asked to identify any spelling mistakes. Two respondents identified three words in two interview schedules that were spelt incorrectly. They indicated the words in the schedules. The other three respondents did not identify any mistakes.
2. ***Font-size:*** all the five respondents indicated that the font-size used was legible
3. ***Vocabulary:*** out of the five respondents, three suggested that the terms used in the interview schedule for 20 other records user as key informants need modification because this group was not trained in the information field. They offered alternative

simple terms to replace the one used. The remaining two respondents indicated that the vocabulary was appropriate.

4. **Clarity of questions:** all the five respondents identified a couple of questions that were not clear in all the six interview schedules and offered suggestions.
5. **Coverage of objectives:** all the respondents stated that the objectives of the study were covered adequately.
6. **Suggestion for improvements:** questions were too many. Some questions needed to be removed or consolidated. Specific redundant questions were identified.

The pre-testing of the interview schedules helped to identify problems in the interview schedules. Modifications were made appropriately on the basis of the findings. These modifications included correction of spelling mistakes, removal of redundant questions and changes in vocabulary. This, therefore, improved the quality of the interview schedules.

### **3.7 Data collection procedures**

The researcher obtained an introductory letter on 22<sup>nd</sup> September, 2009 from Head of Department of Library, Records Management and Information Studies; School of Information Sciences- Moi University to enable him gets the research permit in Tanzania. He then visited the Dar es Salaam City Council offices on 4<sup>th</sup> October 2009 and explained the nature and significance of his study to the Mayor. This was done in order to obtain consent and ensure support from the officers while carrying out the study. The researcher after being permitted to conduct a research on 06<sup>th</sup> November, 2009 (see: Appendix 9), he contacted the Office Supervisor (OS) on 10<sup>th</sup> November 2009 to discuss ways in which the data collection process can most likely succeed.

The researcher traced and consulted Directors (HDPT) and Assistant Directors; Action Officers; Records Management Assistants; RAMD staff; and LGRP staff at their own time, explained the purpose and significance of the study and book an appointment for interviews. Prime Minister's Office staff and other records users at Dar es Salaam City Council as key informants were also consulted.

Data was collected through the face-to-face interview through physical visits to the respondents' office by the researcher between 10<sup>th</sup> November 2009 and 15<sup>th</sup> February 2010.

### **3.8 Data validity and reliability**

Reliability refers to the extent to which results are consistent over time and an accurate representation of the total population under study. If the results of a study can be produced under a similar methodology, then the research instrument is considered to be reliable

Validity is the degree to which results obtained from analysis of the data actually represent the phenomenon under study (Best and Khan, 1993). It is the accuracy and meaningfulness of inferences, which are based on research results. It means the agreement between value of measurements and its true value. Validity is quantified by comparing measurements with values that are as close to the true values as possible. Poor validity reduces ability to characterize relationships between variables of data in a research. Kerlinger (1953) argues that validity of an instrument is demonstrated when that instrument performs its designed purpose. Validity answers the question; 'are the findings true?'

Validity is achieved through: divergence from initial expectations; extensive quotations; other research data like secondary sources; independent check of the data; multiple researches; and counterchecking of the findings with respondents to verify correctness of

data capture. Reliability of data on the other hand is achieved through ways like: multiple respondents on similar question, conducting similar interviews on the same respondent several times (Creswell and Millar, 2000; Joppe, 2000; Healy & Perry, 2000; Winter, 2000; Patton and Golafshan, 2003).

The study ensured validity by comparing the finding with assumptions of the study, verbatim quoting of the respondents, reviewing of previous empirical studies and reviewing relevant literature on the subject area. Data reliability was ensured through interviewing several respondents on the same aspects.

### **3.9 Data presentation, analysis and interpretation**

Data analysis is the process of looking at the data and summarizing it with intent to extracting useful information. Carl and Louise (2003) states that, data analysis is the act of transforming data with the aim of extracting useful information and facilitating conclusions.

The data collected was analyzed and interpreted bearing in mind the objectives and research questions of the study. Data was analyzed using qualitative analysis approach. Descriptive technique was mainly used to present and analyze qualitative data gathered from respondents through interviews. The content was analyzed and coded thematically. Frequency of responses was noted. Analysis was enhanced further by the use of distribution tables and percentages.

### **3.10 Summary**

This chapter has presented the research methodology to the study. In line with this, the chapter covers sub-themes comprising case study approach, study population and justification, sampling technique/procedure, data collection instruments, data collection

procedures, data validity and reliability, as well as data presentation, analysis and interpretation.

## CHAPTER FOUR

### DATA PRESENTATION, ANALYSIS AND INTERPRETATION

#### 4.0 Introduction

This chapter presents analysis and interprets the findings of the study. Data was collected through face-to-face interviews. Data presentation is descriptive in nature and analysis has been done according to study objectives. The presentation of the data has been done according to the way the questions were structured on the interview schedules following the study objectives and as per respondents' categories. Tables, percentages and figures are used to present data.

#### 4.1 Characteristics of respondents

##### 4.1.1 Characteristics of participants' level of education

The table below gives a summary of participants' level of education.

**Table 4.1 Education level of the participants (N=93)**

Level of Education	Number of respondents	Percent
Secondary	40	43
Certificate/Diploma	30	32.3
Degree /masters	23	24.7
Total (N=93)	93	100

From the table above, the level of education for each of the 93 participants revealed that; 40 participants representing 43% of the entire sample were of secondary level, 30 participants

representing 32.3% were of certificate/diploma level and 23 participants representing 24.7% of the entire sample were of degree/masters level

#### **4.1.3 Interview response rate**

The total number of respondents interviewed was 93 as per the study's intended population sample size giving a response rate of 100.00% as per categories indicated in table 4.1.

### **4.2 The nature and purposes of records management reforms in Dar Salaam City Council offices and their effectiveness in implementation of LGRP**

The first objective of the study was to establish the nature and purpose of records management reforms at Dar es Salaam City Council offices and their effectiveness in implementation of LGRP. Understanding the nature and purpose of records management is essential in effective implementation and sustenance of LGRP as all activities depends on the available records. During the interview sessions, all 93 respondents (i.e. 5 directors, 5 assistant directors, 10 action officers, 20 RMA, 20 RAMD, 8 LGRP, 5 PMs and 20 other records users) were interviewed on: awareness of LGRP; the purpose and objectives of records management reforms; types of reforms undertaken in records management; contribution of records reforms to the performance of duties in LGA; records management and effective planning, decision-making and implementation of council programs.

#### **4.2.1 Awareness of local government reform programmes**

The interview responses regarding awareness of the local government reform programme for each of the 93 participants is summarized in the table 4.3

**Table 4.2: Awareness of reforms undertaken to improve record keeping in LGA (N=93)**

<b>Responses</b>	<b>Directors</b>	<b>Ass. Directors</b>	<b>Action officers</b>	<b>RMA staff</b>	<b>RAMD staff</b>	<b>LGRP staff</b>	<b>PM staff and other record users</b>
Aware	5(100%)	5(100%)	9(90%)	18(90%)	18(90%)	8(100%)	24(96%)
Not aware	0(0%)	0 (0%)	1(10%)	2 (10%)	2 (10%)	0 (0%)	1(4%)
Total (N=93)	5	5	10	20	20	8	25

The participants were interviewed on the awareness of local government reforms programme.

This would give an overview of what is contained in LGRP.

#### **4.2.1.1 Data from directors**

From the above table, all 5(100%) directors interviewed reported that they were aware of the undergoing local government reform programmes.

#### **4.2.1.2 Data from Assistant directors**

5 (100%) Assistant directors representing the entire sample of assistant directors were of the view that, they were aware of the ongoing reforms programme within their City Council.

#### **4.2.1.3 Data from Action officers**

9 (90%) action officers interviewed were aware of the ongoing reforms programme, however 1(10%) action officer was not yet aware of the programme as he claimed that he was employed not more than two months ago.

#### **4.2.1.4 Data from RMA staff**

18(90%) records management assistants were aware of local government reforms programme, while 2 (10%) stated that they were not aware of the ongoing LGRP.

#### **4.2.1.5 Data from RAMD staff**

18(90%) RAMD staff interviewed were aware of the LGRP, while 2(10%) reported that they were not aware as they were new employees.

#### **4.2.1.6 Data from LGRP staff**

All 8(100%) LGRP staff of the entire sample, of LGRP staff interviewed was aware of the ongoing LGRP.

#### **4.2.1.7 Data from PMs Staff and other records user staff**

24(96%) PMs Staff and other records users of all the PMs Staff and other records users interviewed were also aware of the LGRP, while 1(4%) records user reports that she was not aware of the ongoing LGRP.

### **4.2.2 The purpose and objective of records management reforms**

The directors, assistant directors, LGRP staff and PMs staff were interviewed on the purpose and objectives of records management reforms undertaken at Dar es Salaam City Council. When asked about the purposes and objectives of records management reforms on the ongoing LGRP, the respondents responses varied as indicated in the following discussion.

#### **4.2.2.1 Data from directors**

The interview responses from 5(100%) directors regarding the purpose and objectives of records management reforms reports that, records management reforms was aimed to:

- Establish efficient recordkeeping procedures and system to support government functions and responsibilities
- Improvement of local service and local government service delivery
- Improve quality and availability of information with LGA across Tanzania

- Reduce operation costs
- Support better management decision- making

#### **4.2.2.2 Data from assistant directors**

Five assistant directors were interviewed during the study on the purpose and objectives of records management reforms constituting 5(100%) of the entire assistant directors sample size. The following were cited by respondents as purposes and objectives of records management reforms:

- Improvement of information flow in the local government authorities
- Improvement of quality and availability of information with LGA across Tanzania
- Reduce operation costs
- Support better management decision-making
- Assist the council in developing efficient, effective and sustainable records
- Improvement of local government service delivery

#### **4.2.2.3 Data from LGRP staff**

All 8 (100%) LGRP staff were interviewed on the purpose and objectives of records management reforms as they were the experts concerning the ongoing LGRP and that records management reform was one of the components in LGRP. They reported that, the purpose and objectives of record management reforms included:

- To establish efficient record keeping procedures and systems to support government functions and responsibilities

- Improvement of information flow in local government authorities
- Improve quality and availability of information with local government authorities across Tanzania
- Provide evidence of business, personal and cultural activity
- Assist the council in developing efficient, effective and sustainable records
- Improve efficiency and productivity
- Control the creation and growth of records
- Reduce operation costs and
- Support better management decision-making

#### **4.2.2.4 Data from PMs staff**

The interview responses regarding the purpose and aims of record management reforms for each of the 5(100%) PM's office staff revealed, that the purpose of records management reforms was to:

- establish efficient record keeping procedures and systems to support government functions and responsibilities
- Improvement of information flow in local government authorities
- Improve quality and availability of information with local government authorities across Tanzania
- Improve efficiency and productivity

- Reduce operation costs and
- Support better management decision-making

#### **4.2.3 Reforms undertaken in records management**

The interview responses regarding reforms undertaken in records management for each of the 5 Directors and 5 Assistant directors and the 20 RMAs participants is summarized in the table 4.4 below:

**Table 4.3: Reforms undertaken in record management by Dar es Salaam City Council (N=30)**

General reforms Directors /Assistant Directors observations (N=10)	Records management reforms Record management assistants observation ( N=20)
<ul style="list-style-type: none"> <li>• Land reforms</li> <li>• Legal sector reforms</li> <li>• Health sector reforms</li> <li>• Records management</li> <li>• Agricultural sector reforms</li> <li>• Gender mainstreaming</li> <li>• E-governance</li> <li>• Human- Capital</li> <li>• Private participation</li> <li>• Performance management improvement</li> </ul>	<ul style="list-style-type: none"> <li>• Developing of key word file classification scheme</li> <li>• Training and capacity building for records personnel</li> <li>• Decongestion of inactive files</li> <li>• Refurbishing of registries</li> <li>• Installation of control tools</li> <li>• Retrieval and tracking tools</li> <li>• Sensitization seminars for record users</li> <li>• Development of record centre guidelines and registry manuals</li> <li>• Development of retention and disposal schedules</li> <li>• Scanning of personnel records</li> <li>• Development of database for land records</li> <li>• Development of a new system for records personnel.</li> </ul>

The interview responses pertaining to the reforms undertaken for each of the 5 Directors, 5 Assistant directors and the 20 RMAs revealed that twenty reforms were being undertaken. These reforms were classified into two areas according to the respondents' responses (i.e. general reforms as reported by 5 directors and 5 assistant directors and records management reforms as reported by 20 RMA):

#### **4.2.3.1 Data from directors.**

5(100%) directors were interviewed on the types of reforms undertaken in the City Council.

