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LECTURER: MRS. DAKA

SUPERVISOR: MR. HAMOOYA

STUDY MODE: PARALLEL

NAME: CHOOLWE NALUBE 2017012863
MEMORY KHONDOWE 2017008727
SANDE KALUMBA BANDA 2017004877

TOPIC:
An investigation on the record management practices among traditional leaders in rural areas. A case study of Chongwe District.

DECLARATION

I, Choolwe Nalube 2017012863 Memory Khondowe 2017008727 Sande Kalumba Banda 2017004877, do hereby declare that this dissertation represents our own work and that all work of other persons has been duly acknowledged; and that it has never been previously submitted for a degree or other qualifications at this University or indeed any other for similar purposes.

DEDICATION

The dissertation is dedicated to our parents, brothers, sisters, uncles, aunties, other family members, friends and lecturers for their unweaving support during this challenging academic journey.

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Firstly, we would like to thank the almighty God for bringing us far in our academic lives and for giving us the strength and ability to write this paper. We would also like to thank our Lecturer Mrs Daka and our supervisor Mr Hamooya for their invaluable support in guiding us through the research proposal and report.

Abstract

The aim of this paper is to investigate the record management practices among traditional leaders in rural areas; A case study of Chongwe District. The study outlines a number of factors affecting good record management practices among traditional leaders in Chongwe. Only 60% practiced record keeping with the other 40% stating of not having the appropriate skill in record that's why they did not keep records. Most leaders used a manual record keeping which employed two systems; shelves and drawers accounting to over 65% with the rest being electronic practice. Despite this record keeping faces weaknesses (*outlined in-text on report*). The report is also informed by key informants at the Ministry of Chiefs and Traditional Affairs who as well had an overwhelming view to traditional leaders using manual record keeping systems of up to 73.3% seemingly the most appropriate resulting to electronic record keeping being used by a small section of leaders despite its advantages. The Study further indicates how record keeping management improves service in a community highlighting three major reasons; decision is based on evidence in the records, good record keeping management identifies outstanding action and operational efficiency and effectiveness in service delivery. Training has been employed in this report as one of the strategies to improve record keeping as it serves as a valuable tool, when staff are knowledgeable and confident in their role, it allows management's ability to transfer that confidence to higher authorities knowing that staff are being trained correctly. The study also outlines challenges ranging from the most common ones such as not knowing the importance of record keeping, misplacement of records, solutions to the challenges as well as recommendations are made.

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CHAPTER ONE

1.0 Introduction

This chapter presents the background to the study, statement to the problem, the main objectives of the study, research questions, and the scope for the study, significance of the study and the definition of operational terms.

1.1 Background

Traditional institutions in modern day Africa, just like elsewhere in the world, have been in existence since the precolonial era. Crook (2005, 1) defines traditional institutions as all those forms of social and political authority which have their historical origin in the precolonial states and societies. Since their existence, traditional institutions have been able to generate various information which they use throughout their operations. This information is managed mainly through record keeping and manual retrieval especially in places where there is little or no use of technology to enhance record management (Read and Ginn, 2007).

With the use of technology, organizations as well as traditional institutions can develop records management frameworks and systems designed to ensure that records are managed appropriately. This commences with the creation and subsequent capture of records in recordkeeping systems, through to their maintenance and use, and ultimately their destruction (Barry, 1994; Chirwa (2014). Failure to do so renders it difficult to utilize records efficiently. Records management involves the systematic control of an organization's or institution's records from their creation or receipt, through their processing, distribution, organization, storage and retrieval to their ultimate disposition (Read and Ginn, 2007).

In Zambia in particular, traditional record management system remains undeveloped in most areas. According to Kennedy and Schauder (1994), most of the traditional leaders still use the more traditional ways of managing records. Although most of the records management methods used in some rural areas around the country are unconventional, there has been some transformation in how traditional leaders manage their records in the past two decades. The use of modern record practices such as the use modern stationery like exercise and notebooks, in some cases without carbon copies, and ballpoint pens to create documents has seen an immense increase. In most cases, administrative tasks, including records management, are delegated to members of traditional councils, who are also referred to as secretaries.

Nabombe (2012) argued that the unconventional record management system in traditional set-up presents many challenges relating to records management. It is often hard for the locals to have access to some documents in the area from the traditional leaders, documents such as proof of residence or just mere receipts for payment of land or asset belonging to the chiefdom. The area of records management in rural areas has been one of the critical areas which has not been given much attention it deserves since the independence. Such a neglect of a critical functional area in respect of records management can be felt in the rapid loss of societal memory on important customs and crucial past events, especially within rural traditional communities led by traditional institutions of leadership and governance. Records management is not only a tool for interpreting the past, but is also a vital component for predicting the future (Mnjama 2004, 33). The issue of records management has become a serious one to the extent that many residents are beginning to question the ability of traditional institutions to govern and lead in a democratic society that is battling with accountability and transparency issues. This study aims to investigate the records management practices of traditional leaders in Chongwe District of Lusaka Zambia.

1.2 Statement of the Problem

Over the years there have been different records keeping practices among traditional leaders these include the use of leaves, skins, tree bark, stones, clay etc. to document information by traditional leaders. However, due to rapid changing society, traditional leaderships are struggling to stay relevant. Hence in order to stay relevant within the changing environments it is important for the leaders themselves to show transparency and be accountable in their record management practices. Failure to properly manage records can result to loss of communal memory and lack of trust from rural community members.

Traditional leaders act a pivotal role in the storage of information for a geographical area they are in charge in. Most traditional leaders do not have a proper way of recording their documents or the documents of the activities they get to perform. Most of the archives are not computerized and this makes it difficult for retrieval of some documents. If not properly documented, records in rural areas are likely to suffer from loss due to improper storage, unprotected disaster, and random destruction.

Hence considering the fact that there are still traditional leaders in rural areas the aim of this study was to investigate the records management practices, the challenges faced and how these

challenges could be addressed in order to sustain and acquire better record keeping practices among traditional leaders.

1.3 Objectives

To investigate the records management practices of senior leaders and headmen/women in traditional offices in Chongwe District.

1.3.1 Specific objectives

1. To establish the types of methods used by traditional leaders in managing records in Chongwe District.
2. To determine the records keeping systems used in managing records among traditional leaders in Chongwe District.
3. To identify the benefits derived from proper records management.
4. To find out the challenges that traditional leaders face with records management

1.3.2 Research questions

The study answered the following research questions:

1. What methods do traditional leaders in Chongwe District use in managing records?
2. What filing and classification methods do traditional leaders in Chongwe District use in keeping records?
3. What are the benefits of proper records management?
4. What are the challenges associated with records management?

1.4 Significance of the Study

The findings of this study are of significance practically and theoretically. Practically, the outcomes inform various stakeholders such as the government concerning the essence of records management in traditional setups. Theoretically, the findings augment the body of knowledge by contributing to the literature on the significance of records management practices in our society (traditional setup). Additionally, the study may also boost easy access to records through emphasizing on the significance of effective records management practices in organizational management. For researchers, the study may provide them with a basis for conducting more studies on the topic of traditional record management and fill the gap this study may leave.

1.5 Scope of the Study

This study only focused on record management practices among traditional leaders in Chongwe district of Lusaka province. It was therefore restricted to rural area within Chongwe District. The study was also limited to the study objectives that include determining the filing and classification method used in managing records among traditional leaders, assessing the information culture among traditional leaders and making recommendations on the improvements in record keeping practices in traditional offices. Hence, an investigation on the records management practices created insight on the study topic.

1.6 Limitations of the Study

An effective completion of this study was constrained by limitations of time, finances, and access to sufficient and effective secondary resources to augment the accessible information. The challenge where resolved through setting aside some income each month for research purposes. The challenge of secondary resource accessibility was resolved through gaining access to some academic sites such as Google Scholar, Google Books, and ProQuest which sufficiently supplemented the Library sources.

1.7 Operational Terms and Concepts

Record

A record refers to information that an organization or person creates, receives, and maintains as evidence in the process of business transaction or pursuance of legal obligations (Makhura, 2005)

Record creation

Record creation entails the development of consistent regulations to ensure accessibility and integrity through deciding techniques to track and log records by following specified processes for the registration, classification, and indexing of information (Kirkwood, 2000).

