

**CHALLENGES ASSOCIATED WITH MANAGEMENT OF  
EMPLOYEES RECORDS IN HUMAN RESOURCES  
AND ADMINISTRATION DEPARTMENT  
AT MUSOMA MUNICIPAL COUNCIL**

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EMPLOYEES RECORDS IN HUMAN RESOURCES  
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AT MUSOMA MUNICIPAL COUNCIL**

**By**

**Hellen Mgeta**

**A Dissertation Submitted to Mzumbe University in Partial Fulfillment of the  
Requirements for the Award of the Degree of Master of Science in Human  
Resources of Mzumbe University**

**2016**

## CERTIFICATION

We, the undersigned, certify that we have read and hereby recommend for acceptance by Mzumbe University, a dissertation entitled **Challenges Associated with Management of Employees Records in Human Resources and Administration Department at Musoma Municipal Council**, in partial fulfillment of the requirements for award of the degree of Master of Science in Human Resource Management of Mzumbe University.

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## DECLARATION AND COPYRIGHT

I, Hellen Mgeta, declare that this dissertation is my own original work and that it has not been presented and will not be presented to any other University for a similar or any other degree award.

Signature \_\_\_\_\_

Date \_\_\_\_\_

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## **ACKNOWLEDGEMENT**

I would like to express my appreciation to those who have contributed in one way or another in the accomplishment of this report.

First and foremost, I would like to express my gratitude to the Almighty Lord for making me healthy and energetic during the whole period of preparation of this report.

Second, I express my sincere gratitude to my major supervisor Dr. Stella Malangalila Kinemo who has been guiding me on the way to go from the start to the end of this report. Really, she has unforgettable contribution in the accomplishment of this task.

Third, I would I would like to express my gratitude to the management and staff of Musoma Municipal Council for their cooperation during the whole period of data collection.

Forth, I would like to express my sincere gratitude to my fellow student Mr. Jackson Payowela for his contribution towards the successful of this work.

Lastly, I would like to express my gratitude to my family for their financial and moral support which has also positive contribution in preparation of this report.

## **DEDICATION**

To my lovely parents Mr. and Mrs. Andrew Mgeta, my today's personality is the reflection of your heartfelt efforts in modeling my life.

## **LIST OF ABBREVIATIONS AND ACRONYMS**

ADM	Amathole District Municipality
BRU	Better Regulation Unit
ELRA	Employment and Labour Relation Act
HR	Human Resource
IRMT	International Record Management Trust
ITS	Integrated Tertiary Software
LGA	Local Government Authority
LGFM	Local Government Financial Memorandum
MDA	Ministry Department and Agencies
MMC	Musoma Municipal Council
NARA	National Archives and Record Administration
NECCC	National Electronic Commerce Coordinating Council
NO	Number
PSPF	Public Service Pensions Fund
SANParks	South African National Parks
SPSS	Statistical Package for Social Science
UNESCO	United Nations Educational Scientific and Cultural Organisation
URT	United Republic of Tanzania
US	United States
WSPS	Window Share Point Server

## **ABSTRACT**

This study aimed to determine the challenges of managing employees' records in HR and Administration Department at Musoma Municipal. The specific objectives were to determine the system used in keeping employees' records in HR and Administration Department at MMC, to determine the effectiveness of the system used in keeping employees' records in HR and Administration Department at MMC, to determine satisfaction of employees on the ways their records are kept in HR and Administration Department at MMC, to find out the qualities of employees' records kept in HR and Administration Department at MMC, and to find out challenges encountered in managing employees records in HR and Administration Department at MMC.

The study used a case study design whereby MMC (HR and Administration Department) was selected as a study case. Data were collected by questionnaire, interview, observation and documentary review. The sample had 45 respondents obtained through quota sampling, simple random sampling, and purposive sampling techniques.

The study revealed that the challenges associated with management of employees records in HR and Administration Department at MMC include absence of electronic records keeping system, shortage of employees responsible for records keeping, shortage of trained personnel lack of capacity building for personnel, and low compliance with rules and regulations guiding records keeping.

Also, the study revealed the following: manual file system is used in keeping employees' records at MMC; to a large extent the system used in keeping employees' records at MMC is effective; a certain extent the employees' in HR and Administration Department at MMC are satisfied with the ways their records are kept; and to a large extent the records kept in HR and Administration Department at MMC have important qualities needed.

Therefore, Local Government Authorities (LGAs), policy makers and planners should work hard to eliminate the challenges such that the records management can be more effective.

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## **CHAPTER ONE**

### **INTRODUCTION**

#### **1.0 Introduction**

This chapter consists of the following components; background of the study, statement of the problem, general and specific objectives of the study, research questions, scope, significance of the study, limitation and delimitation of the study. The chapter also consists of definition of terms, the general organisation or structure of the study.

#### **1.1 Background of the study**

The task of records' management began far back even before the start of civilisation. Our ancestors used to draw pictures on their walls showing different events of their time (Azad, 2008:3). However, records and archives have been in existence since the time when man acquired an ability to keep information in writing. The earliest kind of records to be kept can be traced back to the ancient civilisation when records of birth, property, law, money, and official and private transactions started to be kept so as to assist the conduct of government business as well as education, religion, and family matters.

The way on which information was recorded differed with respect to society and time. That is from the clay tables of the Assyrian and Babylonian Empire of the third millennium to the wooden tables that found their way in to Greece, the papyrus scrolls of Egypt and the parchment and vellum of medieval (UNESCO, 1990).

In Tanzania the origin of records keeping can be traced back to the period before independence in 1920 when a British officer in Tanganyika discovered amongst the confidential decrepit records consisting of the instructions issued by the last German Governor in 1916. Later, on 2<sup>nd</sup> November, 1962 Miss Marcia Wright submitted the report which proposed for national archives. This led to the establishment of national archives in 1962.

The establishment of the National Archives in 1962 led to the introduction of the programme known as the Records Management Improvement Programme funded by the United Kingdom's Department for International Development from 1997 to 2001. A number of reforms prevailed as the results of this programme. These include re-positioning the National Archives as a part of President's Office (Records and Archives Management Division, President's Office –Public Sector Management), creation of a records cadre across government, development and introduction of a new file classification system based on keyword indexing, introduction of a full range of file control systems including file titling rules, location indexes, file censuses, file movement procedures and access controls across a number of ministries, departments and agencies (MDAs) (Magaya & James, 2013). Since then a variety of laws, policies, and regulations were enacted so as to improve records keeping in the government.

In 2002 the government of United Republic of Tanzania (URT) introduced the Records and Archives Management Act no.3 whereby Part III under Section 9 states the responsibility of the Head of Public Office in creation and maintenance of adequate records of transactions and events of their respective public offices through establishment of proper records management practices. In 2004 Employment and Labour Relations Act No.6 of 2004 was enacted whereby Section 96(1) states the responsibility of both employer and employee to keep the records related to the employment history.

For more emphasis on keeping of records the URT introduced the National Archives and Record Management Policy in 2011. Apart from other things the policy put emphasize to both public and private organisations to have good records keeping for appropriate decision making and future matters related to entitlements like pension, provision of evidence of births and deaths, and delivery of equitable and efficient justice administration.

## **1.2 Statement of the problem**

The Head of any Human Resource Department is required by Order 79 (1) of the Local Government Financial Memorandum (LGFM) 2009 to keep an up-to date records of all employees and their important details including appointments, resignations, dismissals, suspensions, secondments and transfers, changes in remuneration and any other necessary information.

Also, the National Records and Archives Management policy 2011 states the importance of storing the records that have been taken in a record management system in good storage facilities as they may be needed in future. Appropriate storage of such records ensures protection and accessibility of such records in case they are needed in future.

Additionally, Section 9 of Records and Archives Management Act no.3 of 2002 states the responsibility of the Heads of public Offices in creation and maintenance of adequate records of transactions and events of their respective public offices through introduction of good records management practices. Moreover, Section C.19 (3) of Standing Orders for the Public Service 2009 states the importance of every employer and employee to keep employment records so that they can be used as reference when necessary. Lastly, Section 96(1) of Employment and Labour Relation Act (ELRA) of 2004 states that every employer and employee shall keep a record of the written particulars as prescribed in Section 15 and any changes to those particulars, and any remuneration paid to the employee.