They reported the following as the general reforms undertaken in the City Council:

- Land reforms
- Legal sector reforms
- Health sector reforms
- Agricultural sector reforms
- Gender mainstreaming reforms and
- Human- Capital reforms

#### **4.2.3.2 Data from assistant directors.**

5(100%) assistant directors constituting the entire sample were also interviewed on the same question to mention the types of reforms undertaken in the City Council. They stated that, the general reforms undertaken include:

- Legal sector reforms
- Health sector reforms
- Records management reforms
- Gender mainstreaming reforms
- E-governance reforms
- Human- Capital reforms

- Private participation performance management improvement reforms

#### **4.2.3.3 Data from RMA staff.**

20(100%) RMA staff constituting of the entire sample population were interviewed on the reforms undertaken in records management. 5(25%) of RMA staff mention: Developing of key word file classification scheme, Training and capacity building for records personnel, Decongestion of inactive files, and Refurbishing of registries

7(35%) RMA staff reported: Refurbishing of registries, Installation of control tools, Retrieval and tracking tools, Sensitization seminars for record users, and Development of record centre guidelines and registry manuals

4(20%) RMA staff reported: Development of retention and disposal schedules, Scanning of personnel records, Development of database for land records, and Development of a new system for records personnel.

Furthermore, the last 4(20%) RMA staff said that records management reforms includes: Development of a new system for records personnel, Developing key word file classification scheme, Training and capacity building for records personnel and Decongestion of inactive files as well as Refurbishing of registries

#### **4.2.4 Contribution of records to the performance of duties in the local government authorities**

The study sought to establish level of contribution of records to the performance of duties in local government authorities. One category of respondents (i.e. 10(100%) action officers) was interviewed on the contribution of records to the performance of their duties. This was because of their nature of duties that center on decision-making and implementation of

strategies which cannot be successful without the use of records. Table 4.5 summarized the results.

**Table 4.4: Action Officers' responses regarding contribution of records to the performance of duties (N=10)**

<b>Contribution</b>	<b>Number of Action Officers</b>	<b>Percentage</b>
Informed decision making and service delivery	4	40
Sources of information towards timely coordination, administration and preparation of budget	3	30
Critical for operating administrative procedures in LGA	3	30
Total (N=10)	10	100

From Table 4.5 above, the interview responses regarding the Contribution of records to the performance of duties in the local government authorities for each of the 10 Action officers revealed that 4(40%) action officers interviewed were of the view that records were essential for informed decision making and services delivery; 3(30%) action officers interviewed reported that records were a source of information towards timely coordination, administration and preparation of budgets; and 3(30%) action officers were of the view that records were critical for operating administrative procedures in LGA.

#### **4.2.5 Records management reforms and effective planning, decision making and implementation of Council programs.**

5(100%) directors, 5(100%) assistant directors, 10(100%) action officers, 20(100%) RMA staff, 20(100%) RAMD staff and 8(100%) LGRP staff totaling 68 was interviewed on the

improvement of records management reforms and effective planning, decision making and implementation of Council programs. Table 4.6 summarizes the results.

**Table 4.5 Record management reforms on effective implementation of Dar es Salaam City Council programs (N=68)**

Improvement brought by Reforms	Directors /Ass. Directors		Action Officers		RMA staff		RAMD staff		LGRP staff		Totals			
	Yes	No	Yes	No	Yes	No	Yes	No	Yes	No	Yes	%	No	%
Improved planning and decision making	7	3	8	2	18	2	20	0	8	0	61	89.7	7	10.3
Improved Information flow	8	2	10	0	20	0	20	0	8	0	66	97.1	2	2.9
Inactive files have been decongested	7	3	7	3	20	0	18	2	6	2	58	85.3	10	14.7
Improved retrieval, access and tracking of records	9	1	10	0	20	0	18	2	8	0	65	95.6	3	4.4
Refurbished registries	10	0	10	0	19	1	20	0	8	0	67	98.5	1	1.5

From the table 4.6 above, the interview responses pertaining to the improvement of records management reforms indicate the following:

#### **4.2.5.1 Data from directors and assistant directors**

7 (70%) directors and assistant directors accepted that reforms had improved planning and decision making; 8 (80%) participants accepted that reforms had improved planning and decision making; 7(70%) participants agreed that reforms had led to inactive files being decongested; 9(90%) participants accepted that reforms had been improved retrieval, access and tracking of records; and 10(100%) participants accepted that reforms had led to refurbished registries.

#### **4.2.5.2 Data from action officers**

The study revealed the following from 10(100%) action officers when they were interviewed: 8(80%) action officers of the entire sample, accepted that reforms had improved planning and decision making; 10(100%) participants accepted that reforms had improved planning and decision making; 7(70%) participants agreed that reforms had led to inactive files being decongested; 10(100%) participants accepted that reforms had been improved retrieval, access and tracking of records; and 10(100%) participants accepted that reforms had led to refurbished registries

#### **4.2.5.3 Data from RMA staff**

The study revealed the following from 20(100%) records management assistant staff when they were interviewed: 18(80%) RMA staff of the entire sample, accepted that reforms had improved planning and decision making; 20(100%) participants accepted that reforms had improved information flow; 20(100%) participants agreed that reforms had led to inactive files being decongested; 20(100%) participants accepted that reforms had been improved retrieval, access and tracking of records; and 19(95%) participants accepted that reforms had led to refurbished registries.

#### **4.2.5.4 Data from RAMD staff**

The study revealed the following from 20(100%) RAMD staff when they were interviewed: 20(100%) RAMD staff of the entire sample, accepted that reforms had improved planning and decision making; 20(100%) participants accepted that reforms had improved planning and decision making; 18(90%) participants agreed that reforms had led to inactive files being decongested; 18(90%) participants accepted that reforms had been improved retrieval, access and tracking of records; and 20(100%) participants accepted that reforms had led to refurbished registries

#### **4.2.5.5 Data from LGRP staff**

The study revealed the following from 8(100%) LGRP staff when they were interviewed: 8(100%) LGRP staff of the entire sample, accepted that reforms had improved planning and decision making; 8(100%) participants accepted that reforms had improved planning and decision making; 6(75%) participants agreed that reforms had led to inactive files being decongested; 8(100%) participants accepted that reforms had been improved retrieval, access and tracking of records; and 6(75%) participants accepted that reforms had led to refurbished registries.

#### **4.2.6 Discussion of the findings**

As expected, the results show that all the stakeholders of the Dar es Salaam City Council from the directors through the action officers to the records users are aware of the records management reforms that were taking place. Indeed there was optimism that reforms were bringing about changes that enhanced efficiency and effectiveness in the operation of the records management.

The findings on the reforms being undertaken at the Dares Salaam City Council indicated that an array of reforms in record management were being undertaken particularly regarding areas such as gender mainstreaming, performance management improvement, installation of proper records controls, retrieval and tracking; capacity development among others. Indeed results of the cross tabulation of the participation gender against the department worked in revealed that the ratio of male staff to female staff was almost one to one. This confirms that gender mainstreaming reforms were being undertaken.

The results of this study indicate that records management reforms as a component of LGRP have been developing, reviewing and disseminating standards concerning information

management and information flow at the Dar es Salaam City Council. This finding is consistent with those of Schacter (2000) who noted that “LGRP is about strengthening the way local government authorities are managed. It attempts to improve poorly designed local government programs with a view to improving poorly organized and delivered local authority services”. Although the awareness and purpose of records management reforms are consistent with previous studies (Schacter 2000), the small sample size used in the study cannot be regarded as conclusive evidence. Indeed these findings may have been as a result of fear of reprisals by the participants.

Furthermore, the findings are consistent with the expected reform component contained in the local government Act (1982). According to this Act, the local council and committees under the council are in a much stronger position to identify and execute policies that reflect the priorities of the local council and the local communities. By undertaking reforms in this regard, the Dar es Salaam City Council would be able to decentralize its financial and administrative functions resulting in improved local tax administration and improved accountability.

The findings on the contributions made by records to the performance of duties in the Dar es Salaam City Council indicated that among other benefits, the action officers were able to make informed decisions in service delivery; they were able to use records as sources of information for timely coordination, administration and preparation of budgets; and that records were central to the operation of administrative procedures in LGA. This finding is consistent with previous exploratory studies (i.e. Roper & Millar, 1999; Duranti, 2001; Shepherd & Yeo, 2003; Yusof and Chell, 2005).

The researcher noted that in the Dar es Salaam City Council's case, records were particularly used in planning, developing and implementing policies, keeping track of actions and effective service delivery. This was consistent with the findings of Kemoni, Ngulube & Stilwell (2007). Despite these consistencies, it is important to note that the small effect size of this sample could not be regarded as conclusive evidence in these findings.

Further, findings in this study indicated that reforms had an overall positive impact on decision making, planning and other service delivery. This finding was expected since the core objective of record management reforms was to streamline the activities of the council. Indeed the noted impact was highly approved at the council for as the chief accountant in the finance department of the city council observed, "Through reforms the council was able to develop a database that in turn could facilitate informed decision-making and service delivery related to employee matters." (Booklet 2, Local Government Reform Secretariat, 2007)

The records management reforms had a positive impact on registry. The researcher found out that the council was installed with new record management systems that included: - Keyword filing systems, transit sheet, file diary and bring up card. These systems have resulted in improved retrieval, access, tracking and storage of records.

These findings are indeed in line with the expectations of the records continuum concept as formulated by Frank Upward (Xiaomi, 2001). The researcher observed that the reforms tended to create a 'continuum' of the activities at the Dar es Salaam City Council.