Record Preservation

Record preservation refers to all the operations and processes involved in the protection and stabilization of documents against deterioration or damage and in the treatment of deteriorated or damaged documents (Mnjama, 2004).

Recordkeeping

Recordkeeping refers to the making and maintenance of accurate and reliable proof of business operations through recorded information (Abbot, 2001).

Records management

Records management refers to the incorporation of various practices aimed at the proper management of an organization's information. It also entails the systematic control of all the records of an organization during the course of their life cycle for the attainment of operational business needs, fiscal and statutory requirements, as well as, the expectation of the community at large (Chinyemba, 2003)

1.8 Chapter Summary

This chapter provides a comprehensive introduction and background to the study. The chapter highlights the existing knowledge gap on the records management practices by traditional leaders and a need for literature and empirical expansions. The chapter looked at the background of the research in which some importance and challenges traditional leaders face with the records management were discussed. The statement of the problem stressed that problem of traditional record management is attributed to lack of computerized archives which this makes it difficult for retrieval of some documents. Further, the paper discussed the research objectives, research questions and significance of the study. The scope of the study highlighted that the study will only focuses on records management practices among traditional leaders in Chongwe district of Lusaka province. It is therefore restricted to rural area within Chongwe. The chapter concluded by looking at the limitation of the study and the definitions of the key terms.

CHAPTER TWO

2.0 Literature Review

Introduction

Literature review is a description, comparison, and evaluation of the major arguments, theories, methodologies, themes, controversies, and approaches in scholarly literature on a particular subject. It provides a connection, comparison, contrast, and evaluation of arguments concerning the proposed subject including the aims, research questions, or hypothesis (Jesson, Matheson, and Lacey, 2011). Literature review aims at evaluating and examining what previous researchers have said about a particular topic and identifying the relevance of the previous information on the present work. It entails a compilation and evaluation of available research on a certain issue or topic that a researcher is writing or researching about. It enables a researcher to acquire an understanding about the topic he or she is interested in to identify how previous researchers have researched it and the key issues identified (Jesson, Matheson, and Lacey, 2011). Therefore, this chapter provides a detailed review of literature related to records management practices by traditional leaders. In this regard, empirical literature and theoretical framework are presented accordingly. Specifically, literature related to records management practices, benefits of proper records management, and challenges associated with records management has been reviewed under the empirical literature. The theoretical framework covers two models namely; the Records Life Cycle Model and the Records Continuum Model.

2.1 Empirical Literature

2.1.1 Records management practices

Program records management program implies a systematic approach, framework and strategies developed so as to attain efficiency in the process of record handling, control and management. According to Ngoepe and Ngulube (2014), a records management program seeks to efficiently and systematically control the lifecycle (creation, use, maintenance, archive or disposal) of records that are routinely generated as a result of activities and transactions. Notably, the purpose of a records management program is to develop programs which will provide knowledge on the proper and adequate procedures to employ in the handling of records all through its life cycle. Odeyemi, Issa and Saka (2011) stressed that a well-organized records management program saves a lot of money for the administration of the public service by helping to control the quantity and quality of

information created and by ensuring the maintenance of the information in a manner that effectively serves the need of the organization. Griffin and Akotia (2007) added that for an organization to attain efficiency in all its activities ranging from service delivery, enthrone-ment of good governance and its attributes, such organization should embark on practices which advance a records management program. This is so because the attainment of good governance in any sector (public or private) is highly influenced by the availability of valid and reliable records.

Kennedy and Schauder (1994) highlighted eleven elements of a comprehensive records management program. These include records management feasibility study and records survey; filing system for active records; records retention and disposal planning; management of semi-active and inactive records; management of the creation and generation of different types of records; vital records protection program; policy and procedures documentation; training programs and ongoing review. Similarly, Azman (2009) stated that the structure and organization of a records management program must be based on the following components: personnel management; financial management; forms management and control; reports management and control; correspondence management and control; records management procedures manual; files management and control; records center management; vital Records management and control; records inventory and appraisal; records retention and disposition schedule; directives management and control; mails management; micrographic and reprographic management; archives management and ICT management and equipment management.

Chirwa (2014) opined that a good records management program will result in the control over the creation and growth of records. Despite decades of using non-paper storage media, paper records continue to escalate in government offices. An effective records management program limits the generation of records or copies not required to operate the business and ensure there is a system for destroying useless records or retiring inactive records thus stabilizing the growth of records in all formats. Recordkeeping requires money for filing equipment, space in offices, and staffing to maintain an organized filing system or to search for lost records when there is no organized and effective system. Implementing a records management program provides an opportunity to affect some cost savings in space and equipment and to utilize staff more productively (Mwaura, 2013).

Various practices in the management of records are employed. According to Odeyemi et al. (2011), business enterprise and transactions inevitably results in the creation and generation of records.

Records management frameworks and systems commences with the creation and subsequent capture of records in recordkeeping systems, through to their maintenance and use, and ultimately their destruction. Properly designed records management systems limit the generation of records or copies not required to operate the business and ensure there is a system for destroying useless records or retiring inactive records thus stabilizing the growth of records in all formats (United States Environmental protection agency, 2013). The mechanism employed to control the creation and generation of records include Forms management and control; Reports management and control; Correspondence management and control; Records management procedures manual and Files management and control (Akotia, 2007; Mampe and Kalusopa, 2012).

According to Ngoepe and Ngulube (2014), traditional record management practices include records capture or creation, records classification, records storage, records preservation, records security and records disposal. On the aspect of record creation, traditional operations, business enterprise and transactions inevitably results in the creation and generation of records. Records management frameworks and systems commences with the creation and subsequent capture of records in recordkeeping systems, through to their maintenance and use, and ultimately their destruction (Chirwa, 2014; Saffady, 2015). Properly designed records management systems thus limit the generation of records or copies not required to operate the business and ensure there is a system for destroying useless records or retiring inactive records thus stabilizing the growth of records in all formats (United States Environmental protection agency, 2013). The mechanism employed to control the creation and generation of records include forms management and control; reports management and control; correspondence management and control; records management procedures manual and files management and control (Odeyemi et al, 2011).

Mountain (2012:7) on the other hand, argued that record management also involve classification of records in an orderly manner for easy retrieval and storage. Mountain (2012:7) added that an organization's ability to classify and manage its physical and electronic files can help it achieve faster, less costly, more streamlined access to government information. According to IRMT (1999:99) and Marutha (2011), classification organizes records into categories, based on the functions and activities the records represent, so that decisions about their organization, storage, transfer and disposal may be made on a category-wide basis, not file by file or item by item.

Records are categorized using different criteria such numeric, alphanumeric, alphabetical or chronological which allow for easy retrieval or use.

Chirwa, (2014) and Ssenabulya (2013) argued that preserving records forms a good practice of effective record management in a traditional setup including business enterprises, organizations and also governments. The reason for preserving records is to protect them from injurious factors such excess heat or lighting, fire break outs and humidity and prolong their life span. There are several ways of preserving records among are digitization, micrographic and reprographic management (Odeyemi et al., 2011:48). Unegbu and Adenike (2013) in their study noted that records at the Ministry of Information and Strategy in Nigeria kept their records safe on Compact Disks and flash drives. However, Nabombe (2012) raised concerns that the registries might be unable to sustain the digitized system due to the rate at which equipment and software become obsolete and fail to migrate digitized records to other media formats such as magnetic and optical media as a preservation measure. Hoyle and Sebina (2006) observed in Lesotho that personnel registries at the ministries were well-organized as files were housed in compacts units or filing cabinets and information was relatively secure and files were easily located by responsible staff. Consequently, record utilization and management improved.

2.1.2 Benefits of proper records management

Some benefits of proper records management include better use of physical space, save time, improved control of valuable information resources, compliance with standards and reduction in its operational costs (UEW Records Management Policy Framework, 2000). According to Sanderson and Ward (2003), the importance of records management is increasingly being recognized in organizations. It is therefore the responsibility of records managers to ensure that they gain the attention of decision-makers in their organizations. Records represent major sources of information and are almost the only reliable and legally verifiable source of data that can serve as evidence of decisions, actions and transactions in any setup for example, organizations (Wamukoya, 2000; Barry, 1994).