Despite the presence of numerous rules and regulations which insist on the importance of proper record keeping still there is a problem of record keeping in LGAs. One of these LGAs is Musoma Municipal Council (MMC). MMC like many other LGAs does not efficiently update employee's information and keep employee important records accordingly as indicated in the Controller and Audit General Report for the year 2013/2014. This situation act as an obstacle in effective and efficient performance of administrative duties at MMC like when processing data for retired employees. This made a researcher to be attracted to conduct a study on the

challenges associated with management of employees' records in LGAs using MMC (Human Resources (HR) and Administration Department) as a case study.

### **1.3 Objectives of the Study**

#### **1.3.1 General objective**

The general objective of the study was to determine the challenges associated with managing of employee records in HR and Administration Department at MMC.

#### **1.3.2 Specific objectives**

- i. To find out the records management process in keeping employees records in HR and Administration Department at MMC.
- ii. To determine the effectiveness of the system used in keeping employees records in HR and Administration Department at MMC.
- iii. To determine satisfaction of employees on the ways their records are kept in HR and Administration Department at MMC
- iv. To find out the qualities of employees' records kept in HR and Administration Department at MMC
- v. To find out challenges encountered in managing employees records in HR and Administration Department at MMC

### **1.4 Research questions**

- i. What is the system used in keeping employees' records in HR and Administration Department at MMC?
- ii. Is the system used in keeping employees' records in HR and Administration Department at MMC effective?
- iii. Are employees satisfied with the way their records are kept in HR and Administration Department at MMC?
- iv. What are the qualities of employees' records kept in HR and Administration Department at MMC?
- v. What are the challenges encountered in managing employees records in HR and Administration Department at MMC?

### **1.5 Scope and Delimitation of the study**

This study was limited to Musoma Municipal council, whereby the investigation focused on assessing the challenges associated with management of employee records at MMC. The case study design was selected to guide the study on assessing which system is used by the organisation in keeping employee records, the effectiveness of the system used in keeping employee records, employees satisfaction with the way their records are being kept and problems encountered in managing employee's records at MMC.

The study included employees from the department of Administration and Human Resources at Musoma Municipal Council. The methods used to collect data were questionnaires, interview, observation and documentary review. The study was expected to take about one year period starting from July 2015- June 2016. The study didn't include employees who were in long term leave such as study leave.

### **1.6 Significance of the study**

This study will be used as partial fulfillment of requirement for the award of degree of Master of Science in Human Resource Management of Mzumbe University. Also, the study will reveal information on the challenges associated with management of employee records at MMC and identify risks emanating from poor or lack of records management in the public sector. Such information can be beneficial and useful guidelines to policy makers and planners at various levels in the country. Moreover, the study can also be used as a reference to academicians and other student undertaking same field on matters pertaining records keeping studies.

## **1.7 Limitations of the Study**

In the course of data collection the researcher was faced with the problem of reluctance of the respondents to provide some data especially those that seemed to be negative to MCC. Such limitation was solved by ensuring confidentiality to the respondents. Also, majority of respondents failed to return questionnaire on time. Such limitation was dealt by reminding them regularly through phones and other means on the importance of filling and returning questionnaire on time.

## **1.8 Definition of key Terms**

### **1.8.1 Employee**

ELRA (2004) defines an employee as any person who offers/renders service as per employment contract. According to this study employee is a person who is employed by Musoma Municipal Council.

### **1.8.2 Archives**

International Records Management Trust (IRMT) (1999) defines archives as either current or noncurrent records having long-term value selected for permanent storage.

### **1.8.3 Records**

IRMT (1999) defines records as a document of any form or medium created, received, maintained, and used by a public or private organisation or an individual in fulfillment of legal obligations or in the business transaction of which it acts as a part or provides evidence.

### **1.8.4 Registry**

Sotta (2011) defines registry as a room where active records for business transactions are received, created, controlled, and housed. The records kept can be either unclassified which are kept in open registry or classified which are kept in confidential registry. Most of public offices have both open and confidential registry.

### **1.8.5 Records keeping**

IRMT (1999) defines records keeping as the process whereby the records responsible for business activities are created, maintained in a complete and accurate form.

### **1.8.6 Records management**

IRMT (1999) defines records management as a part of general administrative management concerned with creation, maintenance, use, and disposal of organisation's records in economical and efficient way in support of organisation's business.

## **1.9 Organisation of the dissertation**

This dissertation consists of six chapters. Chapter one is introduction and consists of background, statement of the problem, objectives of the study, research questions, significance of the study, scope and delimitation of the study, limitation, and definitions of the key terms and organisation of dissertation. Chapter two is literature review and consists of theoretical literature review, conceptual framework, empirical literature review and synthesis. Chapter three is research methodology and consists of research design, area of the study, population of the study, sample and sampling procedures, sample size, data collection methods, and data analysis methods. Chapter four is findings and discussion. Chapter five is summary, conclusion, and policy implications. This chapter consists of summary of the study, conclusion, recommendations, area for further research, and policy implications.

## **CHAPTER TWO**

### **LITERATURE REVIEW**

#### **2.0 Introduction**

This chapter consists of four sections; theoretical literature review, conceptual framework and model, empirical literature review, and synthesis.

#### **2.1 Theoretical literature review**

This part is based on theoretical literature review showing the contribution of other authors on the concept of records and records management in general.

##### **2.1.1 Meaning of concepts**

###### **i. Records**

Ross (1961:12) has defined records as documentary materials like papers, books, maps, and photographs of any physical form or characteristics made or received by an organisation in a course of undertaking of its legal obligations or business transactions preserved for long or short period so as to be used in future for decision making or any other activities with reference to informational value of the data contained therein.

Laura (1999) has defined records as a document of any form or medium created, received, maintained and utilized by either a public or private organisation or an individual in undertaking of legal obligations or in business transactions where it acts as a part or provides evidence.

###### **ii. Records management**

Ross (1961:2) has defined records as an art through which organisation's creation, use, maintenance, protection and disposition of records is controlled. Johnson (1967:12) has defined records management as an art of controlling the quantity, quality, and cost of paperwork. Such control is exercised throughout the life circle of the records from its creation up to its disposition. Place (1966:6) has defined records

management as the designed control of all kinds of records in an organisation from their creation to disposition stage.

However, Sotta (2011:35) says that records management can be defined in various ways with reference to the approach, focus, and scope chosen by the writer. For instance, Magaya (2009:18) has argued that some takes records management just as a matter of achieving economy and efficiency in managing records while others target on maintenance of quality and quantity of records throughout their life cycles. On the other hand, others regard records management as an activity of setting standards, procedures and systems through which the records could be managed.

### **iii. Fixed record**

National Electronic Commerce Coordinating Council (NECCC) (2004) defined fixed records as the records in which the contents are neither mutated nor altered. A record may be fixed but not static. For instance, a computer program may allow a user to analyse and view fixed data in variety of ways. A database itself may be considered a record if the underlying data is fixed and the same analysis and resulting view remain the same throughout the time.

### **iv. Record content**

NECCC (2004) defined record content as what makes up the substance of the record including texts, data, metadata, numerals, symbols, and images. A record has an ability to fix information such that it can be retrieved in future for different purposes. A record may be created specifically for preservation of information over time or for avoidance of likely future misinterpretation of such information. For the record to be considered reliable it needs to be authentic. However, any item can be considered as a record if it is later used as evidence of the thing to which it refers.

### **v. Record structure**

NECCC (2004) defined records structure as the physical characteristics of the records and internal organisation of its contents. The record's structure makes the content tangible and intelligible. Physical characteristics refer to components and methods of assembly such as paper, seals, ink, and font families, or character sets,

encoding, and formats. Also, the record's structure includes the intellectual organisation of a document. A record's structure may be very simple or complex. Simple structure is like plain text on a page which may be organised into outlines or sections with headings while complex structure includes things like a preamble, the body, and signatures of witnesses.

#### **vi. Record context**

NECCC (2004) defined record context as circumstances surrounding the creation, receipt, storage, or use of a record. Such circumstances can be organisational, functional, or operational. Record context includes items like date and place of creation, compilation or issue as well as its relationship to other records. Context provides the reason for creation of the record and may be contained within the record's metadata. An individual record gets its reliability and usefulness from its relationship with other records that collectively provide an account of an event or activity. For instance, a letter from a constituent may be filed together with the letter of response such that any one passing through the response in future can see it in the context of the request.