### 4.3 Methods used by RAMD staff in addressing the records management issues during implementation of LGRP

The second objective of the study was to determine methods used by records and archives management division (RAMD) staff in addressing the records management issues during implementation of LGRP. RAMD is a government agency empowered by records management Act, No.3 of 2002 to supervise, inspect and give professional advice on records management to all government and private registry offices across the country. Directors and assistant director were interviewed on the advice received from RAMD staff and improved working relationship that needed between RAMD staff and Dar es Salaam City Council staff for effective implementation and sustainable LGRP.

#### 4.3.1 Giving advice to the Directors / Assistant Directors

Two categories of respondents (i.e. 5(100%) directors and 5(100%) assistant directors) were interviewed on the advice they receive from RAMD staff. Table 4.7 below gives a summary of response from those who participated.

**Table 4.6 Responses pertaining to Dar es Salaam City Council directors' reception of advice from the RAMD staff (N=10)**

Advice received	Directors		Assistant directors		Total( N=10)
	Yes	No	Yes	No	
Need for capacity building for records personnel and archivists	5 (100%)	0(0%)	5 (100%)	0(0%)	10
Installation of a new records management system that follows a continuum approach	4 (80%)	1(20%)	3(60%)	2(40%)	10
Record management evaluation	5 (100%)	0(0%)	4 (80%)	1(20%)	10

#### **4.3.1.1 Data from directors**

The interview responses whether they receive advice for each of the 5(100%) directors revealed that: the entire sample of directors interviewed conceded that they did receive advice related to the need for capacity building for records personnel and archivists, 4(80%) directors accepted that they had been advised on the need to install a new records management system that follows a continuum – approach; and all the 5(100%) directors interviewed indicated that they had received advice pertaining to the need for record management evaluation.

#### **4.3.1.2 Data from assistant directors**

The interview responses whether they receive advice for each of the 5(100%) assistant directors revealed that: the entire sample of all 5(100%) assistant directors interviewed conceded that they did receive advice related to the need for capacity building for records personnel and archivists, 3(60%) assistant directors accepted that they had been advised on the need to install a new records management system that follows a continuum – approach; and 4(80%) assistant directors of the assistant directors interviewed indicated that they had received advice pertaining to the need for record management evaluation.

#### **4.3.2 Improved working relationship between the RAMD staff and the Dar es Salaam City Council staff**

Further, 20(100%) RAMD staff was interviewed on the working relationship needed between themselves and the Dar es Salaam City Council staff towards effective implementation and sustainable LGRP. Their views are summarized in Table 4.8 below:

**Table 4.7 RAMD staff views regarding improved working relations with the Dar es Salaam City Council staff, (N=20)**

Factor	Number of RAMD staff	Percentage
Employment based on qualification	12	60
Sensitization seminars	18	90
Visits to clients	16	80
Increased resource allocation	20	100
Participatory involvement on records management issues	14	70
Review of scheme of service	20	100

An examination of the interview responses pertaining to the ways in which the RAMD staff and Dar es Salaam City Council could work together, for each of the 20(100%) RAMD staff revealed that 12(60%) of the RAMD staff were of the view that there is need for employment based on qualification; 18(90%) of the RAMD staff were of the view that there was need for sensitization seminars; 16(80%) conceded that there should be visits to clients; the entire sample of 20(100%) pointed to the need for increased resources allocation; 14(70%) advocated for participatory involvement on records management issues; and the entire sample of 20(100%) mentioned for a review of the scheme of service.

### **4.3.3 Discussion of the findings**

Records and information are key resources for government decision making and it is a shared responsibility to ensure they are well preserved, used and managed effectively. The government through RAMD issues various instructions to guide records management assistant staff and records users on issues to consider when working on files or dealing with official records and information. The current study indicated that there was good communication between the RAMD and the Dar es Salaam City Council. Findings show that

directors and assistant directors constantly received advice from RAMD relating to records and archives management. Such advice related to issues such as capacity building and need for new record management systems. These issues were usually identified through consistent records management evaluations.

Furthermore, the findings indicated that there was need to encompass factors that would enhance good working relations between the RAMD staff and the Dar es Salaam City Council staff. Factors such as employment based on qualification, sensitization seminars, visits to clients, increased resource allocations, participatory involvement on record management issues, and review of scheme of services were suggested.

This is in consistent with the requirement of the records management Act No.3 of 2002 Section 6(1) that charged RAMD with various functions. The division (RAMD) is charged with: Ensuring the public offices follow good record keeping practices; establishing and implementing procedures for the timely disposal of public records of no continuing value; advising on best practices and established standards in records keeping in the public service; establishing and implementing procedures for transfer of public records of enduring value for preservation in the National Archives or such other archival repository has may have been established under this Act; and the Department shall preserve and make available for consultation public records selected for preservation in the National Archives or any other archival repository under the control of the director

The division is also responsible for the introduction of modern records management systems in the councils so as to increase local government efficiency and accountability; provision of advise to LGA on best recordkeeping practices and standards. Its other activities include

establishment and implementation of retention schedules and procedures for the timely disposal council records of no continuing value; and establishment of vital records protection programmes in disaster preparedness

#### 4.4 Measures taken by Dar es Salaam City Council to sustain record management reforms

The third objective sought to establish measures taken by Dar es Salaam City Council management to sustain records management reforms. 5(100%) Directors, 5(100%) Assistant directors, and 20(100%) RMA staff was interviewed regarding measures taken by the council to sustain the reforms. The results are as presented in table 4.9.

**Table 4.8: Respondents view regarding sustainability of records management reform by Dar es salaam City Council Management, (N=30)**

Measures taken	Directors (n=5)		Assistant director (n=5)		RMA staff (n=20)		Total (n=30)
	Aware	Not aware	Aware	Not aware	Aware	Not aware	
Improvement of budget and resources allocation	5(100%)	0(0%)	5(100%)	0(0%)	15(75%)	5(25%)	30
Enhance capacity building through training	5(100%)	0(0%)	5(100%)	0(0%)	20(100%)	0(0%)	30
Staff the records management function with qualified staff	5(100%)	0(0%)	5(100%)	0(0%)	14(70%)	6(30%)	30
Educate and sensitize record users	4(80%)	1(20%)	4(80%)	1(20%)	14(70%)	6(30%)	30
Enhance teamwork with the RAMD section	5(100%)	0(0%)	4(80%)	1(20%)	18(90%)	2(10%)	30

The 30(100%) participants from three categories (i.e. Directors, assistant directors, and RMA staff) were interviewed on measures taken by Dar es Salaam City Council to sustain record management reforms. This would give an overview of the plans that are in place in the course of sustaining LGRP. Their views of each category were as presented below.

#### **4.4.1 Data from directors**

The interview responses pertaining to the measures taken by the Council to sustain reforms for each of the 5(100%) directors indicated that plans had been made to continue with reforms. 5 (100%) participants interviewed reported that plans were underway to improve budget and resources allocations; 5 (100%) reported that there were plans to enhance capacity building through training for records management personnel; 5 (100%) reported that they were aware of plans to staff the records management function with qualified staff; 4(80%) were aware of plans to educate and sensitize record users; and 5 (100%) indicated that there were efforts to enhance teamwork with the RAMD section.

#### **4.4.2 Data from assistant directors**

The interview responses pertaining to the measures taken by the Council to sustain reforms for each of the 5(100%) assistant directors indicated that plans had been made to continue with reforms. 5(100%) participants interviewed reported that plans were underway to improve budget and resources allocations; 5 (100%) reported that there were plans to enhance capacity building through training for records management personnel; 5 (100%) reported that they were aware of plans to staff the records management function with qualified staff; 4(80%) were aware of plans to educate and sensitize record users; and 4(80%) indicated that there were efforts to enhance teamwork with the RAMD section.

#### **4.4.3 Data from records management assistant staff**

The interview responses pertaining to the measures taken by the Council to sustain reforms for each of the 20(100%) records management assistant staff also indicated that plans had been made to continue with reforms. 15(75%) participants interviewed reported that plans were underway to improve budget and resources allocations; 20(100%) reported that there were plans to enhance capacity building through training for records management personnel;

14(70%) reported that they were aware of plans to staff the records management function with qualified staff; 14(70%) were aware of plans to educate and sensitize record users; and 18(90%) indicated that there were some efforts to enhance teamwork with the RAMD section.

#### **4.4.4 Discussion of the findings**

The findings of this study on sustainability of records management reform by Dar es Salaam City Council management indicated that measures has been taken to continue the process of records management reforms. To this end, measures such as improvement of budget and resources allocation, enhancement of capacity building through training, employment of qualified staff, educating and sensitizing record users, and enhancement of teamwork with the RAMD section were suggested.

The study also revealed that the records management assistants were keen to see directors, assistant directors and action officers play a pivotal role in ensuring that reforms are adequately funded and monitored. Indeed the participants noted other issues related to records management and commented as follows:-

- Lack of space at the Dar es Salaam City Council requires that RAMD make arrangement so that semi-current records congested in the LGA record centers, are transferred to the National archives.
- Efforts should be made to sustain and consolidate the records and archives management reforms in order to enhance efficiency and effectiveness in the operation of records management procedures and that this should be given its priority.

- Training and capacity building of records personnel as well as sensitization seminars should be improved.

This clearly confirms the enthusiasm that seems to have greeted the reform process.

The essential of records ties with Kemoni, Ngulube & Stilwell (2007) who observed that records are required for developing and implementing policies, planning, keeping track of actions, achieving consistency in decision making, providing effective service to citizens and achieving greater efficiency.

Shepherd and Yeo (2003) have emphasized the need for good recordkeeping towards supporting the organization's activities and processes. Availability of information contained in records is critical for survival of any organization. Thus, an organization needs to establish efficient and effective systems for controlling and managing records.

#### **4.5 Records management challenges experienced by Dares Salaam City Council management in the implementation of local government reforms.**

The fourth objective of the study was to identify records management challenges experienced by Dar es Salaam City Council management in the implementation of local government reforms. All categories of 93 respondents were interviewed (i.e. 5(100%) directors, 5(100%) assistant directors, 10(100%) action offices, 20(100%) RMA staff, 20(100%) RAMD staff, 8(100%) LGRP staff, 5(100%) PMs staff and 20(100%) other records users staff). The respondent's challenges were:

#### **4.5.1 Challenges cited by Directors**

3(60%) Directors reported on ever diminishing budgetary allocation on records management issues from the City Council due to limited financial resources; inadequate space for keeping semi-current records; and inadequate staff qualified in records management professionals. Further 4(80%) reported on need of sensitization seminar on records management issues to both staff; absence of records management policy; limited budget allocation; capacity building through training and lack of guideline and education for records users.

#### **4.5.2 Challenges cited by Assistant directors**

The challenges cited by assistant directors were;

- Inadequate infrastructure especially lack of records management policy which seems to constitute a major challenge
- Inadequate space in the record center
- Lack of adequate personnel trained in records management professional
- Limited funds which leads to minimal budget and
- Misfiling and loss/missing of files

#### **4.5.3 Challenges cited by Action officers**

Due to the nature of their duties that center on decision making, implementation of strategies and delivery of local government services and that cannot be successfully accomplished without the records in place, the study sought to identify both challenges before and after introduction of local government reforms. 10(100%) Action officer of the entire sample of action officers were interviewed.