De Wet and Du Toit (2000) stated that the service provided by records management is of vital importance to the success of any organization. The primary function of records management is to facilitate the free flow of records throughout the entire population or institution if it's being looked at a company level. Most importantly, it remains the function of records management to ensure

the records are safe for future reference. According to Palmer (2000), the role of a records management system is that it acts as a control system that reinforces other control systems. The records themselves can serve to detect fraud and recover the loss. Since corruption creates an environment that allows opportunities to commit fraud, records can provide a trail for investigators to track the root of corruption. However, for records to be useful in this capacity, they must be accessible. In Hare and McLeod (1979) views, organizations keep records for the following reasons; information retrieval, evidence of organization's activities, compliance with regulations. In support of Hare and McLeod, Cowling (2003), further identified four main reasons motivating organizations to preserve records permanently as: administrative value, financial value, legal value and information value.

Hoyle and Wamukoya (2006) on the other hand pointed out that without proper management of traditional records and archives, traditional leaders including the government in Lesotho risked being unable to earn people's trust as improper record management impacted negatively on accountability, evidence of transactions, and transparency. Wamukoya and Hoyle (2007) added that all ministries, departments, agencies and parastatal organizations including traditional institutions in Tanzania were expected to carry out audits of financial performance and human resource functions and that recordkeeping was a critical component of the audit function. Traditional leaders who received and recorded or documented their utilization of government funds to improve access to water in particular, were able to provide auditing information and transparency was ensured. In the same vein, Bennett and Mannix (2002:5) remarked that well-maintained and managed financial records are essential to Nigeria's ability to meet its development aims as they support accountants in preparing financial reports for managing resources and for communicating their use to the public. The duo emphasized that well-maintained financial records, reports and audits also permit independent auditors to give the public assurance that financial reports are credible and underpin good financial management, information and accountability in a democratic state (Azman, 2009; Mwaura, 2013).

2.1.3 Challenges associated with records management

Brendan (2012) observed the following as the challenges associated with records management; First of all, he noted weak legislative and organizational infrastructures as a major challenge. Studies by Kemoni and Wamukoya (2000), Iwhiwhu (2005), and Egwunyenga (2009) confirmed

that African records keepers lack the basic skills and competences for handling records and archives. There is a serious problem of technophobia in most offices in Africa especially among the traditional leaders. Due to inadequate skills in information technology, many traditional librarians, records managers, and archivists are very conservative and have phobia for computers. This may be due to generation gaps between the new and old professionals which led analogue information managers to perceive computers as a threat to their status as experts. Ezeani (2010) in her studies observed that younger librarians are faster in capturing the use of ICTs than the older librarians because “older librarians are finding it difficult to cope with the requirements of the digital age”.

Ojedokun (2008) also noted that older librarians are “too reluctant to jettison the old practices for new one”. Successful application of information handling technologies in the management of electronic records in developing countries requires an ability to overcome staff and personal resistance. Brendan (2012) opined that, growing use of information technologies in record management creates a lot of problems in the management of records in both public and private organizations. He added that in Africa and many developing countries governments are looking forward to computerizing their core functions and compelled most African countries to use ICTs in their public services by adopting e-government. Regrettably these projects fail to succeed because governments neither assess the available information framework suitable for electronic records management, nor consult the records managers to determine how the process of automation will not affect the role of records managers in providing reliable and authentic evidence. In Miller’s (2004) view, the conversion from traditional records management activities to electronic environment will not succeed in Africa if the underlying processes are not structured in an efficient and effective fashion. Many African states are jumping into the information technology bandwagon without adequately incorporating good records management strategies.

Coetzer (2012) reiterated that records management programs in Africa were plagued with various challenges and problems, due to the inability of registries and national archival institutions to perform their roles effectively. Some of the common challenges include a lack of records management plan; inadequate knowledge about the importance of records management for organizational efficiency; no legislation, no policies and procedures, lack of central ability to manage records, understaffing of records management units; poor records security and access

control; no budget for records management; no records retention and disposal policy and no records movement control techniques (IRMT, 1999:179). According to Marutha (2011:175) records management challenges can be addressed or prevented through the establishment and implementation of an effective records management program. Marutha (2011:173-174) added The most serious administrative problems for records management such as shortage of filing space; misfiling and missing files; damage to record; incompetent or unskilled staff; shortage of staff; inadequate budget; lack of general staff awareness about the importance of records; insufficient budget; in the hospitals could be resolved using, amongst others, proper retention and disposal schedule and training.

2.2 Theoretical Framework

Theories are essential in explaining, predicting, understanding phenomena, and challenging existing knowledge. Thus, a theoretical framework is a knowledge structure that can support or hold a theory of research. It describes and introduces the theory that explains the essence of a research problem (Creswell and Plano, 2007). It consists of concepts, their definitions, and relevance scholarly literature. It strengthens the study through: Explicitly stating the theoretical assumptions to permit a reader for critical evaluation, it connects the study to existing knowledge as guided by the selected theory, which gives a basis for hypothesis, it articulates the theoretical assumptions of a study and allows a researcher to address research questions, and also helps in the identification of the limits of generalizing research findings. It is against this background that the theoretical framework of this study covers two models namely; the Records Life Cycle Model and the Records Continuum Model to help understand records management practices of senior leaders and headmen or women in traditional offices.

2.2.1 Records Life Cycle Model

The Records Life Cycle Model perceives records as an analogy of a biological organism, which is born, lives and dies, and a record, which is created, maintained and used for as long as it has continuing value and is then disposed of either by destruction or by archival. The records life cycle concept illustrates the life span of any records in any format, whether it is paper based or electronic, as expressed in the five phases of creation, distribution, use, maintenance and final disposition. It is the core concept in the field of records management (Brooks, 1996; Marutha, 2011; Read and Ginn, 2007).

The features of the records life cycle model imply that the model is more applicable and suitable for organizations dealing with the management of paper records. It provides the records manager with a useful starting-point and basis for developing a records management program. It enables the records manager who acknowledges the importance of each separate phase to develop policies and procedures that are supportive of the other phase in a coordinated way. For instance, the manner in which a document is titled and formatted will substantially affect the efficiency with which it can be retrieved in the maintenance phase. Likewise, when a document is created, it must be given a retention period which will inevitably affect various processes in the maintenance and disposal phases for example how and where the document will be stored and how and when it will be destroyed (Kennedy and Schauder, 1994).

A record is said to be created when for instance a letter is produced, an e-mail written, a form completed or a pamphlet printed in any government ministry. To facilitate the usage of the records by designated officers they must be sent or distributed using various means such as courier services, postal or office to office delivery. The records are used in various ways but they are commonly used in decision making, answering inquiries and satisfying legal requirements by government official and traditional leaders and their stakeholders (Brooks, 1996).

Three key steps in the maintenance of records are storage, retrieval and preservation or protection of records. When a decision has been made to keep the record for use at a later it must be stored, retrieved and protected by records managers and registry clerks. At maintenance stage the record is stored or filed which involves preparing and placing records into their proper storage place and when a request is made for it, it must be quickly retrieved from storage for use. When records are no longer active that is they are no longer needed for active use they may be restored and protected using appropriate equipment and environment and human controls to ensure record security.

The fifth and last phase in the records life cycle is disposition. After the retention period indicated in the records and retention period has elapsed, records are disposed of either by destruction or by transfer to a permanent storage place. Records are transferred to a less expensive storage sites within the organization or to an external records storage facility called an archives. The records life cycle is an important concept as it shows that many interrelated parts must work together for an effective records and information management program (Marutha, 2011; Read and Ginn, 2007). However, the life cycle model has been shown by researchers not to be suitable for organizations

or studies investigating the management of electronic records. The perceived weaknesses of the records life cycle model led to the development of the records continuum model.