#### **2.1.2 The purposes of records management**

IRMT (1999) argued that records management enables the creation, maintenance, use, storage, and disposal of records by an organisation with efficiency and effectiveness. It helps the organisation in delivery of its services and compliance with regulatory and accountability requirements. With reference to the concepts of records management mentioned earlier IRMT (1999) summarised the aims of records management as follows:- To manage records all over their life cycle starting with the design of a record-keeping system to the disposal of records; To provide services as per its mission so as to meet the needs and safeguard the interests of an organisation and its stakeholders like staff and clients; To get full, accurate, reliable, and useful documentation of organisation's transactions to comply with legal, regulatory, evidential; and accountability needs; To manage records as an important

organisational resource; Promotion of efficiency and economy via proper record-keeping practices;

Sotta (2011:36) analysed the purposes of records management as follows: To promote efficiency of official activities; To have future reference of past activities; Minimisation of the incidents of fraud; To enable monitoring of organisational performance for accountability purposes; To help as tangible evidence of business transaction; and To enable management to take informed decisions, that is decisions in accordance with documented evidences.

### **2.1.3 Principles of records management**

Sotta (2011:36) and Reddy and Appanaiah (1990) identified seven principles of records management as follows:-Records are to be kept with a purpose in hand and in accordance with the extent of time, money and space; Records are to be verifiable so as to be valuable; Records must be accurate and easily retrieved whenever needed; Records must be properly classified so as to avoid confusion whenever needed by someone for business purpose; Records must be prepared and maintained at a justifiable cost; Records must keep the kind of information which is necessary for running of business; and The record keeping system must be dynamic in accordance with the situation facing an organisation at a particular time

### **2.1.4 Essential characteristics of records**

IRMT (1999) argued that the records represent a 'frozen picture' so long as they arise from actual events. A record has a tendency of fixing an action within its context of function, place, authority, and time. The essential characteristics of records are as follows:-

#### **i. Records are static**

During an activity of creating a record, a document will pass through a phase of development and change. For instance, minutes of a certain meeting will be prepared as a draft form for the members to review before its approval. Once an activity of creation is over and the document is regarded as complete, it may then be considered

as a record. For it to be useful as evidence in future it must not undergo any further changes.

**ii. Records have authority**

Records offer the official evidence of the past activity or transaction. For them to fulfill this purpose they must be reliable and trustworthy. The reliability of the records is highly connected to its creation. The important issues here are a person who generated the records, the authority used, and an ability to prove such authority.

**iii. Records are unique**

Records are not isolated. They have the meaning they confer as they were generated in a course of a particular business activity. However, they are useful within the context of general activities of the organisation that created them. Their association with other organisational records makes them unique.

**iv. Records are authentic**

The records should be what they say they are. The authenticity of records depends on the system of keeping records which is responsible for their creation or receipt, maintenance and use. An authentic record is the one that can be proved it is currently the same as when firstly transmitted or set aside for retention.

**2.1.5 Qualities of good records**

IRMT (1999) argued that the records have to be of sufficient quality so as to provide reliable evidence of business transactions. According to IRMT the important qualities of good records are as follows:-

**i. Comprehensive**

A record should cover every business activity taking place in a given organisation so as to be more useful. Failure to cover some activities can hinder effectiveness in organisation running.

**ii. Accurate**

A record has to take an account of an activity accurately. For an organisation to achieve the same it should create conducive environment like employing qualified

personnel responsible with records management, creating good records management system and the like.

**iii. Adequate**

A record should be enough for fulfillment of the purpose for which it is kept. Failure to have adequate records can make an organisation fail to process different matters like employees benefits, leaves, terminations and the like.

**iv. Complete and meaningful**

For the contents of records to be understood they should consist of enough information to give an account of an activity as well as information on the context of its creation and use. Moreover, the records should contain information on structure and relationship to other records.

**v. Understandable and usable**

It should be possible for the user of the record to get intended meaning from the information provided therein as well as to use the records without loss of information

**vi. Authentic**

As already said in the previous part that it should be easy to have a proof that the record is what it says it is

**vii. Unaltered**

Once an activity that gave rise to a record has taken place there is no information therein that should be removed, changed or lost whether deliberately or not.

**viii. Compliant**

The record should comply with regulatory and accountability requirements applied to an organisation that created it. For instance audit requirements.

**2.1.6 Importance of records management**

IRMT (1999) argued that records are compulsory for survival of any business. Record is one among the most important resources needed by an organisation for efficiency and effectiveness of its operations. IRMT argued that in the context of

organisational business records help to:- Offer memory to an organization; Formulate policy; Take informed decisions; Promote efficiency, productivity and consistency; Comply with legal requirements; Safeguard organisational and stakeholders interests; Minimise the risks related to absence of evidence for decisions or actions; and Take an account of business transactions and achievements.

### **2.1.7 Benefits of good records management**

Sotta (2011:38) argued that records management is the backbone of every organisation as all business activities rely heavily on records. Therefore, it is important to have good management of records for efficiency and effectiveness of operations. The benefits resulting from good records management is as follows:- Rapid access to and retrieval of information needed for making informed decisions; Good retention of valuable information related to business activities and human resources; Rapid provision of service to customers due to easy and fast accessibility of the needed records; To inform policy makers on the progress made by an organisation in its activities; and Provision of precedents for making decisions on complex issues

### **2.1.8 Symptoms of poor records management**

Sotta (2011:38) provided the following indicators of poor records management in an organisation:-Unqualified staff to handle matters related to records management; Cluster of documents on the desk; Records duplication; Absence of file indices; Storing of both active and inactive files together; Absence of a good system to control file movement; Failure to record files and records; Presence of missing documents; Shortage of space used in keeping files; and Absence of a well-known classification system for an entire organization.

### **2.1.9 Problems of poor records management**

Magaya (2009).provided the following problems that can face an organisation as the result of poor records management:-Loss of information related with management; Low capability to provide ministerial information; Loss of capability to comply with

legal obligations; Loss of capability to supply information to the public in general; Loss of capability to adhere to normal procedures; Financial failure to third parties; Political embarrassment; Exposure of classified information without authority; Breach of confidentiality or national security; Complaints stake holders like customers; and Making of inconsistent decisions

Sotta (2011:38) also argued that failure of an organisation to adhere to records management principles can lead to serious problems like:-Loss or misplacement of valuable records related to business transactions; Late decision making due to absence of required information; Late provision of pecuniary rights like terminal benefits to employees; Destruction of organisation's image to stakeholders like clients; Lack of confidentiality due to poor handling of confidential information; and Poor decision making

#### **2.1.10 Records lifecycle**

Sotta (2011:40) said that most scholars argue that records have lifecycle the same as the life cycle of living organisms. These scholars argue that records are born when created or received by an organisation. The records are considered to live when they move to active stage. During this time records are used to facilitate organisation's business transactions. The records grow old when they reach semi-active stage. At this stage the records are maintained and retained for reference purpose. The records die at non-active stage. This is the time for the management to decide whether to destroy them as they are no longer useful or keep them in the archives as they could be useful later.

#### **2.1.11 Theories underpinning records management**

##### **i. Big Bucket Theory**

Abraxas (2012) argued that Big Bucket Theory of records management was first proposed U.S National Archives and Records Administration (NARA) in 2003. Initially the theory was termed as "flexible scheduling" whereby paper and electronic records were consolidated into broad categories or buckets instead of following a long checklist in which employees classify their records into many groups. Such the

groups may be in accordance with time periods, business activities, legal and regulatory categorisation, or any other sound way which complies with required laws. The Big Bucket Theory intended at simplifying records retention and therefore improving employees' compliance and minimise the risk of mismanagement of files. Practically, the Big Bucket Theory often simplifies records retention only. The author argues that the user of big buckets should choose the categories carefully. He argues that files related to a particular event, regulatory action or legal proceeding has to be classified differently from routine records. The author suggests that documents and files that are related to the same business tasks or requirements can share a bucket.

The author argues that the buckets whether big or little do not replace the need to have a thoughtful and precise records management. The files in a bucket still need to be properly identified, documented, stored and readily accessible. Once implemented properly, the theory provides a prospective tool to promote compliance, minimise risk and simplify records retention.

However, the theory has its own weakness and limitation such as using big bucket to keep record of all records accordingly is very expensive and may require extensive maintenance phase which probably maximizes the expenses and risks.

Despite limitations and weaknesses of the theory, Big Bucket theory is still practically on records retention scheduling principally on managerial administrators and information technology experts and the system experts as it facilitates the well arrangement of records and ease the retention process.

In a nutshell, the theory assist in understanding the importance of keeping the records accordingly and in an accessible way whereby an organisation should have a bucket responsible for keeping employees' records and therefore ensure their easy accessibility in future. Normally, majority of organisations fail to keep record of its employees well, hence having a bucket a part of registry is important and safe. .Also, the Big Bucket Theory suggests that in local government where there are many types

of documents stored, documents should be organised with reference to the use and arranged accordingly for easy accessibility.