Table 4.10 summarizes the challenges identified by Action officers before introduction of records management reforms.

**Table 4.9: Action Officers' responses regarding records management challenges before introduction of reforms (N=10)**

Challenge	Number of Action Officers	Percentage
inconsistency of records management procedures	8	80
lack of appropriate training for records management assistants	10	100
delay in records/ mails retrieval and circulation	7	70
misfiling	9	90
lack of guidelines and education for records users and file misplacement	10	100

Table 4.10 on the interview responses regarding the challenges in records management before the introduction of local government reforms for each of the 10(100%) Action officers revealed that there were inconsistency of records management procedures; 10(100%) action officers interviewed reported on lack of appropriate training for records management assistants; 7(70%) action officers interviewed reported on delay in records/ mails retrieval and circulation; 9(90%) action officers were of the view that there were persistent misfiling; and 10(100%) action officers were of the view that there was lack of guidelines and education for records users and file misplacement.

#### 4.5.3.1 Challenges cited by Action officers after introduction of records management reforms.

10(100%) Action officers of the entire sample were interviewed on records management challenges that still faces the Dar es Salaam City Council after the introduction of local government reform. The challenges identified are presented in Table 4.11.

**Table 4.10: Action Officers' responses regarding the existence of records management challenges facing Dar es Salaam City Council after introduction of reforms (N=10)**

Challenge faced	Still exists	Does not exist any more
Delay of retrieval of records	3(30%)	7(70%)
Misfiling	2(20%)	8(80%)
Lack of consistent records management procedures	5(50%)	5(50%)
Loss of records	1(10%)	9(90%)
Inadequate training of records management assistant staff	6(60%)	4(40%)

The interview responses for each of the 10(100%) action officers regarding the records management challenges faced after introduction of reforms revealed that: 3(30%) Action officers still reported a delay on retrieval of records, 2(20%) still reported existence of misfiling; 5(50%) still reported lack of consistent records management procedures; 1(10%) Action officers reported on loss of records; and 6(60%) reported on continued existence of inadequate training for records management assistant staff.

#### 4.5.4 Challenges cited by RMA staff

RMA staff are responsible for records keeping up-to-date; they ensure its movement and all correspondences within and among the organizations and they are information provider. The study sought to find out challenges facing them before and after the introduction of local government reforms.

Table 4.12 summarizes the challenges identified by RMA staff before introduction of records management reforms.

**Table 4.11: RMA staff' responses regarding records management challenges before introduction of reforms (N=20)**

Challenges	Number RMA staff	Percentage
opening and closing of files	14	70
misfiling	18	90
misuse of files by action officers	12	60
duplication of files	20	100
interference with files by action officers	16	80
excessive generation of records and paper work	18	90

Table 4.12 on the interview responses regarding the challenges in records management before the introduction of local government reforms for each of the 14(70%) RMA staff revealed that there were problems of opening and closing of files; 18(90%) RMA interviewed were of view on persistent misfiling; 12(60%) RMA staff interviewed reported on misuse of files by action officers; 20(100%) RMA staff was of the view that there was duplication of files; 16(80%) RMA staff were of view that there was interference with files by action officers; and 18(90%) RMA staff interviewed reported excessive generation of records and paper work.

#### 4.5.4.1 Challenges cited by RMA staff after introduction of records management reforms

Table 4.13 summarizes the challenges identified by RMA staff after introduction of records management reforms.

**Table 4.12: RMA staff<sup>9</sup> responses regarding records management challenges after introduction of reforms (N=20)**

Challenges	Number RMA staff	Percentage
opening and closing of files	1	10
misfiling	2	20
misuse of files by action officers	3	30
duplication of files	0	0
interference with files by action officers	2	20
excessive generation of records and paper work	5	25

#### 4.5.5 Challenges cited by RAMD staff

The challenges cited by RAMD staff were;

- Lack of enough staff training in records management professional
- Advice given out on records management are not instituted properly by some staff due to their level of education

- Scheme of service does not match with the qualifications attained thus demoralize the ability to secure more knowledge on the profession
- Absence of records management policy and other guidelines results in inconsistent records keeping, retrieval, circulation and control
- Control tools such as transit sheets, movement sheets, incoming and outgoing registries, bring up diaries index, among others are not effectively utilized and hence the task of managing records becomes difficult

#### **4.5.6 Challenges cited by LGRP staff**

The LGRP staff cited the following challenges:

- Lack of appropriate records management skills for records users
- Delay in records retrieval, and in access of right information at right time
- Lack of records management guidelines and education for records users and file misplacement and
- Limited budget allocation by the City Council on records management issues

#### **4.5.7 Challenges from PMs staff and Other records users**

The following challenges were cited by PMs staff and other records users:

- Delay in records retrieval
- Limited budget allocation by the City Council on records management issues
- Inadequate space in the registry office which leads to congestion of files

- Lack of records management education for records users

#### **4.5.8 Discussion of the findings**

The current study revealed that there were challenges facing the Dar es Salaam City Council in the records management before reforms were introduced. Such challenges were logistical problems related to the records management assistant staff and action officer staff. The challenges facing the records management assistant staff included: - opening and closure of files, misfiling, misuse of files by action officers, duplication of files, interference with files by action officers, and excessive generation of records and paper work. Challenges facing the action officer staff included: inconsistency of records management procedures, lack of appropriate training for records management assistants, delay in records/ mail retrieval and circulation, misfiling, lack of guideline and education for records users and files misplacement.

Furthermore, the directors and assistant directors pinpointed that, challenges facing them were includes: ever diminishing budgetary allocation on records management issues from the City Council due to limited financial resources; inadequate space for keeping semi-current records; inadequate of staff qualified in records management professionals; need of sensitization seminar to both staff; lack of education to records users; absence of records management policy as well as lack of capacity building through training. The study revealed that, these challenges were the same as that of LGRP staff, PMs staff and other records users.

The study established that due to the introduction of records management reforms, there was a noted decline in the challenges faced by mostly the action staff. It was revealed that there were very minimal cases of delay of retrieval of records, misfiling, and loss of records.

However the study revealed that, lack of consistent records management procedures, and inadequate training of records management staff is still not yet solved. The existence of the minimal challenges reported could be attributed partly to the low qualifications of some staff. The results of the table 4.2 on the education level of participants revealed that forty three percent of the sampled staff was of secondary education which in itself is a large proportion. Furthermore, challenges could be as a result of reluctance of the LGA to sustain reforms.

#### **4.6 Appropriate strategies that would help to address the challenges facing the Dares Salaam City Council records management reforms.**

The fifth objective of the study sought to establish from respondents the appropriate strategies that would help to address challenges identified by the study.

The interview responses for each of the 93 participants (i.e. 5(100%) directors, 5(100%) assistant directors, 10(100%) action officer, 20(100%) RMA staff, 20(100%) RAMD staff, 8(100%) LGRP staff, 5(100%) PMs staff and 20(100%) other records users) on appropriate strategies that would help to address the identified challenges facing the Dar es Salaam City Council records management reforms revealed the following:

##### **4.6.1 Strategies cited by Directors**

Appropriate strategies cited by directors were:

- “Establishing a working relationship with the RAMD staff”
- “Have appraisal of records to prevent accumulation of unnecessary records”
- “Continuous staff train in records management”
- “Acquire records management policies to address the problem of recordkeeping” and

- “Employment of appropriately qualified staff.”

#### **4.6.2 Strategies cited by Assistant directors**

The appropriate strategies cited by assistant directors were:

- “Have records management policy in place”
- “Undergo appraisal of records to address the problem of space”
- “Sensitization seminars on the importance of records management for all records users”
- “Improve the registry office layout” and
- “Encourage LGA facilitation (ownership system) to supplement limited budget”.

#### **4.6.3 Strategies cited by Action officers**

The action officers cited the following strategies:

- “Continuous staff train in records management”
- “Acquire records management policies to address the problem of consistent records management procedures”
- “Use control tools to solve problems related to loss/missing and misfiling files”
- “Records management budget given priority by the City Council”
- “Enhance monitoring and evaluation of the reform process”
- “Employment of appropriately qualified staff” and

- “RAMD should conducting public awareness programs on records management”

#### **4.6.4 Strategies cited by RMA staff**

The strategies cited by RMA staff were:

- “Improve the registry office layout”
- “Sensitization seminars on the importance of records management for all records users”
- “Review scheme of service”
- “Have records management policy, guidelines and procedures in place”
- “Continuous staff train in records management”
- “Acquire computerization to facilitate tasks in this digital era/new technology”
- “Have appraisal of records to prevent accumulation of unnecessary records” and
- “Establishing a working relationship with the RAMD staff”

#### **4.6.5 Strategies cited by RAMD staff**

The respondents cited the following strategies:

- “Review scheme of service”
- “Continuous staff train in records management”
- “Have records management policy, guidelines and procedures in place”
- “Recruitment based on qualification”

- “Effective use of the available records management tools” and
- “Increase budget allocation though with limited resource”.

#### **4.6.6 Strategies cited by LGRP staff**

The LGRP staff cited the following strategies:

- “Sensitization seminars/public awareness on the importance of records management for all records users”
- “Recruitment based on qualification”
- “Increase budget allocation”
- “Exercise participatory/ Involvement of both records officers and other staff” and
- “Carry out capacity building for records management personnel”.

#### **4.6.7 Strategies cited by PMs staff and other records users**

The respondents cited the following strategies:

- “Have appraisal of records to prevent accumulation of unnecessary records”
- “Recruitment based on qualification”
- “Effective use of the available records management tools and”
- “Continuous staff train in records management” and
- “Sensitization seminars to all records users”

#### 4.7 Researchers' observation at Dar es Salaam city council offices

THINGS OBSERVED	COMMENTS
1. Repository:  Space in the repository,  environmental condition, e.g. temperature and  facilities ,e.g. tables, chairs, ladder and shelves	<ul style="list-style-type: none"> <li>- Limited space for storage of closed files</li> <li>- good environmental condition with free air-circulation though not air-conditioned</li> <li>- well equipped facilities available e.g. chairs, tables, metal cabinets and shelves</li> </ul>
2. Security control	<ul style="list-style-type: none"> <li>- unauthorized person was restricted to enter the registry although the open registry door was not half cut as required by the standards</li> <li>- no fire detector/alarm and even fire extinguishers in registry rooms</li> </ul>
3. Procedures for requesting documents	<ul style="list-style-type: none"> <li>- By telephone, writing pads, by sending a person/the officer himself. <u>Registry procedures are inconsistent</u></li> </ul>
4. Physical condition of archival materials	<ul style="list-style-type: none"> <li>-Archives in registries are in good condition</li> <li>- archives in records centre are damped on floor, with a lot of dust, <u>tom</u> and affected with high temperature and organisms as the room is allocated at the upper stolen with limited space</li> </ul>
5. Availability of reprographic services e.g. photocopying	<ul style="list-style-type: none"> <li>- photocopy machine is available and done in the premises hence confidentiality is maintained</li> </ul>
6. Availability of finding aids	<ul style="list-style-type: none"> <li>- all necessary finding aids were available though not consistently used</li> </ul>
7. Time to be taken between request for records and delivery	<ul style="list-style-type: none"> <li>-5-15 minutes after inception of the reforms unlike 2-3 days before the undergoing reforms</li> </ul>
8. Availability and operations of standards, and disposal and retention schedule	<ul style="list-style-type: none"> <li>- Disposal and retention schedules are available though had never implemented</li> <li>- low operational of standards due to low educational level of some employees</li> </ul>
9. Availability of policies and legislations	<ul style="list-style-type: none"> <li>- No records management policy, legislation and other records management guidelines e.g. records management procedures have not been formulated</li> </ul>
10. Types of records	<ul style="list-style-type: none"> <li>- Mainly subject records and personnel records</li> </ul>

#### **4.7.1 Discussion of the findings**

It was observed by the researcher that records in the repository were stored in good environment of free air circulation though the room was not air-conditioned. All records in confidential registry were stored in metal cabinets while those in open registry were stored on metal and wooden shelves. The researcher observes that the available shelves in the open registry were not enough to accommodate all records as some records were kept in bundles on floor and on top of tables.