2.2.2 The Records Continuum Model

This study uses the records continuum model as it involves an investigation of the records management practices and their significance in organizational administration. Such a continuum creates insight on the records management practices and their importance in various organizational processes such as organizational administration. Xiaomi, as cited in Coetzer (2012: 40) defines Records Continuum as a consistent and articulated administration process of management beginning from the creation of records through to the utilization and conservation of organizational records as archives. This model demonstrates best records management practices enshrined in the incorporation of archives, records, and document management. In this model, records managers and archivists play significant roles in all phases of record management. This enables record creation with the right information in correct formats, record organization for the facilitation of their use, systematic disposition of redundant records, and the preservation and protection of records. The place of origin for this model was in Canada; however, it was later adopted and developed in Australia. The model was a brainchild of Frank Upward, and it provides a graphical representation tool that frames issues concerning relationships between archivists and record managers, the present, past, and the future, as well as strategic thinking about collaborative working and partnership building among stakeholders as illustrated in the image below Coetzer (2012: 40).

The structural principles of this model link to the concept of the continuing value of records. According to these principles, records are essential for the transactional, memory, and evidential purposes. Records also guide a unified approach to recordkeeping or archiving. Other structural principles consider records as logical and not as physical entities, despite the fact that their form is either electronic or paper-based. The institutionalization of archiving suggests a need for the integration of recordkeeping or archiving into societal and business processes and purposes Coetzer (2012: 41). In application to the current study, the continuum model can be applicable to the records management processes as identified in the literature review starting from the creation of records to their disposal. The model also emphasizes the role of records managers in the effective records management process. The literature review identifies processes such as the

selection of a records management and information committee. This model stresses that records management professionals are suitable in all phases of records management. The model also identifies the outcomes of effective records management as inclusive of transaction, memory, and evidential purposes. Effective records management practices play significant roles such as identification and acquisition, physical control, intellectual control, and access. These factors are critical in the entire organizational administration because such processes are critical for organizational management. For instance, the management of organizational activities and funds can only be possible through the provision of evidence as recorded in the organization's files.

The study opts for this model as compared to the other models as it delves into the specific records management practices in a continuum beginning from when records are created to their disposal. Therefore, this model is of significance to this study as it emphasizes on the effective records management, which is important for effective record keeping.

2.3 Conceptual Framework

Records management is an important factor in a traditional rural setup especially regarding the administration of the activities of the area.

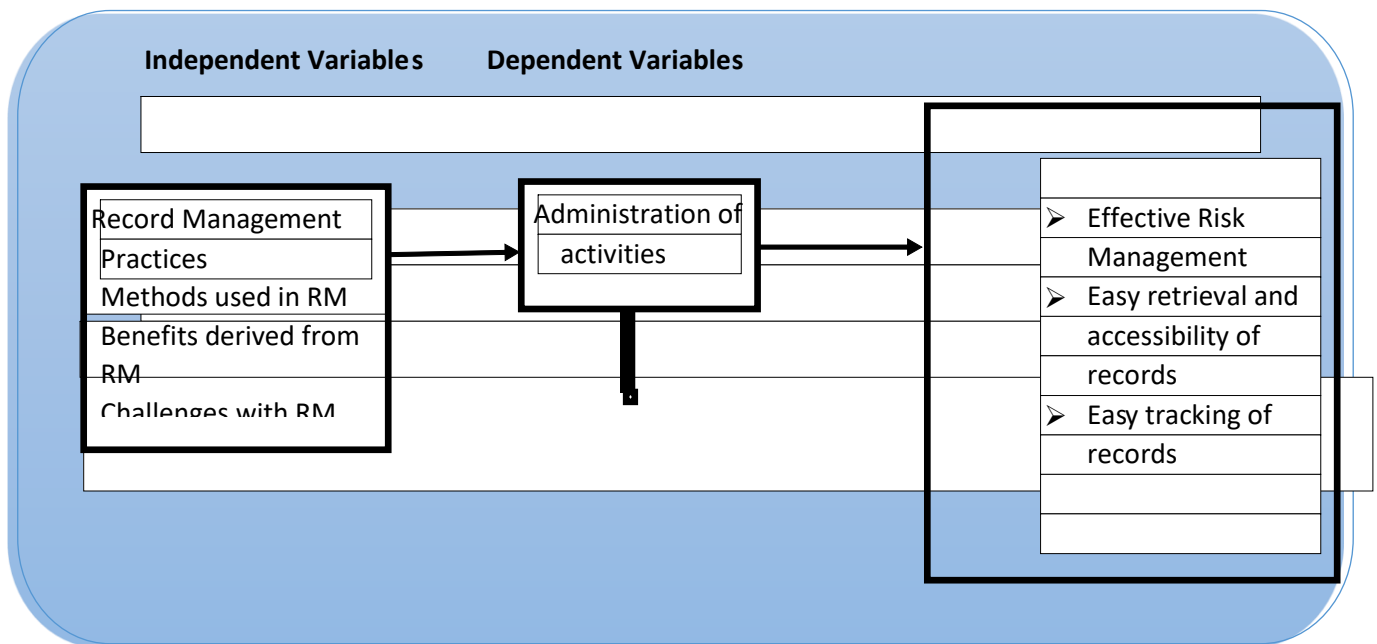


Figure 1: Conceptual framework for record management

KEY

RM= Records Management

The literature review section reveals that records management plays a significant role in decision making, of the traditional leaders. It is through records that leaders can have a track of the organization's activities and future plans. Therefore, records management becomes an important aspect in the overall affairs of the community the leader is leading.

2.4 Chapter Summary

In a world of change, information has become the most dominant resource in the society. In its response to change, record management has moved along with several conceptual frameworks, from archives to information management. Now the discipline has to acquire another framework, derived from information and communication technology. The problems of record keeping identified generally amongst traditional leaders include lack of record manual and filing guidelines which lead to loss of vital information and inadequate computer terminals. Others are difficulty in record retrieval, hence there is of the need for well-controlled records. Based on the literature review, a conceptual framework developed in Figure 2.2 shows that independent variables of the research are made up of four forms. The chapter looked at the objectives of the research in depth citing the literature that has been done before by other authors. It further discussed the theoretical framework before ending with the framework of the research.

CHAPTER THREE

3.0 Methodology

This chapter presents methodological issues by explaining how the study was carried out and how the answers to the research questions were obtained and analyzed. Specifically, this chapter presents the research design, study population, sample size, sampling methodology, data collection methods, data analysis and ethical issues concerning the study.

3.1 Research Design

Research design is the conceptual structure within which research is conducted. It constitutes the blueprint for the collection, measurement and analysis of data (Kothari, 2008). Thus, this study adopted a qualitative case study because it was concerned with answering questions about experiences, meaning and perspective regarding record management practices of senior leaders and headmen or women in traditional offices (Creswell and Plano, 2007). Neuman and Robson (2010) noted that case study methodology is a strategy of inquiry in which the researcher profoundly explores a program, an event, an activity, a process or one or more individuals. Cases are bounded by time and activity, and researchers collect detailed information using a variety of data collection procedures over a sustained period of time. Under this design, an individual or group becomes the focal point of the study. Thus, a case study research design was used as this enable the researcher to investigate the record management practices of senior leaders and headmen or women in traditional offices

3.2 Study population

The study was carried out in Chongwe District in Zambia. Specifically, the study targeted traditional leaders of three rural areas in Chongwe. According to Mugenda and Mugenda (2003) it is impossible to study the whole targeted population, according to the Chongwe Municipal council there are about 313 traditional leaders in the area under study.

3.3 Sample Size

There are no closely defined rules for a sample size in qualitative research as sampling usually relies on small numbers with the intention of studying in depth and details, (Hammerberg, Kirkman and Lacey, 2006). In this regard, the total sample size for this study were 50 participants. This sample included 15 key informants from the Ministry of Chiefs and Traditional Affairs (MCTA) and 35 traditional leaders inclusive of village headmen and women.

3.4 Sampling technique

Sampling is a process of choosing a number of individuals from a given population (Komb, 2006). Sampling procedure is basically the act of selecting suitable respondents that have the knowledge about a given particular research topic. Thus, this study adopted purposive sampling. Under purposive sampling, certain units or rather respondents are selected purposively for judgment. To make the method successful, the research was free from prejudices (Creswell and Plano, 2007).

3.5 Data collection instruments and procedure

The study used both primary and secondary data sources. Primary data is defined as data collected for the first time (Hammerberg et al., 2006), consist of data that are collected through semi-structured interview guides. In this regard, study participants namely key informants from the MCTA and also traditional leaders were interviewed in order to collect data. This instrument of data collection was chosen because it is user friendly and enables the researchers to collect accurate information by allowing respondents to freely express their thoughts.