## **ii. Records Management Theory**

Buckland (1990), argues that the Records Management Theory considers records management as an easy access to the working records of an organisation. The theory talks about records management in three dimensions which are information retrieval, the records life cycle, and information policy.

1. Records management as Information retrieval; the theory suggests that the records are kept for easy accessibility when needed. But the question is how to identify what among the existing records would cater for ill-defined need. Information retrieval can consist of up to three tasks namely: (i) Physically fetching a copy of a document; (ii) Locating the place where a certain known document is presently housed; and (iii) Identifying which documents fit some description if any. For easy retrieval a well-defined sequence is needed during storage of records.

2. The records life-cycle; Efficiency and cost-effectiveness in performance of records management activity depends on manager's involvement in the full life cycle of records. But involvement in the full cycle means involvement in a wide variety of issues: form design and management, human factors and workflow, retention schedules and appraisal for archival retention, information technology, and valuable records protection. The concept of life cycle is applied to records management so as to meet all internal business needs, facilitate the accessibility, use and re-use of the content of the records in a controlled and efficient way.

3. Information policy; this record management theory deals with privacy and security of records kept. The policy should make clear on who should have access to records. This involves legal and ethical matters resulting from freedom of information and privacy legislation, trade secrets, and so forth. These issues are complex, ambiguous and of great importance, especially on the public sector. For example, should the public have access to a part or all of the personal records of public officials or do the

privacy rights of such officials put into consideration? When, and on what basis, can working drafts of documents be kept confidential?

The three dimensions of records management theory (information retrieval; records life cycle design; and information policies) are enough to demonstrate that if you check the records management widely as having to do with access to the working records of an organisation, then one cannot avoid looking the nature of the field as practically and conceptually complex--as actually or potentially rich in theory of one kind or another.

In theoretical context records management serves an organisation. That means the mission of records management activity should conform the mission of the organisation in general. Also in professional context record management can be viewed as one of the members of retrieval based information system. Records management theory insists on the importance of keeping records and such records should support the organisational goal. Therefore the organisation should make sure it keeps the important personnel records and other documents seem to be important for the organisation.

However, the theory has its limitations in terms of definition such that definitions of records only serve the dominant paradigm from which the definition is espoused. This intellectual exercise ultimately attempted to reveal the hierarchy of thoughts that exist in approaching the record. Those involved with working with records everyday may only define record by the way of example.

In a nut shell, the theory insists on the importance of keeping personnel records safely and with privacy for the welfare of both personnel and organisation as a whole. Records should be kept on the basis of policies and rules of the organisation essentially with high degree of confidentiality and security.

The two selected theories (Big Bucket Theory and Records Management Theory) are relevant to my study because they both emphasize on the importance of keeping records for future use. The theories are also applicable in local government whereby different documents are organised in accordance with the use. Registry officers

organise documents accordingly for easy accessibility. Also, the theories are parallel with government policies and orders in insisting records keeping for future use. Order 79 (1) of LGFM, 2009 needs the Head of Human Resource Department to keep an up-to-date register for all personnel and their important details like appointments, resignations, termination, suspensions, secondments and transfers, changes in remuneration package and so forth. Also the National Records and Archives Management policy no 4.6 of 2011 states the importance of proper storage of the records that have been taken in a record keeping system so long as they may be needed.

Therefore, the Big Bucket Theory and Records Management Theory are consistent with national policies, acts, and orders in insisting proper records keeping.

## **2.2 Empirical literature review**

Lilian (2010) conducted a study to examine barriers to effective records keeping in procurement entities in Tanzania a case study of Better Regulation Unit (BRU). The general objective of the study was to examine factors which hinder proper record keeping at BRU. The study was a case study design with a scope limited to procurement entity which was BRU. In such a study it was found that BRU does not effectively adhere to records keeping procedures as stipulated to Public Procurement Act of 2004. Also, its record keeping was poor due to various challenges like lack of awareness on record keeping procedures due to lack of training among staff members, shortage of staff, lack of cooperation among staff members which resulted in negative impacts such as loss of stored goods, over delivery or under delivery of goods, and lack of proper records. The study recommended the management of BRU to allocate more fund for personnel training on records management.

Noelia (2006) conducted a study on Effectiveness of Pensions Records Management in the Public Service Employee Retirement Benefits a case study of Public Service Pensions Fund (PSPF). The general objective of this study was to make assessment on whether the complaints of pensioners have been reduced since the establishment of the Public Service Pension Fund. The specific objectives were to determine the

accuracy of records management performance in pensions department of the PSPF, to evaluate the physical state of records and determine whether registries are clean, air-conditioned, well-lit and if there are fire extinguishers, to determine satisfaction and perception of registry staff whether they see an overall improvement in records management, and to suggest necessary measures employed for further improvement of records management.

The research employed a case study design and survey design. In such a study it was found that the fund was not effective in record management particularly physical records. The computerised files and folios were kept in their correct location but there were no proper location due to limitedness of the space available. Also, the study revealed that it was difficult to retrieve files manually and it took a lot of time to get the required files as files were not arranged in proper location. Moreover, the findings revealed that the whole system of handling record management was not adequate as there was no specific place specific for records management. Also, there was no separation of records management with other duties like calculation of pensioner's benefits. Therefore, the study recommended the need for a good record management body which is important for any corporate body to function effectively.

Xolile (2012) conducted a study on the Status of Records Management at the University of Zululand in South Africa. The study used the survey research design. The target of the study was both administrative and academic employees (Heads of Department) at the University of Zululand. The findings revealed that the University of Zululand still had a lot to do on the issue of day-to-day records management. Apart from the Integrated Tertiary Software (ITS) which was an Enterprise Management System there were no formal records management system identified at the University of Zululand that dealt with either paper-based or electronic records. Also, there was no policy specific for records management. Moreover, there were no qualified records management practitioners at the University of Zululand although there were employees who were hired by the university who were known as 'Records Officers'. Lastly, the academic and administrative practitioners at the University of Zululand lacked appropriate training, skills, and workshops. The study recommended

an introduction of an official records management policy. Also, the study recommended that there should be the position of a records manager together with training programme for staff. Furthermore, the study recommended that the university should acquire and implement an appropriate campus-wide records management model such as Windows SharePoint Server (WSPS) or any other relevant system, and the establishment of a formal department for recordkeeping.

Pumulo (2012) conducted a study on Assessment of Records Management at the Courts of Law in Zambia a case of Court Registries' Contribution towards Access to Justice. The research's objectives were to assess records management infrastructure and facilities, and to examine court registries compliance with records management legislation, policy, and standards. The findings showed that there were many challenges faced court registries including shortage of infrastructure and facilities development which consequently had impacts on the management of paper and electronic records. The general lack of infrastructure development in the courts of law resulted to the congestion in court registries as they were not purpose-built and suitable for the storage of paper, electronic, and records in other media and formats. Moreover, court registries failed to comply with regulations as stated in the National Archives Act of Zambia and therefore having poor records management. Furthermore, the court registries were faced by lack of guidance on how to manage records attributed by lack of a records management policy and lack of compliance with international standards. Lastly, research results showed that while administrative risks in the court registries had negatively affected the records management function, reputation risks had minimised public confidence on the courts of law particularly court registries.

Noluvuyo (2010) conducted a study on Investigation of the Role of Records Management with Specific Reference to Amathole District Municipality (ADM). The general objective of this study was to investigate the role played by records management in an organisation. The primary question that was explored was whether the management of records received the attention it deserved at ADM. The study revealed that there were more weaknesses in ADM's records management practices

than strengths. Majority of respondents were not aware of the requirements of ADM's Records Management Policy and the NARS Act, in respect with record-keeping. Therefore, the study exposed that the record management at ADM was not receiving the deserved attention.

Ngoako (2011) conducted a study on Records Management in Support of Service Delivery in Public Health Sector at Limpopo province (South Africa). The study intended to investigate whether the current records-keeping practices supported or undermined service delivery and the e-health readiness degree. The study employed survey design. Questionnaires, observation and interviews were the data collection methods used. The study revealed that records management had negative impacts to timeliness and effectiveness in health care services. This led to long patient waiting times and treatment of the patients regardless of their medical history records. The study recommended an introduction of an electronic records management system capable of taking and offering access to a complete patient's record and monitoring paper record movement. Also, the study revealed the poor state of records management in the hospitals characterized by slow retrieval of records that were requested in bulk as well as loss of many files without known reason. Moreover, employees were faced by too much paperwork, poor filing/archiving system, poor planning, poor organisation and supervision, shortage of filing space, shortage of qualified officials, poor infrastructure, shortage of personnel, little centralised budget, lack of end user participation in planning of records management system and administration, missing files and misfiling, and lack of records awareness by personnel responsible with and/or use records daily. Manual registers were still used as file tracking system. However, they noticed a need to move toward electronic records management system for improvement.