The findings of the study revealed that storage of records was good though with some short falls. The records centre in which the closed files (i.e. semi-current records) were stored had limited space. The boxed records in records center were dampened, not well arranged with a lot of dusts and cobwebs. The records centre experienced high temperature as it was located at the upper storen without general cleanliness.

The National Archives of India (NAI) (2006) pointed out that, the provision of congenial atmosphere for longevity of records requires that the climate of the storage area should show only slow and steady changes in temperature and relative humidity. Regulating temperature and relative humidity is possible only by an air-conditioning plant. However, in spite of best endeavor, failure of power which is endemic in many offices or breakdown of mechanical system results in stoppage of supply of conditioned air to the storage area and creation of pockets of stagnant air as the conditioned air is heavy. An accelerated growth of micro organism in such an eventuality brings about rapid decay of paper and other organic records components.

All control tools were available but less consistent used as it was observed by the researcher. There were some cases of files being taken by action officers without being registered and returned in the same way after being used.

The researcher furthermore observes that, the Council didn't have records management policies, procedures and legislation. On the other hand standards, retention and disposal schedules were available but not in practice as advised by the RAMD staff. This was due to educational level of the employees who needed to implement it.

**CHAPTER FIVE**  
**SUMMARY OF RESEARCH FINDINGS, CONCLUSION AND**  
**RECOMMENDATIONS**

**5.0 Introduction**

This chapter provides a summary of research findings of the study, conclusion and recommendations. The specific objectives of the study were to: Establish the nature and purposes of records management reforms in Dar Salaam City Council offices and their effectiveness in support of LGRP; Determine the methods used by RAMD Staff in addressing the records management issues during implementation of LGRP; Establish measures taken by Dar-es-Salaam City Council management to sustain records management reforms; Identify records management challenges experienced by Dar-es-Salaam City Council management in the implementation of local government reforms and to; Suggest appropriate strategies that would help to address challenges identified by the study.

The study was guided by the following research questions: How current records management practice support local government reforms?; What records management advices given to Dar es Salaam City Council management by RAMD staff in support of LGRP?; What records management challenges are faced by Dar es Salaam City Council Management during implementation of records management reforms?; How can the identified records management challenges be addressed?

The study provide Suggestions for further research. The following discussion presents each of these aspects.

## 5.1 Summary of research findings

This section provides a summary of the research findings based on the research questions that were formulated by the study.

### 5.1.1 Research question one: How current records management practice support local government reforms?

- 90(96.8%) respondents of the entire study population responded that they were aware of the existing local government reforms programme
- The purpose and objectives of LGRP include: Establish efficient recordkeeping procedures and systems to support government functions and responsibilities; improvement of local service and local government service delivery; improve quality and availability of information with LGA across Tanzania; reduce operation costs; support better management decision- making; provide evidence of business, personal and cultural activity; assist the council in developing efficient, effective and sustainable records; improve efficiency and productivity as well as control the creation and growth of records.
- Types of records management reforms undertaken through LGRP include: Developing of key word file classification scheme; training and capacity building for records personnel; decongestion of inactive files; refurbishing of registries; installation of control tools; retrieval and tracking tools; sensitization seminars for record users; development of record centre guidelines and registry manuals; development of retention and disposal schedules; scanning of personnel records;

development of database for land records; and development of a new system for records personnel.

- Contribution of reforms include: Informed decision making and service delivery; Sources of information towards timely coordination, administration and preparation of budget; Critical for operating administrative procedures in LGA
- Records management reforms had improved planning and decision making as well as retrieval, access and tracking of records. Moreover Inactive files have been decongested and Refurbished registries have been done to 38 Councils, training and capacity building for records personnel including installation of control tools have been taking place.

### **5.1.2 What records management advices given to Dar es Salaam City Council management by RAMD staff in support of LGRP?**

Records management advices given by RAMD staff to Dar es Salaam City Council management in support of LGRP include:

- Capacity building for records personnel and archivists
- Installation of a new records management system that follows a continuum approach
- Record management evaluation
- Sensitization seminars
- Visits to clients
- Increased resource allocation

- Participatory involvement on records management issues
- Review of scheme of service

### **5.1.3 Research question three: What records management challenges are faced by Dar es Salaam City Council Management during implementation of records management reforms?**

The study established that the Dar es Salaam City Council faces a number of challenges that hinder its support to implementation of records management reforms, namely:

- ever diminishing budgetary allocation on records management issues/limited budget allocation
- inadequate space for keeping semi-current records
- inadequate staff qualified in records management skills
- absence of records management policy
- lack of guidelines and education for records users
- Lack of consistent records management procedures
- Inadequate training of records management assistant staff
- misuse of files by action officers
- excessive generation of records and paperwork
- Advice given out on records management are not instituted properly by some staff due to their level of education

- Scheme of service does not match with the qualifications attained by registry staff
- Absence of records management policy and other guidelines results in inconsistent records keeping, retrieval, circulation and control
- Control tools such as transit sheets, movement sheets, incoming and outgoing registries bring up diaries, index, among others are not effectively utilized and hence the task of managing records becomes difficult.

#### **5.1.4 Research question four: How can the identified records management challenges be addressed?**

To enhance the support of Dar es Salaam City Council towards the achievement of records management reforms, the challenges facing the council need to be addressed. The following were proposed:

- Establishing a working relationship with the RAMD staff
- Have appraisal of records to prevent accumulation of unnecessary records
- Enhance employee capacity building through training
- Acquire records management policies to address the problem of recordkeeping
- Employment of appropriately qualified staff
- Use control tools to solve problems related to loss/missing and misfiling files
- Enhance monitoring and evaluation of the reform process
- RAMD should conducting public awareness programs on records management
- Review scheme of service.

- Exercise participatory/ Involvement of both records officers and other staff and
- Sensitization seminars

## 5.2 Conclusion

This section provides conclusions drawn from the study findings qualified by limited key data from the study findings.

The findings revealed that there were notable achievements brought about by records management reforms in local government service delivery after implementation of LGRP. Most of the respondents (i.e. 90(96.8%) out of 93(100%)) indeed accepted that they were aware of the ongoing LGRP. Consequently, the retrieval and access of information was easily carried out basing on the available records management controlling tools.

The greater challenge has been the absence of records management policies, procedures and standards which impacts to inconsistent records management procedure all over across the registries in the country. The study also revealed that, there was inadequate training for RMA staff and records users, recruitment not basing on records management skills, misfiling and loss/missing of files, excess generation of paper work, and inadequate space for keeping semi-current records, among others.

Further the study revealed that, not all the advice given by RAMD staff to Council staff were implemented either due to level of education to registry staff or reluctant to change by local government authority management, and it was observed that the space for keeping semi-current records is still a problem.

The findings furthermore revealed that there were notable achievements in the records management reforms towards the effective implementation of LGRP. However, it is evident

that despite the efforts made by the Government of Tanzania, donor community, records manager and archivists to improve records management reform, much needs to be done to sustain these reforms. This can be done by LGA management threow allocating adequate budget, training registry staff, developing standards and guidelines, recruiting staff with records management skills, educating and sensitizing records users, upgrading the records centers and archival repositories as well as monitoring and evaluation of the undergoing records management reforms.

In conclusion, the study revealed that Dar es Salaam City Council was faced with many challenges related to records management practices. This study had been set to help the Dar es Salaam City Council to realize the role of records management in supporting the effective implementation of LGRP.

### **5.3 Recommendations**

Recommendations of this study (as outlined below) are based on the findings related to role of records management in supporting the implementation of LGRP at Dar es Salaam City Council as presented, analyzed and interpreted in chapter four.

#### **5.3.1 Records management policy**

A records management policy statement is a statement of intentions. It sets out what the organization intends to do and, sometimes, includes an outline of the programme and procedures that will achieve those intentions. However, a policy statement on its own will not guarantee good records management: critical to its success are endorsement and active and visible support by senior management and the allocation of the resources necessary for the implementation. An effective policy statement will, therefore, identify a senior member of staff with lead responsibility for records management and for overseeing policy and

programme implementation. The policy statement should define responsibilities, authorities and inter-relationships as to establish and maintain a records management regime that meets the needs of internal and external stakeholders. It should be supported by procedures and guidelines, planning and strategy statements, disposition authorities and other document that together make up the records management regime (ISO15489-2: 2001).

From the findings of this study, it was revealed that LGA had no records management policies in place. Records management policy is, however, important as it sets out the responsibilities and includes an outline of the records management programme and procedures that can help an organization achieve its records management goals. The policy can also assist in buying in top management for allocation of resources, planning, setting standards, setting guidelines and disposition authorities upon the records management regime (ISO15489-2: 2001). This study recommends that LGA management in collaboration with the Director of Records and Archives Management Division develop and implement record management policies to guide responsibilities, resource allocation and setting out of standards.

Further, the findings of the study revealed that LGA did not have clear guidelines for records users. User guidelines are official statements which specify the rules and procedures on how records should be used. In fact, Roper and Millar (1999) have stated the rules and procedures that cover matters such as who has the authority to access and retain records. It is, therefore, recommended that the LGA management should promote effective use of records by promulgating guidance to action officers on recordkeeping, including simple aids specifying practices for the creation, keeping and use of records.

Having records management policy in place supported by procedures and guidelines, planning and strategy statements, disposition authorities and other document that together make up the records management regime will effectively support the implementation of local government reform programme.

### **5.3.2 Records centers**

It emerged from findings of this study that the LGA do not have sufficient space for storage of semi-current records. Further, the findings also revealed that RAMD has small storage used as records center and as such cannot transfer semi-current records from LGA. Lack of storage space for semi-current records has led to congestion of inactive records in registries. This has an adverse effect on decision making and service delivery because retrieval of records and information is delayed. As observed by Kennedy and Schauder (1995) developing and maintaining records center facilities is one of the key functions of records management that facilitates quick information retrieval in records management. They further argue that records center facilities enable semi-current records to be transferred, preserved, and accessed according to disposal schedules. This study is, therefore, recommending that the Director of LGA and Director of the RAMD upgrade records centers for storage of semi-current records in consultation with the Government, so that records no longer needed for active use should be transferred to records center.