On the other hand, secondary data referred to as data that has already been collected by others and is readily available (Creswell and Plano, 2007), used in this study is extracted from research articles, journals and reports, books, Government reports and statistics, and online articles. Thus secondary data is valuable for drafting this study.

3.6 Data processing and analysis

Thematic content analysis method was used in this study. Thematic content analysis method is a type of qualitative analysis method that is applied to a set of texts such as interview scripts in order to determine the meaning. It allows the researcher to determine precisely the relationships between concepts and compare them with the replicated data (Ibrahim, 2012). Thematic content analysis was useful and appropriate for this study because it allowed the researcher to identify common themes, ideas and patterns of meaning that come up repeatedly from the data. Thus, the qualitative data that was collected was transcribed and checked for uniformity, consistency, accuracy and ambiguity. Additionally, the raw data collected was subjected to coding and entered using Ms-Excel. This program is ideal because it is user friendly. After that, the data will be exported to Statistical Package for Social Sciences software (SPSS) via a data entry query for analysis.

Frequency tables and cross tabulation will be produced in SPSS whereas graphs will be created in Ms-Excel. Further, Ms-Word will be used for data entry, editing and report writing.

3.7 Ethical Consideration

In order to access information from participants in the field, a letter was provided and it was addressed to the participant introducing researchers as being students of the University of Zambia. The letter stated explicitly that the information that will be collected was to be used solely for educational purposes. Further, all the data which were collected were strictly treated as confidential and not used for any purposes other than the intended purpose. Participation in the research was voluntary and the participants will be free to skip out questions which they will not be ready to discuss. Apart from that, consent to take part in the research will clearly be sought and anonymity will be assured.

CHAPTER FOUR

This section presents graphs and tables that have been generated through analysis of data.

Table 4.0.1 Background information

<i>Sex</i>	<i>Frequency</i>	<i>Percentage</i>
<i>Male</i>	29	82.9
<i>Female</i>	6	17.1
<i>Total</i>	35	100
<i>Age group</i>	<i>Frequency</i>	<i>Percentage</i>
<i>Below 40</i>	4	11.4
<i>41-50</i>	7	20
<i>51-60</i>	9	25.7
<i>61-70</i>	12	34.3
<i>Above 70</i>	3	8.6
<i>Total</i>	35	100
<i>Academic</i>	<i>Frequency</i>	<i>Percentage</i>
<i>Tertiary</i>	13	37.1
<i>Secondary</i>	10	28.6
<i>Primary</i>	7	20
<i>Non</i>	5	14.3
<i>Total</i>	35	100
<i>Leadership position</i>	<i>Frequency</i>	<i>Percentage</i>
<i>Chief</i>	1	2.9
<i>Headman/woman</i>	9	25.7
<i>Chairman/woman</i>	25	71.4
<i>Total</i>	35	100

The above table shows the background information of respondents in the study. The study was dominated by male at 82.9% because they are the most that where in leadership position while female at 17.1%. The age group composition was dominated by 61-70 at 34.3%, then 51-60 25.7%, 41-50 at 20% while those below 40 at 11.4% and those who were above 70 at 8.6%.

Those who attended tertiary education were at 37.1%, secondary at 28.6% while primary at 20% and those who did not attend any form of education were at 14.3%. By leadership position, the study was dominated by those who held the positions of chairman/woman at 71.4% while headman/woman at 25.7% and chief at 2.9%.

4.1 Methods used by traditional leaders in records management

Table 4.1.0 Record keeping and awareness

<i>Record keeping</i>	<i>Frequency</i>	<i>Percentage</i>
<i>Yes</i>	21	60
<i>No</i>	14	40
<i>Total</i>	35	100
<i>Awareness in record keeping</i>	<i>Frequency</i>	<i>Percentage</i>
<i>Mobile phone</i>	10	47.6
<i>Letters</i>	7	33.3
<i>Representatives</i>	4	19.1
<i>Total</i>	21	100

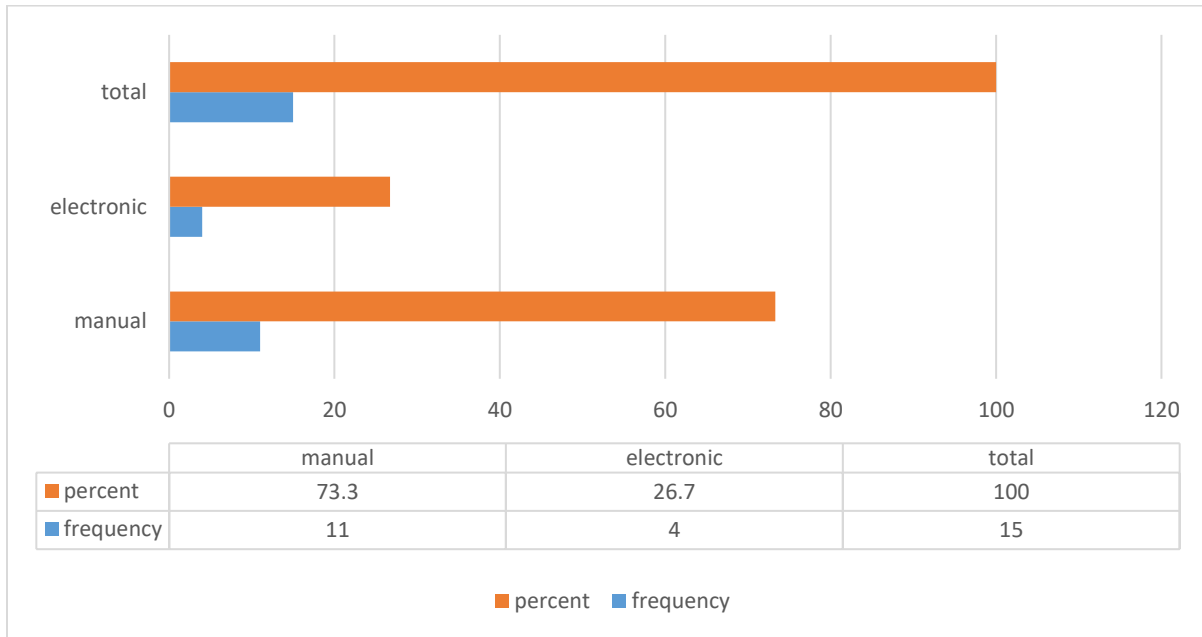
The above table shows record keeping amongst traditional leaders, 60% at least practiced record keeping while 40% did not keep any records because they did not have a basic skill on record keeping. Of the total sample of those that practiced record keeping, 47.6% used mobile phones to inform leaders/community on the type of record keeping they used while 33.3% used letters and 19% used community/village representatives.

Table 4.1.1 Weakness in record keeping and solution

<i>Weakness in current record keeping</i>	<i>Frequency</i>	<i>Percentage</i>
<i>Lack of security</i>	5	23.8
<i>Prone to danger and misplacement</i>	9	42.9
<i>Ineffectiveness in record management practice</i>	5	23.8
<i>Incompetence</i>	2	9.5
<i>Total</i>	21	100
<i>Addressing weakness in current record keeping</i>	<i>Frequency</i>	<i>Percentage</i>
<i>Employ new system</i>	11	52.4
<i>Workshop/trainings</i>	5	23.8
<i>Monitor records</i>	2	9.5
<i>Dispose expired files</i>	3	14.3
<i>Total</i>	21	100

The above table shows the current weaknesses in record keeping. Respondents who were of the view that record keeping is prone to danger and misplacement is 42.9% because the custodians did not file them well. Ineffectiveness in record management practices 23.8% with the attribution that they did not acquire training in record management practice. Lack of security at 23.8% stating that custodians of records did not secure records with privacy because they did not know its importance while the incompetent at 9.5%. The table further shows solutions to addressing weaknesses in current record keeping. About 52.4% were of the view to change the old recording systems to a new system that is electronic. In order to improve record management 23.8% suggested workshops/training that will equip leaders with a skill. In order to see to it that there is continuous recording and proper management, 9.5% suggested monitoring records and 14.3% suggested disposal of expired files.