Makhura (2005) conducted the study on the Contribution of Records Management towards an Organisation's Competitive Performance. The study employed survey design whereby the objectives of the study were to investigate the current position of records management function at South African National Parks (SANParks) as well as the way in which records as information sources are used by end users (employees).

In such a study it was found that SANParks had no good records management as stipulated by section 13 of the National Archives and Records Service Act No 43 of 1996 of South Africa as amended. This is due to the fact that there was no uniformity in respect with filing methods and the way in which records were disposed. Also, there was no appointed manager specific for records management at SANParks. Although information was considered as the most valuable resource for the survival of SANParks in future, the end users tended to neglect and manage records voluntarily as the main source of information. Moreover, an e-mail policy, filing procedure, and disaster recovery plan did not exist. End users were seen managing records on their own as there were no policy or guidelines for effectiveness of records control.

Freda (2014) conducted a study on Assessment of Records Management Practices among the Administrative Staff of University of Education, Winneba-Kumasi and Mampong Campuses. The study revealed that the administrative records were stored both manually and electronically. It was also found that there were no enough resources in terms of trained records managers and office space. Moreover, it was found that the records management practices among the academic staff of the university was to a large extent effective due to existence of privacy, security, back-up in case of disasters, and documented records retention schedule.

### **2.3 Synthesis**

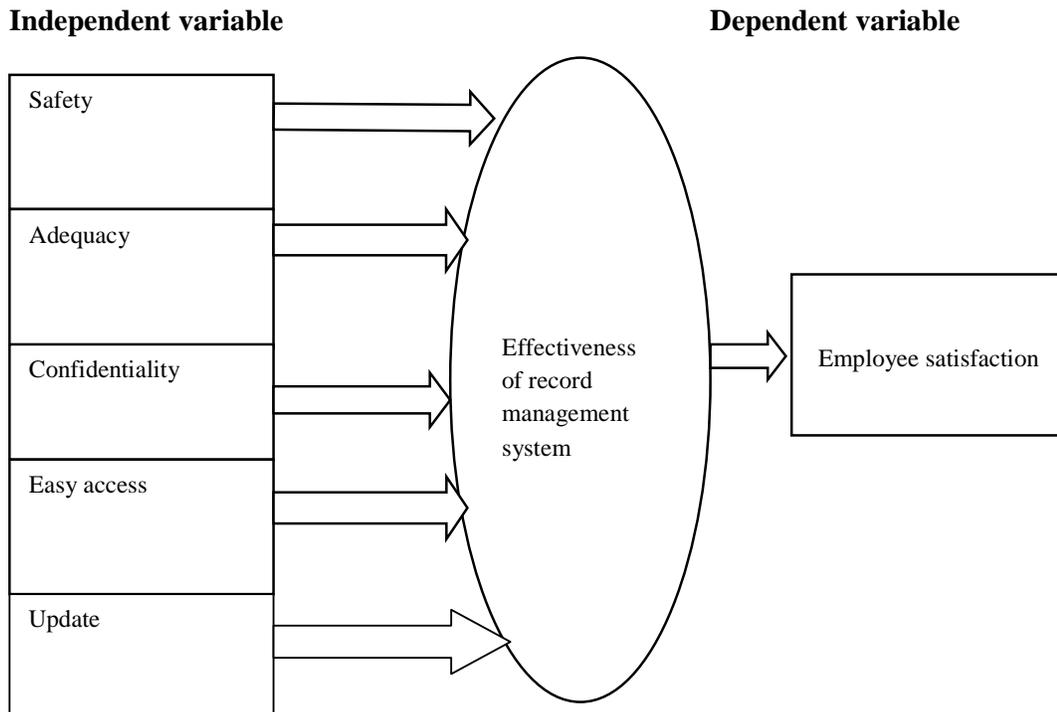
Empirical literature review indicates that different researchers have conducted studies on the area of records management and came out with different findings. However, the studies still create a chance for further studies in this area. This is due to the fact that there is geographic and socio-economic difference between MMC and the areas where these studies were conducted. This difference exists in two levels. The first one is inter-state difference. South Africa and Zambia are socially and economically better off compared to Tanzania. Therefore, although Xolile (2012), Pumulo (2012), Ngoako (2011) and Makhura (2005) revealed different challenges associated with record management in their respective countries such challenges can differ from those existing in Tanzania. The second difference is intra-state difference.

BRU and PSPF are located in Dar es Salaam. Dar es Salaam is socially and economically better than Musoma. Therefore, the problems facing record management between the two regions can also differ.

Moreover, the two studies were not conducted in local authorities. This creates another opportunity to conduct this study as the nature of MMC which is the local authority differs largely with other institutions in terms of mission and the like. For instance, PSPF deals with provision of pension services to the retirees while MMC deals with provision of social services to the public as its primary goal. In addition the focus of most of the studies did not consider issues like investigating the record management system used, and employees' satisfaction with the way their records are kept. Therefore, the main focus of this study is to examine the challenges associated with record management at MMC with its specific objectives which are to investigate the system used in keeping employees records at MMC, to determine the effectiveness of the system used in keeping employees records at MMC, to determine satisfaction of employees on the ways their records are kept at MMC, to find out the qualities of employees' records kept at MMC, and to find out challenges encountered in managing employees records at MMC.

## 2.4 Conceptual framework

Figure 2.1 Conceptual framework



**Source:** Researcher (2015)

The conceptual framework indicated in the Figure 2.1 guided the researcher to link independent and dependent variables in relation to the study. Explanations of these variables can be found below;

### 2.4.1 Dependent variables

#### i. Effectiveness of record management system

For any record management system to be considered effective there should have some important features. These include safety, adequacy, confidentiality, easy access and update. Therefore, it is a duty of any respective organisation to ensure that its record management system consists of these features. The effectiveness of record management system can consequently make the employees satisfied with the way their records are kept. In this study the researcher apart from other things

investigated the effectiveness of the system used in keeping employees records at MMC.

**ii. Satisfaction of employees**

Once the system used in keeping employees records is effective the employees can be satisfied with the ways their records are kept. It is the duty of an organisation to look on whether its employees are satisfied with the ways there records are kept. In this study satisfaction of employees on the ways their record are kept at MMC was determined.

**2.4.2 Independent variables**

**i. Safety**

For the record management system to be effective there should be a safe place for keeping employees records. Records should be kept at a place which will be difficult for them to be destroyed, stolen or lost. Therefore, safety of records kept should be one among the important consideration when any organisation keeps employees' records. In this study among other things the researcher investigated the safety of the records kept at MMC.

**ii. Adequacy**

Employees records kept at any organisation should be as adequate as possible. Adequacy means that the records kept should be enough to fulfill the objectives being kept. Adequacy of record kept is one among the factors which determine the effectiveness of any record management system. It is the duty of the respective organisation to ensure the adequacy of employees' records kept. In this study the adequacy of the records kept at MMC was checked.

**iii. Confidentiality**

Confidentiality is one among the most important requirement of any effective record management system. The employees records kept should be known only between management and the respective employee only. It is the duty of the respective organisation to ensure that the keeping of employees' records is as confidential as

possible. Therefore, in this study among other things confidentiality in keeping employees records at MMC was checked upon.

#### **iv. Easy access**

In an effective record management system it should be easy to get any kind of record needed for a certain purpose. The records kept should be obtained within short time without using much energy. It is a duty of the respective organisation to develop a record management system with easiness in access of records. In this study the researcher looked at whether there is an easy access of employees' records at MMC record management system so that the effectiveness of the system can be determined

#### **v. Update**

For any record management system to be considered as an effective the employees records kept therein should be updated. This means that the records should incorporate any changes that occur. Examples of these changes are changes in age, salaries level, designations and so forth. It is the duty of the respective organisation to ensure that employees' records are up to date. In this study the researcher looked on the extent to which employees records are updated at MMC.