Good records management in presence of records center will facilitate decision making, local government service delivery, accountability and transparency in LGA, which in turn leads to effective implementation and sustainable LGRP.

### **5.3.3 Scheme of service for records personnel**

A review of the scheme of service for records personnel was one of the records management reform components. However, the findings of this study have revealed that the new scheme of service did not consider registry staff as they could not progress to positions of responsibilities.

Roper and Millar (1999) state that a scheme of service should set out the qualification and level of experience required for entry into, and promotion within the class or cadre to which a scheme has been applied. They further argue that a scheme of service will typically include: conditions and qualification for appointment; duties and standards applicable to individual grades and posts; in-service training arrangements; promotion criteria; and provision for transfer into or out of and within the class.

It is thus recommended that the LGA management should effectively review the existing scheme of service, thereafter promote and implement the requirements of the reviewed scheme of service to records management assistant staff. Staff trained in records management profession will move to high level of responsibility in records management cadre in accordance with the reviewed scheme of service for records personnel.

Effective implementation and promotion of staff to high positions of responsibility according to reviewed scheme of service for records personnel will motivate employees to acquire high level of records management cadre. These in turn will enable the staff to work with competence hence efficient and effective support of LGRP.

#### **5.3.4 Records retention and disposal schedule**

Retention and disposal schedules identify records/records series that are maintained by local government authorities either for permanent preservation or destruction based on the values of records. Retention and disposal schedules define how long records need to be retained to satisfy the administrative, fiscal, legal and historical requirements, and they specify if/when records should be destroyed (Robek et al, 1999).

Approved schedules are legal documents approved by the Government of Tanzania through RAMD. Council records can be retained or destroyed legally under these approved schedules. The study findings revealed that, the LGA have records retention and disposal schedules in place although not effectively implemented. This study recommends that the LGA management implement the records retention and disposal schedules procedures already in place. To implement the retention and disposal schedules, the LGA management needs to consult the Director of RAMD for advice and authority on disposal.

Effective implementation of the retention and disposal schedules will enable the LGA management to understand which records should be maintained permanently due to their value and those needed to be destroyed. Retention and disposal schedules leads to decongestion of records in registries, which in turn provides space in registry office, thus easy accessibility of records. The available and easy accessibility of records will enhance effective decision making, and accountability in support of LGRP.

### **5.3.5 Records retrieval, circulation and control**

Records retrieval and mail circulation are key procedures in accessing and using records. They involve locating and distributing records, and delivering them for use (Roper and Millar, 1999). The study has identified problems related to the use of records. Therefore, this study suggests that LGA management and RAMD staff should put in place proper procedures (e.g. procedure manual, cards, automated filing equipment) for timely retrieval and distribution of records. Timely retrieval and circulation of records in turn will facilitate decision making, and accountability hence effective implementation of LGRP.

### **5.3.6 Control of records**

Managing records is much easier if the tools for controlling records are effectively utilized. Such tools include transit sheets, movement slips, incoming and outgoing mail registers, bring up diaries, index, file diaries and others. The effective utilization of these tools helps to solve problems of misfiling, loss and misplacement of files. However, the findings of this study revealed that the tools for controlling records in LGA were not used effectively. It is therefore, recommended that the LGA management and RAMD staff should promote the effective use of tools and standards in recordkeeping. This can be done by developing effective internal audit coverage and ongoing monitoring and supervision by RAMD staff. Effective utilization of control tools will result in good records management and hence effective and sustainable implementation of LGRP.

### **5.3.7 Adequacy and training of records personnel**

The study has also revealed that LGA have insufficient staffing levels in registries to perform records management tasks. The few available staff cannot cope with the workload. It is recommended that LGA management should establish appropriate levels of staffing and training for registries. They should recruit staff and offer them records management

professional training either at diploma, bachelors degree, and/or postgraduate levels. The training to be offered should address the issues of implementation of records management systems and procedure for records creation or receipt, distribution, use, storage, security as well as disposition.

According to IRMT (1999), persons appointed to a post in the records management facility, whether or not they already possess a professional, paraprofessional or specialist qualification, must be trained in the specific policies and procedures of the records management institution. Such training programmes should be part of the overall management strategy, and they should contain elements to support professional or career development for all members of staff, whatever their grades.

Further the author pinpointed that, all new members of records management staff should be given training on security, handling of documents and the use of procedures manual. All training should emphasize the uniqueness and importance of the records in their charge. In addition, all members of staff in public-sector records management facilities who are also new recruits to the civil service should be given all necessary information concerning appointment, pay, promotion, leave, pension, discipline, and so on.

Having adequate and trained personnel in records management within the LGA will enable successful and effective implementation of LGRP.

### 5.3.8 Computerization

The findings of the study revealed that the records management operations in the LGA were carried out manually. Manually processes are often associated with delays in the access and retrieval of information/records. Computerization enhances retrieval, distribution, tracking and access of records/information. According to Robek, et all (2002), automation of records offers the following benefits:

- It provides computer capability to establish total life cycle control over records on an enter-prise-wide basis
- It greatly improves the performance of the recordkeeping system, enhances the accessibility of the information contained in the records, so that the goal of precise and timely retrieval can be archived
- It provides multiple pathways by which the information contained in the recordkeeping systems can be accessed, which significantly optimizes the value of these systems to their users
- It provides significant benefits in work measurement, cost reduction, productivity improvement, and better service to customers and clients
- It provides a means of upgrading the status of the records management function and those who work in it

In LGRP is to be a reality, these thinking needs to be modified. Too often, managers regard technology as a panacea for the shortcoming of the existing record systems, procedures and communications infrastructure. Of course, computerized systems offer significant advantages

over conventional manual methods because they have limitations. Computer makes excellent information systems because that was the original purpose of many computer applications, but they are much less suited to recordkeeping systems. Data on the computer can easily become corrupted for one reason or another. Not every country accepts computer generated data as evidence in a court of law, but those that do, do so only on strict conditions.

In planning an automation project for records and archives management, the Dar es Salaam City Council should take into account the following steps as proposed by IRMT (1999):

- Understanding the underlying business processes
- Recognizing the importance of assessment and planning
- Understanding the environment in which the automation will take place
- Conducting an initial assessment
- Developing goals, objectives and priorities
- Determining resource needs
- Getting support for the project
- Conducting a visibility study and
- Assembling a project team and project structure

It is therefore recommended that the LGA should consider the computerization of records management systems and procedures in retrieval, distribution and tracking of records in this digital era for effective implementation and sustainable LGRP regardless its minimal

disadvantage over advantages it offers. The LGRP can be easily implemented as the retrieval of data needed for decision making is achieved on the spot as it is required.

### **5.3.9 Financial and technical resources for records management**

In addressing the measures that had to be taken in order to sustain reforms, the study found that LGA encountered problems in implementing programmes on time because of inadequacy of financial and technical resources. This study recommends that the government through LGA management should increase resources of funds (budget) in order to implement records management programme/issues on time. This can be done by putting in place a specific budgetary allocation for records activities in the LGA hence sustainability of LGRP.

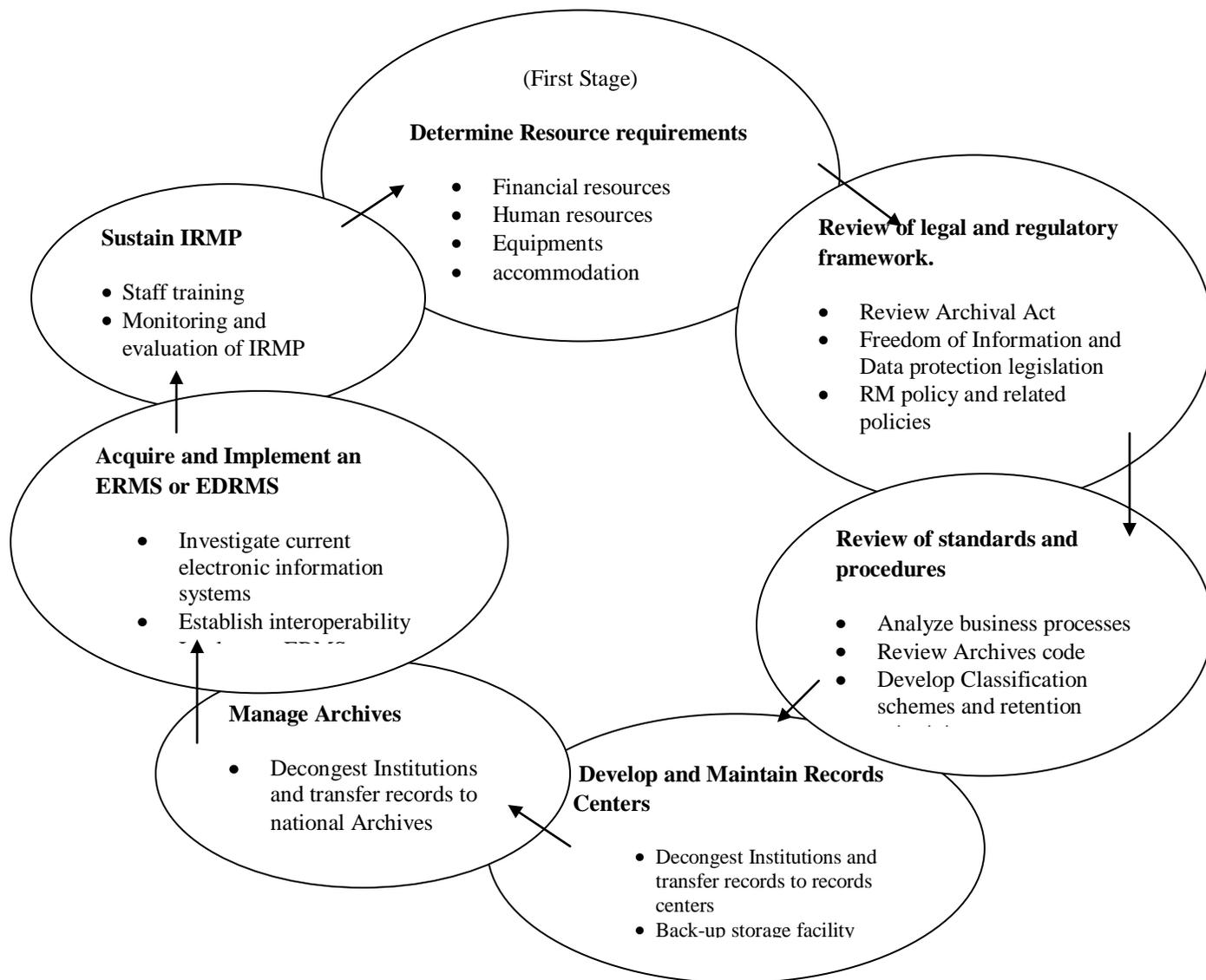
### **5.4 Proposed Records Management Model for Dar es Salaam City Council to support effective implementation of LGRP.**

The study proposes a model that could be used to ensure adequate records management in Dar es Salaam City Council to support the effective implementation of the undergoing LGRP. The suggested model presents eight steps that Dar es salaam City Council management would have to go through to ensure there is adequate records management support towards the implementation of LGRP. This steps and subordinate action points are shown in figure 5.2

The model has been adapted from existing models on records management namely: Records Lifecycle Model, Records Continuum Model and Integrated Records Management Model for Public Service of Namibia developed by Nengomasha (2009) adopted from the World Bank (2000). (See figure 5.2)

In the course of this study, the model of Nengomasha (2009) is modified as it suits the situation in LGA in line with the study findings. The model proposed by Nengomasha (2009) incorporates both traditional and electronic media. The model also incorporates best practice by adopting best available policies, methods, procedures, tools and processes that other have used to address records management challenges in the LGA (see Fig 5.1).