Figure 4.1.2 Record keeping-MoCTA key informants



The chart above shows responses from key informants at the Ministry of Chiefs and Traditional Affairs on the type of record keeping the traditional leaders used in chongwe. Most traditional leaders kept records manually (73.3%) because it was the most appropriate system at that time while only 26.7% used electronic record keeping.

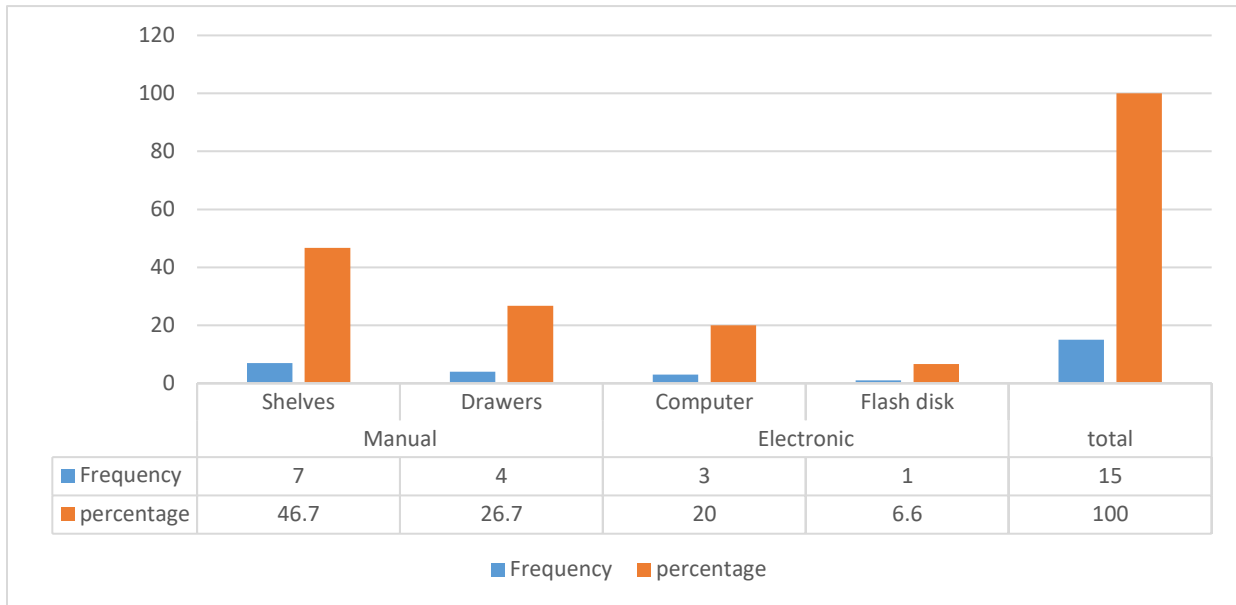
4.2 Records keeping systems

Table 4.2.0 Record keeping system

<i>Record Keeping</i>	<i>System</i>	<i>Frequency</i>	<i>Percentage</i>
<i>Manual</i>	Shelves	9	42.9
	Drawers	5	23.8
<i>Electronic</i>	Flash	5	23.8
	Computer	2	9.5
<i>Total</i>		21	100

The above table shows record keeping systems traditional leaders use. The manual record keeping employed two systems with shelf record keeping at 42.9% and was considered the basic that could be practiced in individual households while drawers at 23.8% so as those who used a flash stick in Electronic record keeping while 9.5% used computers in recording keeping and were least because computers are expensive and could not be accessed personally by every leader.

Figure 4.2.0 Type of record keeping MoCTA key informants



Most informants at the ministry of chiefs and traditional affairs were of the view that traditional leaders used shelves 46.7% to keep their records while 26.7% used drawers which are a manual record keeping system because they were the most appropriate and could be managed by any leader even without training in record keeping while 20% used computers and 6.6% used a flash drive.

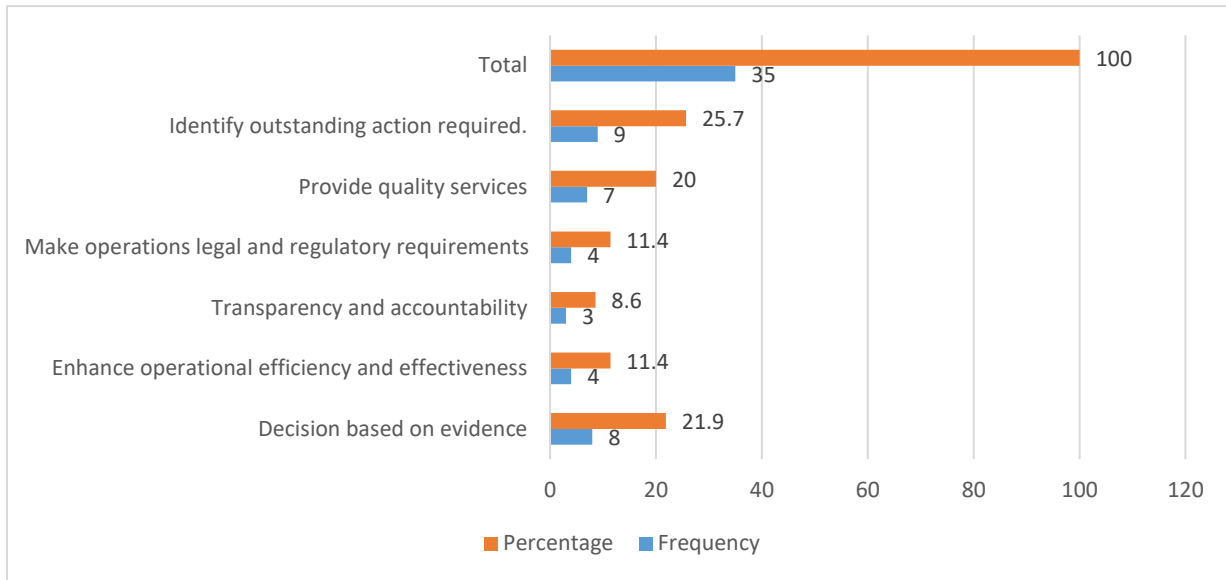
4.3 Benefits of proper records management

4.3.0 Community service delivery

The study suggested a number of benefits of proper records management to improve service delivery in the community

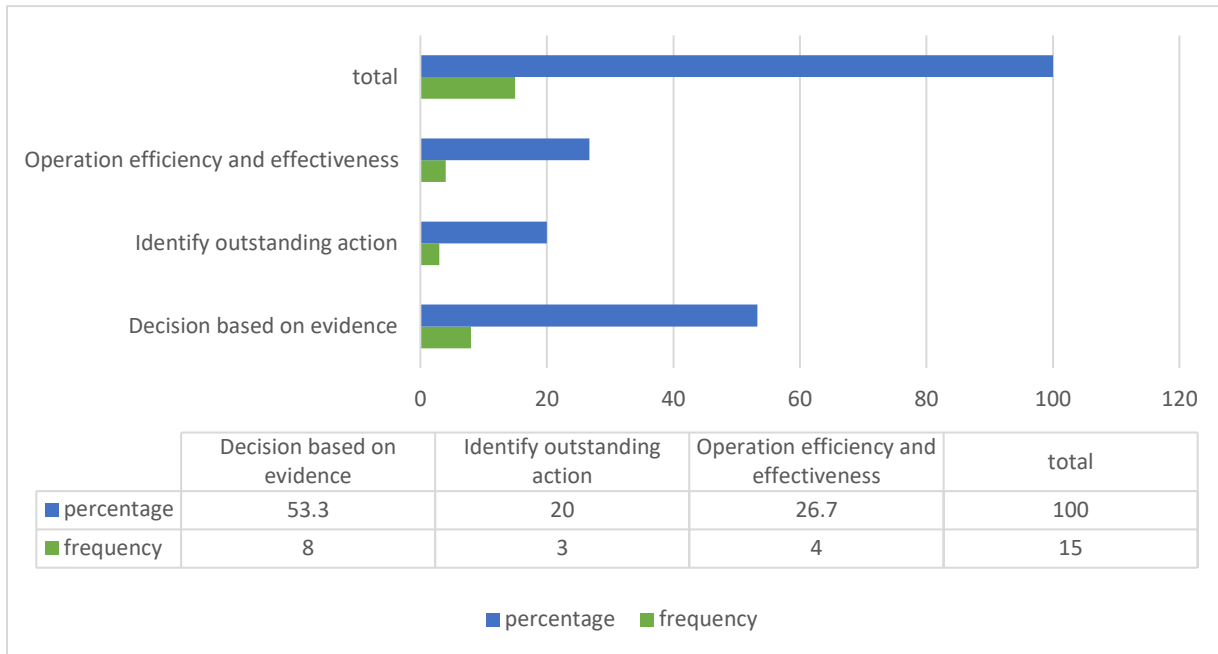
1. Helps find and share the information needed to the community.
2. Results in information that can be trusted.
3. Good recordkeeping helps make sound decisions.
4. Protects the organization (Community) from risk.
5. Good recordkeeping helps meet responsibilities.
6. Good records enable information to be reused.
7. Recordkeeping can bring commercial advantage to the community.
8. Record keeping supports long term accountability and sustainability.