### **2.5 Chapter summary**

This chapter is a composition of theoretical literature review, conceptual framework and model, empirical literature review, and synthesis. The theories underpinning this study are Big Bucket Theory and Records Management Theory. According to this chapter the independent variables include safety, adequacy, confidentiality, easy access, and update while dependent variable are effectiveness of records' management system, and employees' satisfaction.

## **CHAPTER THREE**

### **RESEARCH METHODOLOGY**

#### **3.0 Introduction**

This chapter provides detailed explanation on research methodologies that the researcher used in the process of carrying out the study. These methodologies were used in the process of collecting data, analysing data, and presenting data. The specific section in this chapter includes type of the study, study area, study population, sample size and sampling techniques, data collection methods, and data analysis methods. The chapter also presents research schedule which shows the research activities and allocated time.

#### **3.1 Research design**

This study employed the case study design whereby the study was limited to Musoma Municipal council only though its findings are transmittable even to other Municipal Councils in the country. The case study design enabled the researcher to be flexible in using multiple data collection methods whereby questionnaires, interview, observation and documentary review were used. Also, the study employed both qualitative and quantitative means of data analysis.

#### **3.2 Area of the study**

Musoma Municipal Council (MMC) was the area of the study. MMC was officially inaugurated in 1963 as a Town Council under section 4 of the Local Government Ordinance (The Local Government Instrument, 1962). MMC covers an area of 6300km<sup>2</sup> and is composed of plains with small - scattered hills. It lies between latitude 1<sup>0</sup>30' south of equator and 28<sup>0</sup> 48' East of Greenwich. From the census conducted in 2012 MMC is approximately to have 236,786 people. The map of Musoma Municipality is attached in Appendix I and organisation structure of MCC as Appendix II.

Researcher decided to select MMC due to Report of Controller General of 2013/2014 which shows that some of LGAs do not efficiently update employee's information either keep employee important records accordingly. Among LGAs listed with this problem MMC was one of them that's why the researcher decided to conduct an investigation at MMC so as to determine what were the challenges facing the municipal in managing employee records accordingly and provide some recommendations to improve the situation.

### 3.3 Population of the study

The target population for this study was 123 individuals who constituted both managerial and non-managerial cadres.

### 3.4 Units of inquiry

The units of inquiry in this study included all cadres found in the Department of HR and Administration at MMC. The distribution of population in these units of inquiry is as shown in table 3.1 below.

**Table 3.1 Units of inquiry**

No.	Cadre	No. of Staff	Percentage of the Total
1	Administration officer	1	0.81
2	Human Resource Officers	4	3.25
3	Records Management Assistants	8	6.50
4	Office Assistants	10	8.13
5	Personal Secretaries	7	5.69
6	Ward Executive Officers	9	7.32
7	Millet Executive Officers	46	37.40
8	Security Guards	23	18.70
9	Drivers	11	8.94
10	Committee Clerk	2	1.63
11	Public Relation Officer	1	0.81
12	Information Technology Officer	1	0.81
	<b>Total</b>	<b>123</b>	<b>100</b>

Source: Documentary review (2016)

### 3.5 Sample size

The sample size was 45 respondents. This sample consisted of employees from different cadres within Administrative and HR department. The reason for selecting this size of the sample was the size of population itself whereby Administration and HR department consisted of 123 employees. This size of the sample was ideal due to limitedness of financial resources and time on the side of researcher. The sample was representative as it included representatives from all groups and sections of employees within the chosen department. The sample distribution was as shown in Table 3.2 below.

**Table 3.2 Sample distribution**

No.	Cadre	No. of Staff	Number selected	Percentage of the Total
1	Administration officer	1	1	2.2
2	Human Resource Officers	4	3	6.7
3	Records Management Assistants	8	8	17.8
4	Office Assistants	10	6	13.3
5	Personal Secretaries	7	5	11.1
6	Ward Executive Officers	9	5	11.1
7	Village Executive Officers	46	8	17.8
8	Security Guards	23	3	6.7
9	Drivers	11	3	6.7
10	Committee Clerk	2	1	2.2
11	Public Relation Officer	1	1	2.2
12	Information Technology Officer	1	1	2.2
	<b>Total</b>	<b>123</b>	<b>45</b>	<b>100</b>

**Source: Researcher (2016)**

### 3.6 Sampling technique

The study used quota sampling, purposive sampling and simple random sampling techniques to select the sample for the study as explained below.

#### 3.6.1 Quota sampling

Quota sampling was used to select 41 respondents to be included in the sample. In this technique all employees of Administration and Human Resources Department were divided into their cadres. Thereafter, the researcher decided on the number of

respondents to be taken from each cadre basing on the size and the nature of the cadre. The importance of using quota sampling was to increase the probability of the sample to be more representative as the respondents were taken from each cadre.

**Table 3.3 Quota sampling**

No.	Cadre	No. of Staff	Number selected	Percentage of the Total
1	Administration officer	1	1	2.4
2	Human Resource Officers	4	2	4.9
3	Records Management Assistants	8	6	14.6
4	Office Assistants	10	6	14.6
5	Personal Secretaries	7	5	12.2
6	Ward Executive Officers	9	5	12.2
7	Village Executive Officers	46	8	19.5
8	Security Guards	23	3	7.3
9	Drivers	11	3	7.3
10	Committee Clerk	2	1	2.4
11	Public Relation Officer	1	1	2.4
12	Information Technology Officer	1	0	0
	<b>Total</b>	<b>123</b>	<b>41</b>	<b>100</b>

**Source: Researcher (2016)**

### 3.6.2 Simple Random Sampling

Simple Random Sampling was used to select 41 respondents as identified by quota sampling. There researcher wrote the names of all employees excluding those who would be selected by purpose sampling in each cadre in separate pieces of paper and mixed them into a box. Thereafter, the researcher picked the pieces of paper one after another until the required number of respondents from respective cadre was attained. The process was repeated to all other cadres until 35 respondents were obtained. The researcher decided to use simple random sampling so as to give an equal chance of all members from each cadre to be included in the sample and therefore the avoiding bias.

### 3.6.3 Purposive sampling

Purposive sampling was used to select 4 respondents including 1 Head of Administration and Human Resources Department, 1 Supervisor of Open Registry, 1

Supervisor of Confidential Registry, and 1 Information Technology Officer. The researcher selected these 4 respondents purposively because they were more concerned and knowledgeable on employees' records management and therefore, able to provide more detailed information which could not be obtained from other employees.

**Table 3.4 Purposive sampling**

No.	Title of the respondent(s)	No.	Percentage
1.	Head of Department	1	25
2.	Supervisor of Open Registry	1	25
3.	Supervisor of Confidential Registry	1	25
4.	Information Technology Officer	1	25
	<b>TOTAL</b>	<b>4</b>	<b>100</b>

**Source: Researcher (2016)**

### **3.7 Data collection methods**

The study used both primary and secondary data collection methods.

#### **3.7.1 Primary Data Collection methods**

These were used to collect first-hand information direct from respondents. The primary data collection methods that were used are questionnaire, interview and observations.

##### **i. Questionnaires**

Questionnaires were administered to 35 employees from the department of Administration and HR at MMC. Questions were both open ended questions and closed ended questions prepared in English and translated in Swahili. The English questionnaires were for employees who were comfortable in English and Swahili questionnaires were for employees who were comfortable in Swahili. For closed ended questions respondents were required to choose one appropriate answer, and for open ended questions they were provided with a special space to fill their answers. The questionnaire comprised of questions on the system used in employees' records management, effectiveness of record management system used, employees' satisfaction with the way their records are kept, qualities of employees' records kept,

and challenges encountered when keeping employees' records in HR and Administration Department at MMC.

Questionnaires were used due to their flexibility nature which allows respondents to fill them at any time when they are less busy. Also, questionnaires have the nature of anonymity which makes it easier for respondents to give out important information without fear. Moreover, questionnaire saves time as can be administered to many respondents at once. Not only that but also the data obtained through questionnaire can be easily analysed through special software packages like SPSS.

## **ii. Interview**

The researcher interviewed 10 respondents selected through purposive sampling. During the interview there were interview guide which consisted of semi-structured questions so as to get more detailed information on different issues. Interview was used to collect in-depth information on the system used in keeping employees' records, effectiveness of employees' record management system, employees' satisfaction with the way used in keeping their records, qualities of employees' records kept, and challenges encountered when keeping employee records in HR and Administration Department at MMC.