**Fig. 5.1 Integrated Records Management Programme for Public Service of Namibia**

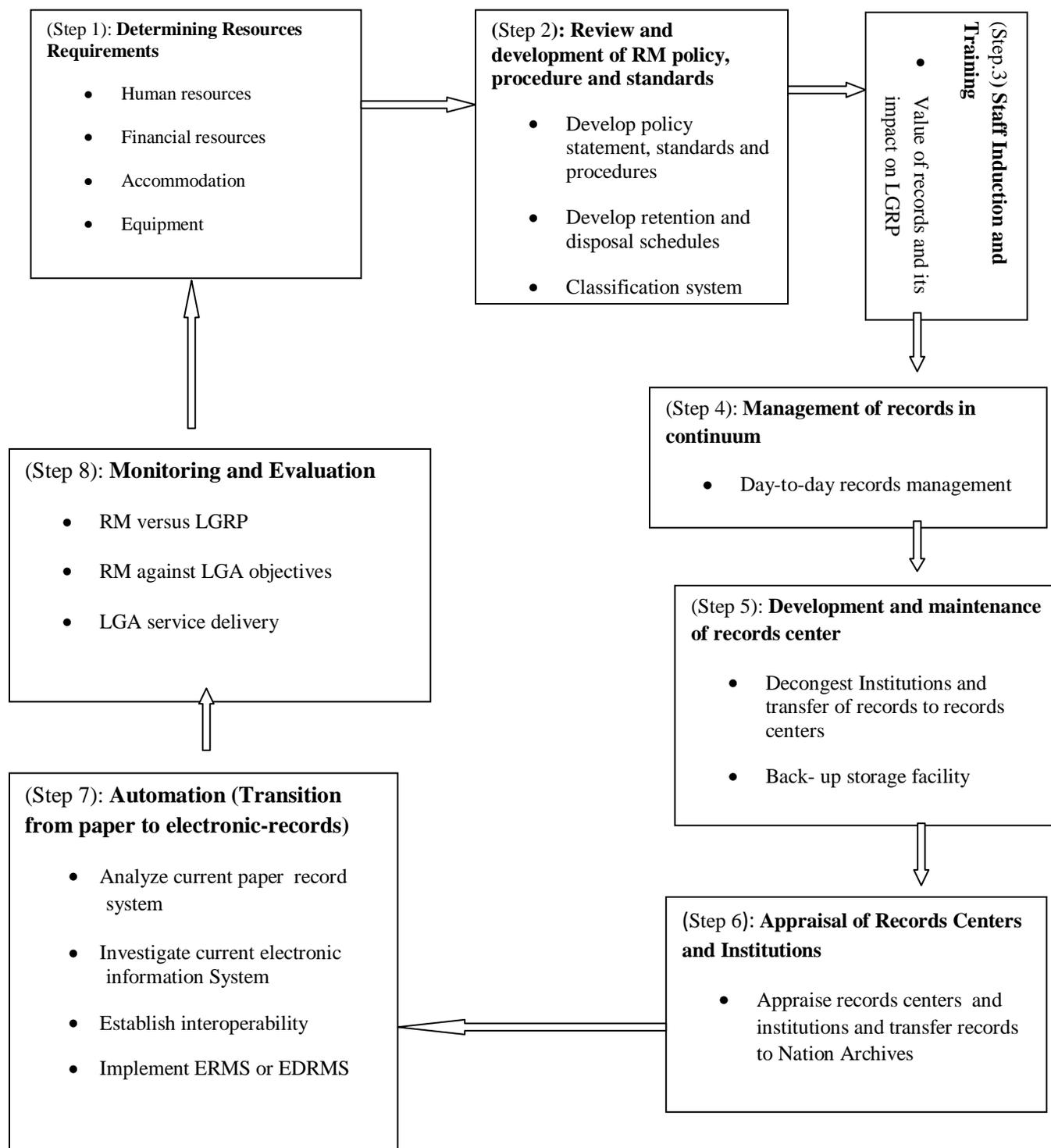


Source: *Nengomasha 2009*

The proposed model (Fig.5.2) recognizes the role of various key stakeholders in the management of records and archives in LGA as discussed in the Records and Archives Management Act No.3 of 2002 of the United Republic of Tanzania. It is expected that the proposed model will assist in strengthening records management and in particular the

implementation of LGRP in the LGA. It will also help to address records management challenges facing Dar es Salaam City Council management and LGA at large.

**Fig 5.2 Proposed Records Management Model for Dar es Salaam City Council to support effective implementation of LGRP**



**Step 1: Determining Resources Requirements**

This is essential in addressing records management challenges faced by LGA management.

These resources include:

- Secure financial resources
- Identify personnel requirements for the right people to drive the process
- Identify necessary equipment for records management
- Prepare and empower the expertise to drive the process in subsequent steps 2-to-8

**Step 2: Review and development of records management policy, procedure and standards**

This will give the records management functions a formal existence and structured approach as well as documented processes that can be transferred to facilitate organization learning and transferring of knowledge.

- Formulate policy statement on records management authorizing the records management function, position the records management function within the LGA management hierarchy and define authorities of responsibilities for the records management function.
- Develop a procedural manual to guide the LGA management and records management staff in creation, preservation, access, use, appraisal, classification, arrangement and description, storage, retention and archiving and disposal schedules of records both in paper and electronic forms

- Consider legal issues related to records management
- Review archival codes
- Develop classification scheme and retention
- Design classification system

### **Step.3: Staff Induction and Training**

Since all LGA staff creates records and they are involved in their use and that records impact on employees' performance, all staff must be trained in records management professionals to reinforce the value of records management on effective implementation of LGRP

Train all staff in the following skills

- Aim and objective of records management
- Use and benefits/values of records management
- Records management policies, procedures, and authority responsibility for records management functions
- Impact of records management on the implementation of LGRP

### **Step 4: Management of records in continuum**

This refers to full day-to-day management of records in the organization based on the established programme, policies, and procedures under setup physical resources and infrastructure and by the identified personnel and staff, from creation to disposition.

- The actual management of records to serve LGRP needs, fostering operational efficiency, compliance and overall local government service delivery, from creation to disposition. This is the most sensitive part and the core of records management in the effective implementation of LGRP in LGA.
- Enforce compliance of the records management programme, policies and procedures developed in step 2
- Implement the classification system designed in step 2
- Enroll all necessary expertise from records management staff, ICT staff, and consultants throughout this process to ensure records management adequately serve the effective implementation of LGRP
- Enforce compliance with international best of practice in records management, international standards like ISO 15489: 2001, professional ethics in records and archives management and legal issues in records management.

### **Step 5: Development and maintenance of records center**

Absence of records center in an institution leads to congestion of inactive or semi-current records in registries. This delays the process of retrieval and access of information in registries. Developing and maintaining records center facilities is one of the key functions of records management that facilitates quick information retrieval in records management. In presence of records center the following can be done:

- Decongestion institution and transfer records, preserve and access according to retention and disposal schedules

- Back-up storage facilities

### **Step 6: Appraisal of Records Centers and Institutions**

Archivists and records managers do not want to preserve useless records. They are selective in choosing materials for permanent retention in their archives, and the materials they choose must serve the purpose for which the archives were created. This selection processes is what referred as archival appraisal, i.e. is the process of determining the value, and thus the disposition of records based upon their current or future administrative, legal, fiscal value, their evidential and informational research value or their relationship to other records. It involves:

- Appraising records and institution
- Transfer appraisal records to national archives for permanent preservation or destroy the useless records in accordance to disposal schedule and Records and Archives Management Act No.3 of 2002 of the united republic of Tanzania

### **Step 7: Automation (Transition from paper to electronic-records)**

The following should be considered in automation of records:

- Before automation of the existing paper records analyze current paper record system to ensure the problems to be solved by automation system
- Investigate current electronic information system to be installed in terms of software and hardware

- Establish interoperability: involve ICT expertise, legal expertise, records management professional and security expertise among others
- Implement ERMS or EDRMS

### **Step 8: Monitoring and Evaluation**

This is the review of the records management systems to ensure they reflect the aspiration of the organization and contribute to the overall success of LGRP.

- Consistent review of the records management function against the LGRP function to assess the impact of records management on the ongoing LGRP
- Assess overall achievement of objectives of the records management function in relation to those of the LGA in achieving efficiency, effectiveness and economy in the organization
- Asses the improvement of local government service delivery before and after implementation of LGRP

### **5.5 Suggestions for further study**

The study makes the following suggestions for further research:

- (a) There is a need for further research regarding the importance of records management in local government service delivery;
- (b) Further research done on the challenges facing records management staff in public organization; and

(c) The research has been restricted to Dar es Salaam City Council of Tanzania. It is advisable that further research be done on the other City Councils in Tanzania like Arusha, Mwanza and Mbeya.

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**APPENDIX 1****THE ROLE OF RECORDS MANAGEMENT IN SUPPORTING LOCAL  
GOVERNMENT REFORMS PROGRAMME AT DAR ES SALAAM CITY  
COUNCIL, TANZANIA****INTERVIEW GUIDE FOR DIRECTORS (HDPT) AND ASSISTANT DIRECTORS****SECTION A.**

Name of local government authority.....

Department.....

Designation.....

Qualifications.....

Date of interview.....

**SECTION B.***Establish the nature and purposes of records management reforms in Dar Salaam City  
Council offices and their effectiveness in implementation of LGRP*

1. What are the reforms taking place at the City Council?
2. What are the main purposes of these reforms?
3. How successful have been the reforms in records management?
4. According to your understanding, what would you say was the impact of records management in the implementation of Local Government Reform Programme (LGRP) since inception?

***Determine the methods used by RAMD Staff in addressing the records management issues during implementation of LGRP***

5. Do you receive advice on records management from RAMD staff?
6. If yes, explain
7. Do you consider the advice helpful?
8. If yes, explain?

***Establish measures taken by Dar es salaam City Council management to sustain records management reforms***

9. Do you take any measures to sustain records management?
10. If yes, Please explain.
11. What provisions exist for records management in terms of resources, facilities and staffing?

***Identify records management challenges experienced by Dar es salaam City Council management in the implementation of records management reforms***

12. Do you face any challenges in implementation of LGRP?
13. If yes, please explain.

***Suggest appropriate strategies that would help to address challenges identified by the study.***

14. What do you think should be done concerning records management in the City Council to ensure success implementation of LGRP?