Figure 4.3.1 How proper record management practices help the community



The chart shows how proper record management practices help the community, the study outlines a number of factors with identification of outstanding action required at 25.7% with a view that every prosperity of a community ought to be based on records while provision of quality service at 20%. Making operations legal and regulatory requirements at 11.4% so as enhance operational efficiency and effectiveness while transparency and accountability at 8.6% as every community leadership needs to be transparent and accountable in all their duties and decision based on evidence at 21.9% with a view that any meaningful development decision, it should be based on records.

Figure 4.3.2 Record keeping management improving service delivery MoCTA informants



The above chart shows how record keeping management improve service in a community, responses from key informants highlighted three major reasons. At 53.3% were of the view that any meaningful development decision is based on evidence in the records while 20% were of the view that good record keeping management identifies outstanding action that will help give direction to what kind of programs are to be implemented and 26.7% stated that it helps with operational efficiency and effectiveness in service delivery.

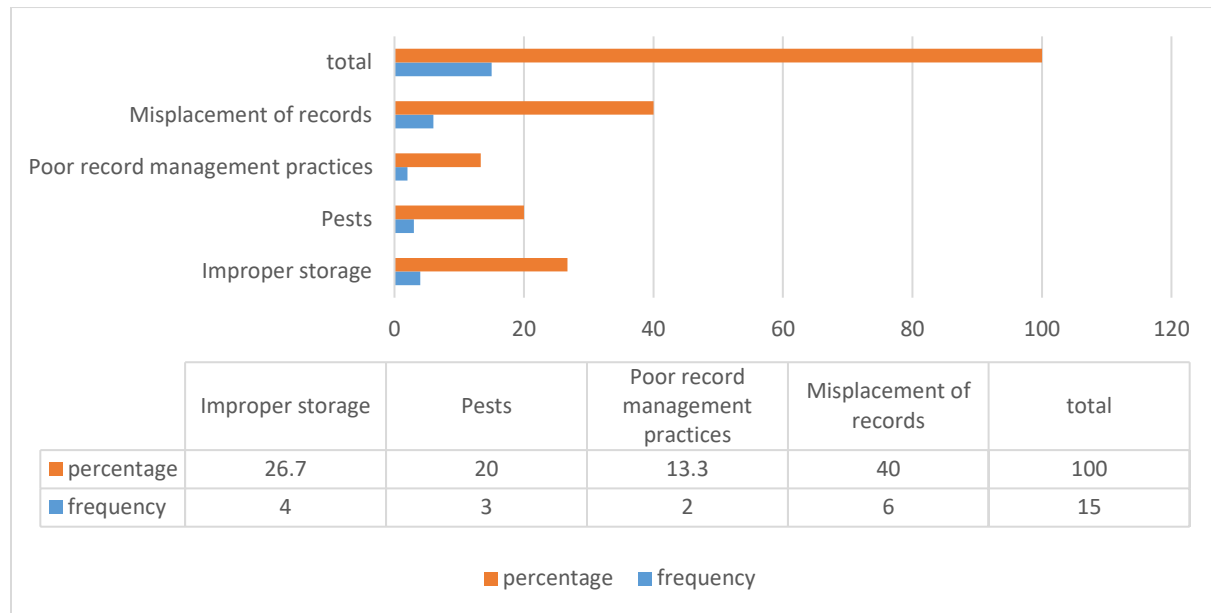
4.0 Challenges

Table 4.1.0 Challenges affecting efficient and effective records management practices

Challenges	Frequency	Percentage
<i>Insufficient resources</i>	4	11.4
<i>Incompetent personnel</i>	3	8.6
<i>Ineffectiveness in record management practices</i>	7	20
<i>Don't know the importance of record keeping</i>	12	34.3
<i>Misplacement of records</i>	6	17.1
<i>Theft</i>	3	8.6
Total	35	100

The above table shows challenges affecting efficient and effective record management practices; those who did not know the importance of record keeping were 34.3%, they did not keep any records. Misplacement of records were 17.1% because there was poor record keeping management while ineffectiveness in record management practices at 20% because they lacked skill. Theft and incompetent personnel accounted for 8.6% while insufficient resources 11.4% with a suggestion of government to provide resources for the improvement and efficient effective record keeping.

Figure 4.1.1 Challenges affecting efficient record keeping MoCTA informants



The chart above shows challenges that traditional leaders faced in record keeping in Chongwe according to the key informants at the ministry. The study outlined four major challenges. The major challenge was misplacement of records at 40% this attributed to improper storage/keeping of records at 26.7%. Pests also affected recording keeping at 20%, they affected most records that were kept manually either in drawers or shelves. Poor management practices (13.3%) with an attribution that most of the leaders did not attain any training in record management thus poor practice.

Table 4.1.2 Solution to challenges affecting efficient and effective records management practices

<i>Solutions</i>	<i>Frequency</i>	<i>Percentage</i>
<i>Provide adequate resources and skills training</i>	13	37.1
<i>How to store and manage records</i>	22	62.9
<i>Total</i>	35	100

The above table shows solutions to challenges affecting efficient record management practices, the study suggested two major solutions; at 62.9% respondents suggested on how to store and manage records because most leaders were very poor at basic record management while 37.1% suggested that the government should provide adequate resources and skills training so to improve record management.

CHAPTER FIVE

5.0 Discussion of the research findings

The study was dominated by males at 82.9% because the most held leadership positions compared to women who composed a 17.1% despite this the chief is female. Most traditional leaders at least attained tertiary education and the composition was about 37.1%, despite this positive attainment in education it did not directly translate to a proper record keeping because most of the leaders claimed they did not receive a formal training in record keeping. Out of the total 35 participants (traditional leaders) in the study, only 21 kept records translating to a 60% which is dominated by a manual system of record keeping. Most leaders used a manual record keeping systems to electronic Figure 4.1.2 shows.

Table 4.1.1 shows weaknesses in the type of record keeping used. Respondents who were of the view that record keeping is prone to danger and misplacement is 42.9% stating that the custodians did not file them well because they lacked recording skills. Ineffectiveness in record management practices 23.8% with the attribution that they did not acquire training in record management practice. Lack of security at 23.8% stating that custodians of records did not secure records with privacy because they did not know its importance while incompetent is at 9.5%. The table further shows solutions to addressing weaknesses in current record keeping. About 52.4% were of the view to change the old recording systems to a new system that is electronic. In order to improve record management 23.8% suggested workshops/training that will equip leaders with a skill. In order to see to it that there is continuous recording and proper management, 9.5% suggested monitoring records and 14.3% suggested disposal of expired files. Figure 4.1.2 shows responses from key informants at the Ministry of Chiefs and Traditional Affairs on the type of record keeping

the traditional leaders used. Most traditional leaders kept records manually (73.3%) because it was the most appropriate system at that time while only 26.7% used electronic record keeping.