The reason on why the researcher decided to use interview method was that interview gives the participants an immediate chance to clarify themselves directly to the researcher. Also, it helps to overcome misunderstanding and misinterpretation of words or questions. As a result, the answers given are clear. Moreover, it reduces the chance of participant planning about lying in their response. Not only that but also it allows for the provision of more information, as there is no limited space as in the questionnaire or observation schedule.

## **iii. Observation**

On the method of observation the researcher used non-participatory observation during data collection from the field. The data collected through observation supplemented the data collected through questionnaire, interview and documentary review.

The things that were observed are the security of the room or place used in keeping records, availability of record management officials in the registry room during working time, procedure followed when one needs his or her records, adherence to records management regulations like restriction of normal employees from entering record keeping room in HR and Administration Department at MMC.

The reasons on why the researcher decided to use non participatory observation method was that non-participatory observation has the ability to provide accurate data as the researcher witnesses what happens in its natural setting. Also, this method can reveal the hidden information that the respondents were not ready to provide due to different factors.

### **3.8 Secondary data collection method**

Secondary data collection methods were used to collect information which already existed. Documentary review was used as a secondary data collection method.

#### **i. Documentary review**

Different documents like annual progress reports, meetings minutes and others as were directed by management of HR and Administration Department at MMC were reviewed. The information that were collected through documentary review were on MMC structure, history of MMC, challenges encountered in management of employees' records, and information on the system used in managing employees' records in HR and Administration Department at MMC. The researcher decided to use documentary review so as to get access to information that had already been collected and stored and therefore avoiding time consuming.

### **3.9 Measurement of variables**

The dependent and independent variables were measured as follows:

#### **i. Effectiveness of record management system used in HR and Administration Department at MMC**

Effectiveness of employees' record management systems was measured by using three items. These included safety, adequacy, confidentiality, easy access and update.

Respondents were asked questions on the five items and thereafter percentages of response were calculated such that information on the effectiveness of record management system in HR and Administration Department at MMC were obtained.

**ii. Satisfaction of employees with the way there records are kept in HR and Administration Department at MMC**

Satisfaction of employees with the way there records are kept in HR and Administration Department at MMC was measured by asking respondents on whether they were satisfied or not satisfied with the way there records were kept. Thereafter, percentages of response were calculated.

**iii. Qualities of the employees' records kept in HR and Administration Department at MMC**

The qualities of employees' records kept in HR and Administration Department at MMC were measured in four items. These included comprehensiveness, accuracy, unaltered, and completeness of the records kept in HR and Administration Department at MMC. The respondents were asked questions on four items and thereafter percentages of response were calculated.

**iv. Challenges encountered when managing employees' records in HR and Administration Department at MMC**

Challenges encountered in keeping employees records in HR and Administration Department at MMC were measured by asking each respondent to mention five challenges encountered when managing employees. Thereafter frequencies and percentages of response were calculated.

**3.10 Data Analysis techniques**

The study used both quantitative and qualitative data analysis techniques. This is due to the fact that different data collection methods were used and therefore data collected through each of those methods necessitated the use of data analysis technique which is different from others given the nature of such data.

### **3.10.1 Primary data analysis techniques**

Data collected through questionnaire were analysed through quantitative method of data analysis. Statistical Package for Social Sciences (SPSS) was used to analyse the quantitative data. In implementing this technique data collected from questionnaire filled by respondents were edited then coding of data followed then entered to a spread sheet read for analysis Descriptive statistics which are frequencies, and percentage, were established. The analysed data were presented through tables.

Data collected through interview and observation were analysed by qualitative method which was used to identify ideas or arguments about the problem under investigation through formulating themes emerging from transcript of interviews in relation to research questions addressed by the study. The data were presented in narrative form.

### **3.10.2 Secondary data analysis techniques**

Data collected through documentary review were largely analysed qualitatively and partly quantitatively depending on their nature. This was done through formulating themes emerging from reviewed documents and presented in narrative form.

## **3.11 Chapter summary**

This chapter is the composition of methodologies that the researcher used in the process of collecting, analysing, and presenting data. The study is the case study design limited to HR and Administration Department at MMC. The population of the study consisted of 123 employees of HR and Administration Department while the sample size consisted of 45 respondents. The sampling techniques used include quota sampling, simple random sampling, and purposive sampling. Data collection methods used were questionnaire, interview, observation, and documentary review. The variables were measured by calculating frequencies and percentage of responses. Data collected through questionnaire were analysed quantitatively through SPSS and presented in tabular form while data collected through interview, observation, and

documentary review were analysed qualitatively by formulating the emerged themes and presented in narrative form.

## **CHAPTER FOUR**

### **FINDINGS AND DISCUSSION**

#### **4.0 Introduction**

This chapter presents analysis and discussion of the findings of the study. The constituent parts of this chapter are as follows: Demographic characteristics of respondents the system used in keeping employees' records, effectiveness of the system used in keeping employees records, employees' satisfaction with the way their records are kept, qualities of employees' records kept, and challenges encountered in managing employees' records

The response rate was that out of 41 respondents who were selected by simple random sampling only 35 returned questionnaires. That means the response rate for questionnaire respondents was 85.4%. The researcher succeeded to conduct the interview with all 4 respondents selected purposively. Therefore, the response rate for the interviewees was 100%. The total sample was 45 respondents.

The detailed presentation and discussion of the findings resulted from data collected from the field is as follows:

#### **4.1 Demographic characteristics of the respondents**

Demographic characteristics of the respondents investigated include gender, age, level of education, occupation, and length of service.

##### **4.1.1 Respondents' distribution by gender**

Male was the dominant gender at 54.3% while female was 45.7%. This indicates that there were more male respondents compared to females. However, such gender difference was just low. The low gender difference increased the probability of getting data with were less gender biased.

**Table 4.1 Respondents distribution by gender**

<b>Gender category</b>	<b>Frequency</b>	<b>Percentage</b>
Male	19	54.3
Female	16	45.7
<b>Total</b>	<b>35</b>	<b>100</b>

**Source: Field Data (2016)**

#### **4.1.2 Respondents' distribution by age**

Majority of the respondents (65.7%) were at the age of 30-49 followed by those at the age of 18-29 who were 28.6%. The last group was that of the age of 50-59 who were 5.7%. This indicates that majority of the respondents were at the middle age.

**Table 4.2 Respondents distribution by age**

<b>Age group</b>	<b>Frequency</b>	<b>Percentage</b>
18-29	10	28.6
30-49	23	65.7
50-59	2	5.7
<b>Total</b>	<b>35</b>	<b>100</b>

**Source: Field Data (2016)**

#### **4.1.3 Respondents' distribution by level of education**

Majority of the respondents (42.9%) had attained diploma level of education, 22.9% bachelor degree, 17.1% certificate, and the other 17.1% secondary education. This indicates that majority of respondents had attained high level of education. This increased the probability of getting accurate data.

**Table 4.3 Respondents distribution by level of education**

<b>Education level</b>	<b>Frequency</b>	<b>Percentage</b>
Secondary education	6	17.1
Certificate	6	17.1
Diploma	15	42.9
Bachelor degree	8	22.9
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

#### 4.1.4 Respondents' distribution by occupation

The findings showed that 20% of employees were Personal Secretaries, 14.3% Records Management Assistants, 14.3% Village Executive Officers, 11.4% Drivers, 11.4% Ward Executive Officers, 8.6% Public Relation Officers, 5.7% Human Resource Officers, 5.7% Committee Clerks, 2.9% Administration Officers, 2.9% Office Assistants, and 2.9% Information Technology Officers. This indicates that Personal Secretaries constituted the largest part of the respondents followed by Records Management Assistants. Since the two cadres are more responsible with records management there large number increased the probability of acquiring accurate and clear data.

**Table 4.4 Respondents distribution by occupation**

<b>Occupation</b>	<b>Frequency</b>	<b>Percentage</b>
Administration Officer	1	2.9
Human Resource Officer	2	5.7
Records Management Assistant	5	14.3
Office Assistants	1	2.9
Personal Secretary	7	20.0
Ward Executive Officer	4	11.4
Village Executive Officer	5	14.3
Driver	4	11.4
Committee Clerk	2	5.7
Public Relation Officer	3	8.6
Information Technology Officer	1	2.9
<b>Total</b>	<b>35</b>	<b>100</b>

**Source: Field Data (2016)**

#### 4.1.5 Length of service

Majority of the respondents (51.4%) were at the age of 0-5 years, 34.3% were at 6-10 years, 8.6% were at 21 years and above while the rest 5.7% were at 11-20 years. This indicates that majority of respondents had low experience in their jobs followed by those with middle experience. This means there were a probability for majority of respondents to lack enough information concerning records management in HR and Administration Department at MMC.