**Thank you for your cooperation**

**APPENDIX 2****THE ROLE OF RECORDS MANAGEMENT IN SUPPORTING LOCAL  
GOVERNMENT REFORMS PROGRAMME AT DAR ES SALAAM CITY  
COUNCIL, TANZANIA****INTERVIEW SCHEDULES FOR ACTION OFFICERS****SECTION A.**

Name of local government authority.....

Department.....

Designation.....

Qualifications.....

Date of interview.....

**SECTION B.***Establish the nature and purposes of records management reforms in Dar Salaam City  
Council offices and their effectiveness in implementation of LGRP*

1. Are you aware of the local government reforms programme?
2. What are the contributions of records to performance of duties in LGAs?
3. To what extent do services provided by registry staff affects the implementation of LGRP.

4. What are the impact of records management reforms on effective planning, decision-making, and implementation of council programs?
5. Does your department have a written policy document for records management?
6. If yes, how do you evaluate it in relation to the implementation of LGRP?

***Establish measures taken by Dar es salaam City Council management to sustain records management reforms***

7. Do you take any measures to sustain records management?
8. If yes, Please explain.
9. What provisions exist for records management in terms of resources, facilities and staffing?

***Identify records management challenges experienced by Dar es salaam City Council management in the implementation of records management reforms***

11. Do you face any challenges in the implementation of LGRP?
12. If yes, what specific challenges?
13. How do you cope with these challenges?

***Suggest appropriate strategies that would help to address challenges identified by the study.***

14. What measures should be taken to improve the use and management of records?

**Thank you for your cooperation**

**APPENDIX 3**

**THE ROLE OF RECORDS MANAGEMENT IN SUPPORTING LOCAL  
GOVERNMENT REFORMS PROGRAMME AT DAR ES SALAAM CITY  
COUNCIL, TANZANIA**

**INTERVIEW SCHEDULES FOR RECORDS MANAGEMENT ASSISTANTS****SECTION A.:**

Name of local government authority.....

Department.....

Designation.....

Qualifications.....

Date of interview.....

**SECTION B.**

*Establish the nature and purposes of records management reforms in Dar Salaam City  
Council offices and their effectiveness in implementation of LGRP*

1. Are you aware of the local government reforms programme?
2. With the restructuring of records/registry services, would you say services provided by the registry have improved towards the implementation of LGRP?

3. If yes, please explain.
4. How do you evaluate the contribution of records management reforms before and after implementation of LGRP?
5. Does the registry have written guidelines stating which records must be created, retained and access restrictions to departmental records?
6. If yes, how effective it is?
7. If no, how do you guide records from the unconcerned?
8. Do you have records centre for semi-current records?
9. If no, where do you keep your semi-current records?
10. Do you have records management tools?
11. If yes, mention the tools you have
12. If no, how do you control records movement within and outside of your office?

***Determine the methods used by RAMD Staff in addressing the records management issues during implementation of LGRP***

13. Do you receive advice on records management from RAMD staff?
14. If yes, explain
15. Do you consider the advice helpful?
16. If yes, explain?

***Establish measures taken by Dar es salaam City Council management to sustain records management reforms***

17. Has Dar es Salaam City Council taken measures to sustain records management reforms?

18. If yes, to what extent have been measures be helpful in sustaining LGRP

*Identify records management challenges experienced by Dar es salaam City Council*

*management in the implementation of records management reforms*

19. Do you face any challenges in implementation of LGRP?

20. If yes, please explain.

*Suggest appropriate strategies that would help to address challenges identified by the study.*

21. What suggestions would you make to minimize the existing challenges in records management reforms?

**Thank you for your cooperation**

**APPENDIX 4**

**THE ROLE OF RECORDS MANAGEMENT IN SUPPORTING LOCAL  
GOVERNMENT REFORMS PROGRAMME AT DAR ES SALAAM CITY  
COUNCIL, TANZANIA**

**INTERVIEW SCHEDULE FOR RAMD STAFF****SECTION A.**

Name of local government authority.....

Department.....

Designation.....

Qualifications.....

Date of interview.....

**SECTION B.**

*Establish the nature and purposes of records management reforms in Dar Salaam City  
Council offices and their effectiveness in implementation of LGRP*

1. Does the current records management continuum practice affect the implementation of LGRP?

2. If yes, please explain

3. How do you evaluate the current records management continuum practice before and after implementation of LGRP?

4. What changes are brought about by records management reforms?

***Determine the methods used by RAMD Staff in addressing the records management issues during implementation of LGRP***

5. Does RAMD staff provide any advice to management of Dar es Salaam City Council that supports the implementation of LGRP?

6. If yes, please explain

7. Do you consider the advice helpful?

8. If yes, explain?

9. In which ways RAMD staff and City Council staff can work together more effectively?

***Identify records management challenges experienced by Dar es salaam City Council management in the implementation of records management reforms***

10. Do you face any challenges in implementation of LGRP?

11. If yes, please explain.

***Suggest appropriate strategies that would help to address challenges identified by the study.***

12. What should be done to sustain these reforms?

**Thanks for your cooperation**

**APPENDIX 5**

**THE ROLE OF RECORDS MANAGEMENT IN SUPPORTING LOCAL  
GOVERNMENT REFORMS PROGRAMME AT DAR ES SALAAM CITY  
COUNCIL, TANZANIA**

**INTERVIEW SCHEDULE FOR LGRP STAFF****SECTION A.**

Name of local government authority.....

Department.....

Designation.....

Qualification.....

Date of interview.....

**SECTION B.**

*Establish the nature and purposes of records management reforms in Dar Salaam City  
Council offices and their effectiveness in implementation of LGRP*

1. What are the reforms taking place at the City Council?
2. What are the main purposes of these reforms?
3. What were the components of records management reforms?

4. Does the current records management continuum practice affect the implementation of LGRP?

5. If yes, please explain

6. How do you evaluate the current records management continuum practice before and after implementation of LGRP?

***Identify records management challenges experienced by Dar es salaam City Council management in the implementation of records management reforms***

7. Do you face any challenges in implementation of LGRP?

8. If yes, please explain.

***Suggest appropriate strategies that would help to address challenges identified by the study.***

9. What should be done to sustain these reforms?

**Thank you for your cooperation**

**APPENDIX 6**

**THE ROLE OF RECORDS MANAGEMENT IN SUPPORTING LOCAL  
GOVERNMENT REFORMS PROGRAMME AT DAR ES SALAAM CITY  
COUNCIL, TANZANIA**

**INTERVIEW GUIDE FOR PRIME MINISTER'S OFFICE STAFF AND OTHER  
RECORDS USERS (KEY INFORMANTS)**

**SECTION A.**

Name of local government authority.....

Department.....

Designation.....

Qualifications.....

Date of interview.....

**SECTION B.**

*Establish the nature and purposes of records management reforms in Dar Salaam City  
Council offices and their effectiveness in implementation of LGRP*

1. Are you aware of the local government reforms programme?
2. What are the main purposes of these reforms?

3. How successful have been the reforms in records management before and after implementation of LGRP?
4. What are the records management infrastructures required by Dar es salaam City Council to implement LGRP?

*Identify records management challenges experienced by Dar es salaam City Council management in the implementation of records management reforms*

5. Do you face any challenges in implementation of LGRP?
6. If yes, please explain.

*Suggest appropriate strategies that would help to address challenges identified by the study.*

7. What should be done to sustain these reforms?

**Thank you for your cooperation**

**THE ROLE OF RECORDS MANAGEMENT IN SUPPORTING LOCAL  
GOVERNMENT REFORMS PROGRAMME AT DAR ES SALAAM CITY  
COUNCIL, TANZANIA**

**PRE-TEST CHECKLIST FOR INTERVIEW SCHEDULES**

**SECTION A.**

Name of local government authority.....

Department.....

Designation.....

Qualifications.....

Date of interview.....

**SECTION B.**

**Objectives of the study**

This study aims to fulfill the following objectives: to

- Establish the purposes of records management reforms at the Dar es Salaam City Council offices and their effectiveness in implementation of LGRP.
- Determine the methods used by RAMD Staff in addressing the records management issues during implementation of LGRP
- Establish measures taken by Dar-es-Salaam City Council management to sustain records management reforms

- Identify records management challenges experienced by Dar-es-Salaam City Council management in the implementation of local government reforms and
- Suggest appropriate strategies that would help to address challenges identified by the study.

### PRE-TEST QUESTIONS

7. Are there any words that are spelt incorrectly? Yes { } No { }

If yes, please indicate them in the interview schedule.

8. Is the font size used in the interview schedules legible? Yes { } No { }

If no, please provide suggestions.

.....

9. Is the vocabulary used appropriate for the different categories of respondents?

Yes { } No { } If no, give suggestions.

.....

.....

10. Are there any questions in interview schedule that are not clear?

Yes { } No { } If yes, mark them in the schedules and provide suggestions to improve

clarity.....

11. Is the sequence of questions flowing in the schedules? Yes { } No { }

If no, provide

suggestions.....

12. Are all the objectives adequately covered in the questions in the interview schedule?

Yes { } No { } If no, please indicate the specific objectives not adequately covered and give suggestions on kind of questions to ask.

.....

.....

13. Kindly suggest any other ideas that will improve the quality of the interview schedules.

.....

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**APPENDIX 8**

**THE ROLE OF RECORDS MANAGEMENT IN SUPPORTING LOCAL  
GOVERNMENT REFORMS PROGRAMME AT DAR ES SALAAM CITY  
COUNCIL, TANZANIA**

**OBSERVATION CHECKLIST SCHEDULE**

<b>THINGS TO OBSERVE</b>	<b>COMMENTS</b>
1.Repository: Space in the repository, environmental condition, e.g. temperature and facilities ,e.g. tables, chairs, ladder and shelves	
2. Security control	
3. Procedures for requesting documents	
4. Physical condition of archival materials	
5. Availability of reprographic services e.g. photocopying	
6. Availability of finding aids	
7. Time to be taken between request for records and delivery	
8. Availability and operations of standards, and disposal and retention schedule	
9. Availability of policies and legislations	
10.Types of records	

**APPENDIX 9: INTRODUCTORY LETTER FOR RESEARCH PERMIT**

**APPENDIX 10: RESEARCH PERMIT**

**APPENDIX 11**

**THE ROLE OF RECORDS MANAGEMENT IN SUPPORTING LOCAL  
GOVERNMENT REFORMS PROGRAMME AT DAR ES SALAAM CITY  
COUNCIL, TANZANIA**

**RESEARCH PROGRAMME**

<b>Event</b>	<b>Dates</b>
Defense of research proposal	September 2009
Applications for research permit	Oct. 2009
Data Collection	Oct-Dec 2009
Presentation, analysis and interpretation of data	January 2010
Writing of first draft of thesis	February 2010
Reading of second draft by supervisor	April. 2010
Revision of second draft of thesis	May 2010
Submission of second draft of thesis	June 2010
Correction of second draft of thesis	June 2010
Submission of final draft of thesis	Sept 2010
Thesis defense	November 2010