The study identified some basic benefits of proper record keeping; good recordkeeping helps make sound decisions so as helps find and share the information needed to the community. It also results in information that can be trusted, protects the organization (Community) from risk and helping meet responsibilities amongst others. Figure 4.3.1 shows how proper record management practices help the community; the study outlines a number of factors with identification of outstanding action required at 25.7% with a view that every prosperity of a community ought to be based on records while provision of quality service at 20%. Making operations legal and regulatory requirements at 11.4% so as enhance operational efficiency and effectiveness while transparency and accountability at 8.6% as every community leadership needs to be transparent and accountable in all their duties and decision based on evidence at 21.9% with a view that any meaningful development decision, it should be based on records. Figure 4.3.2 shows how record keeping management improve service in a community, responses from key informants highlighted three major reasons. At 53.3% were of the view that any meaningful development decision is based on evidence in the records while 20% were of the view that good record keeping management identifies outstanding action that will help give direction to what kind of programs are to be implemented and 26.7% stated that it helps with operational efficiency and effectiveness in service delivery.

Table 4.1.0 and Figure 4.1.1 show challenges affecting efficient record keeping; with common responses such as misplacement of records which is attributed with a reason that there is a poor practice of record keeping amongst others.

The study finds the use of manual record system as implicative compared to electronic because they don't compose a backup system to common risks such as theft and fire. Despite the system greatly adopted its implications range from; lack of security, prone to danger and misplacement, ineffectiveness in record management practice and incompetence is what dominated record keeping. Despite negative implications; systems can be developed to improve record keeping through employment of new records keeping systems, workshops to train traditional leaders to have the basic skill on record keeping so as to monitor records this could bridge the gaps.

5.1 Conclusion

The importance of good record keeping cannot be over-emphasized; it is pertinent that all records must as a matter of necessity be kept accurately and honestly. Community records must not be carelessly handled or purposely destroyed. Community records are the life wire of the development. Therefore, everyone that is tasked with the management and maintenance must ensure that they are safely kept. This, it is believed will ensure the effective development and performance of the community system. Information record keeping is made easy through the use of Information Communication Technology (ICT) gadgets. Thus, ICT is a major tool for managing and transforming communities and improving the quality of public service though this study has outlined a poor/low use of ICT in record keeping. Unfortunately, many practicing counsellors in our communities do not have adequate ICT knowledge and gadgets to enhance efficiency in records keeping and retrieval. Thus, affecting the quality of services offered in the communities.

5.2 Recommendations

Recommendations made by traditional/community leaders;

- 1 Traditional/Community leaders should ensure that all records are safely kept away from both natural and artificial hazards.
- 2 There should be training and retraining of leaders tasked with the responsibility of keeping records in communities through workshops, seminars and conferences.
- 3 Must ensure that community records are kept accurately and honestly.
- 4 Leaders should ensure that surrounding are kept clean from bushes and other dirt to avoid pest.

Recommendation made by key informants at the Ministry of Chiefs and Traditional Affairs;

1. Control storage and access

To ensure digital and paper files are stored securely, need to control who has access to them. When it comes to managing records according to best practices, how and where the documents are stored, is as important as who has access to them.

2. Be wary of retention and disposal procedures

Every record will/must have its own lifespan. It's will be necessary to ensure that all retention and disposal schedules are correctly applied to each type of record generated.

3. Record, track and monitor

Records keeping need a comprehensive cataloguing and monitoring system in place, it's easy for files to fall between the cracks and disappear to prevent this, implement a system which allows to monitor all movement of records.

4. Destroy and/or delete

When records do come to the end of their lifecycle, they need to be destroyed securely, putting a policy in place for the destruction of confidential and personal records that meets all legal requirements for each type of document.

5. Training leaders in record keeping

Training serves as a valuable tool, when staff are knowledgeable and confident in their role, this allows management's ability to transfer that confidence to higher authorities knowing that staff are being trained correctly.

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APPENDIX 1: QUESTIONNAIRE.

THE UNIVERSITY OF ZAMBIA

SCHOOL OF EDUCATION

DEPARTMENT OF LIBRARY AND INFORMATION SCIENCE

Questionnaire for traditional leaders

Topic: An investigation on the record management practices among traditional leaders in rural areas. A case study of Chongwe District.

Dear respondent;

We are 4th year students, we hereby write to request you to kindly consider answering this questionnaire for us. We are undergraduate students at the University of Zambia conducting a research on record management practices among traditional leaders in rural areas; a case study of Chongwe District. You are, with honour, therefore requested to assist in providing certain information in this research. The information so collected will be used to write a dissertation as part of the requirement leading to the award of a Bachelor of Arts degree. Please, be assured that the information thus collected is solely for academic purposes, shall remain within the confines of the university and will be treated with strict confidentiality

Instructions

- Do not indicate your name
- Only one answer is required for questions with options
- Please tick the answer of your choice on the option provided
- Write answers to open ended questions in the space provided

SECTION A: DEMOGRAPHIC DATA

1. Gender

(a) Male []

(b) Female []

2. What is your age range?

(a) Below 40 []

(b) 41-50 []

(c) 51-60 []

(d) 61-70 []

(e) above 70 []

3. Highest academic qualification obtained:

(a) Certificate []

(b) Diploma []

(c) Degree []

(d) None []

(e) Other specify

.....
.....

4. Traditional/ rural Leadership position:

a) Chief []

b) Sub-Chief []

c) Headman/woman []

d) Other

specify.....

SECTION B: METHODS USED BY TRADITIONAL LEADERS IN RECORDS MANAGEMENT

5. Do you have methods used in record keeping?

a) Yes []

b) No []

6. If No to the above question, how do you keep records?.....

7. How are members of staff made aware of the methods used in keeping records?

(a) Mobile []

(b) E-mail []

(c) Internet []

(d) Other Specify.....

8. What are the weaknesses of the current method used in record management?.....

9. How do you think these weaknesses can be addressed?.....

SECTION C: RECORDS KEEPING SYSTEMS.

10. What types of records keeping systems do you use? You may tick more than one.

Manual systems

(a) Shelves []

(b) Drawers []

Electronic systems/Online storage

(c) Storage Area Networks (SAN) []

(d) Just a Bunch of Disks (JBOD) []

(e) Cloud Computing (CP) []

Offline storage

(f) Removable magnetic or optical media e.g DVD []

(g) Flash disk []

(h) External hard drives []

(i) Computers []

(j) Others specify:.....

SECTION D: BENEFITS OF PROPER RECORDS MANAGEMENT

11. How do you think the use of proper records management can improve service delivery in the community?.....

12. How can the use of proper records management practices help the community?.....

SECTION E: CHALLENGES

13. What are the challenges affecting efficient and effective records management practices?

(a) Insufficient resources []

(b) Incompetent personal []

(c) Limited storage space []

(d) Ineffectiveness in records management practices []

(e) Inadequate infrastructure facilities []

(f) Constant power failure []

(g) Ineffective retrieval methods []

(h) Misplacement of records []

(i) Theft []

(j) Others specify.....

14. How do you think the challenges you have ticked above be curbed?.....

15. Are there any current challenges you think proper records management can address/solve?.....

APPENDIX 2: QUESTIONNAIRE.

THE UNIVERSITY OF ZAMBIA

SCHOOL OF EDUCATION

DEPARTMENT OF LIBRARY AND INFORMATION SCIENCE

Questionnaire for key informants at the Ministry of Chiefs and Tradition Affairs

Topic: An investigation on the record management practices among traditional leaders in rural areas. A case study of Chongwe District.

Dear respondent;

We are 4th year students, we hereby write to request you to kindly consider answering this questionnaire for us. We are undergraduate students at the University of Zambia conducting a research on record management practices among traditional leaders in rural areas; a case study of Chongwe District. You are, with honour, therefore requested to assist in providing certain information in this research. The information so collected will be used to write a dissertation as part of the requirement leading to the award of a Bachelor of Arts degree. Please, be assured that the information thus collected is solely for academic purposes, shall remain within the confines of the university and will be treated with strict confidentiality

Instructions

- Do not indicate your name
- Only one answer is required for questions with options
- Please tick the answer of your choice on the option provided
- Write answers to open ended questions in the space provided

1. How do traditional leaders keep records?.....
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2. What are the weaknesses in the way they keep records?.....
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3. What type of record keeping do traditional leaders use and why?.....
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4. How does record keeping management improve service in a community?
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5. What are some of the challenges faced in record keeping?.....
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6. Give recommendations record keeping.....
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