**Table 4.5 Respondents distribution by length of service**

<b>Length of service</b>	<b>Frequency</b>	<b>Percentage</b>
0-5	18	51.4
6-10	12	34.3
11-20	2	5.7
21+	2	8.6
<b>Total</b>	<b>35</b>	<b>100</b>

**Source: Field Data (2016)**

#### **4.2 System used in keeping employees' records**

The first objective for this study was to investigate the system used in keeping employees' records in Human Resources and Administration Department at MMC. Through questionnaire the respondents were asked on what is the system used in keeping employees' records in HR and Administration Department at MMC. Out of 35 respondents majority (91.4%) responded that manual file system is used in keeping employees' records, 5.7% responded that both manual and electronic systems while only 2.9% mentioned electronic system.

**Table 4.6 Respondents' opinions on the system used in keeping employees' records**

<b>System</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Manual file system	32	91.4
Both manual and electronic System	2	5.7
Electronic system	1	2.9
<b>Total</b>	<b>35</b>	<b>100</b>

**Source: Field Data (2016)**

The findings from the interview support those from questionnaire above. The interviewees revealed that only manual file system is used in keeping employees' records in HR and Administration Department at MMC. The Head of Department had the following to say:

*"...Up to this moment the only system used in keeping employees' record not only in this department but also at MMC in general is manual file system whereby each employee has got both open and confidential file...."*

The findings from observation done by researcher provide more support to the above findings. The researcher observed the use of file system in keeping employees records.

Generally, the findings indicate that only manual file system is used in keeping employees' records in HR and Administration Department at MMC.

The findings of this study relate with the study conducted by Xolile (2012) on The Status of Records Management at the University of Zululand in South Africa. In that study it was found that there were no a formal records management system at the university. Only paper based records management system was used.

#### **4.3 Effectiveness of the system used in keeping employees' records in Human Resources and Administration Department at MMC**

The second objective for this study was to determine the effectiveness of the system used in keeping employees' records in HR and Administration Department at MMC. Data for this objective were collected through questionnaire administered to employees belonging to the department, interview with respondents selected through purposive sampling, and observation done by researcher at MMC premises.

##### **4.3.1 Safety of employees records**

Through questionnaire the respondents were asked to comment on the safety of employees' records kept in Human Resources and Administration Department at MMC. Out of 35 respondents majority (62.9%) commented that records are safe while only 37.1% commented that they are not safe.

**Table 4.7 Respondents' comments on the safety of employees' records**

<b>Comment</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
They are safe	22	62.9
They are not safe	13	37.1
<b>Total</b>	<b>35</b>	<b>100</b>

**Source: Field Data (2016)**

The researcher asked the respondents who commented that the records are safe to mention the reasons for their response. Out of 22 respondents 36.4% said that the reason for safety of employees' records is that they are stored in a special room, 22.7% said that the files and records are kept in a good order, 18.2% said that there are good records keeping facilities, 18.2% said that there are qualified personnel, and 4.5% said there is adherence to rules and regulations on records keeping.

Also, the researcher asked the respondents who commented that the records are not safe to mention the reason for their comment. Out of 13 respondents 38.5% said that files get lost easily, 38.5% said that files get damaged easily, and 23.1% said the shelves are open.

The comments from interviewees on the safety of employees' records were quite contrary to those from questionnaire. The interviewees said that the records are not safe due to the fact that they are only kept on manual files and therefore in case of hazards like fire the files can easily get damaged and the department will remain without any records. Also, the interviewees said that the records are not safe due to the fact that the cup boards are open and therefore it is easy for anyone to access.

The Information Technology Officer had the following to say:

*“...to be frank the employees' records kept at our department are not safe. This is because only manual file system is used. Therefore in case of fire all records will be damaged...”*

The Supervisor of Open Registry had also the following to say:

*“...As you can see, the cup boards are open. This makes easier for anyone to access the records kept...”*

The findings from observation support those from interview as the researcher observed the shelves used in keeping files at registry office were open.

The findings indicate that the records kept in Human Resources and Administration Department at MMC are not safe. This is because the shelves are open and therefore making easier for anyone to access. Also, only manual file system is used and therefore making the records prone to complete destruction through hazards like fire.

These findings are contrary to what is insisted in the Records Management Theory as explained by Buckland (1990). Apart from other things the theory insists on the importance of keeping personnel records safely and with privacy for the welfare of both personnel and organisation as a whole. The lack of records kept in HR and Administration Department at MMC is contrary to what is stated by this theory.

This finding is in line with the findings of the study by Makhura (2005) on the Contribution of Records Management towards an Organisation’s Competitive Performance, a Case Study of South Africa National Parks (SANParks). In such study it was found that the records kept at SANParks were not safe due to absence of disaster recovery plan.

#### **4.3.2 Confidentiality**

Through questionnaire the respondents were asked on whether the people responsible for keeping employees’ records in HR and Administration Department observe confidentiality. Out of 35 respondents majority (85.7%) agreed that employees responsible for keeping employees’ records observe confidentiality while only 14.3% disagreed.

**Table 4.8 Respondents’ opinions on whether people responsible with records keeping observe confidentiality**

<b>Opinion</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Yes	30	85.7
No	5	14.3
<b>Total</b>	<b>35</b>	<b>100</b>

**Source: Field Data (2016)**

The respondents who disagreed that people responsible for keeping employees records observe confidentiality were asked to provide reasons for their disagreement. Out of 5 respondents 3(60%) said that the people responsible work by experience

instead of professionalism, 1(20%) said the people responsible are paid low wages and therefore are easy to bribed, and 1(20%) responded that they don't know.

The finding from interview supports those from questionnaire above. The interviewees argued that to a great extent the people responsible for keeping employees records observe confidentiality. However, sometimes some of them fail to observe confidentiality due to different reasons like working as per experience instead of observing rules and regulations.

The Head of Department had the following to say:

*“...I can say that to a large percent the employees responsible for records management observe confidentiality. However, there are some few cases when some of them are reported to breach confidentiality. I think the main reason for this is that such employees work by experience instead of observing rules and regulations on records keeping...”*

The findings indicate that to a great extent the people responsible for records keeping observe confidentiality. However, to a certain extent some employees fail to observe confidentiality due to the fact that it come a time when they work through experience instead of adhering to required rules and regulations.

These findings are in lines with what is stated in the Records Management Theory by Buckland (1990). Apart from other things the theory insists that the records should be kept on the basis of policies and rules of the organisation essentially with high degree of confidentiality and security. Therefore, the findings that the people responsible for records keeping in HR and Administration Department at MMC observe confidentiality are in line with what is stated in this theory.

### **4.3.3 Completeness of records**

Through questionnaire respondents were asked question on whether there is a moment when they were asked that some of their records that formerly were never ordered to collect for a certain purpose were missing. Out of 35 respondents majority (65.7%) disagreed while only 34.3% agreed. This implies that the employees'

records in HR and Administration Department at MMC are complete. The respondents who agreed that there were a moment when they were told that their records that formerly were not ordered to collect were missing were asked to comment on the frequency of such tendency. Out of 12 respondents who agreed 100% responded that they were told rarely.

**Table 4.9 Respondents’ opinion on whether they were asked that some of their records were missing**

<b>Opinion</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Yes	12	34.3
No	23	65.7
<b>Total</b>	<b>35</b>	<b>100</b>

**Source: Field Data (2016)**

The findings from the interview support those from questionnaire above. The interviewees argued that they always keep complete records so that they can be useful for the purposes of their storage. The Head of Department had the following to say:

*“...Normally we ensure that the records kept at our department are complete. Completeness of records puts us in a good position to accomplish different tasks where some records will be useful effectively...”*

The findings indicate that to a large extent the records kept in HR and Administration Department at MMC are complete. There are few cases where employees’ records seem to be incomplete.

#### **4.3.4 Accessibility of employees’ records**

Through questionnaire respondents were asked to comment on the accessibility of employees records when needed for a certain purpose. Out of 35 respondents majority (80%) responded that they are easily accessible while 20% responded that they are not easily accessible. This means that the employees’ records in HR and Administration Department at MMC are easily accessible. The respondents who responded that employees’ records were easily accessible responded to the question

on the reasons for easy accessibility. Out of 28 respondents 64.3% said it is because of good arrangement of files, 14.3% said it is because of using both electronic and manual file system, 10.7% said it is because of the use of file system, 7.1% said it is because of good creation of records, and 3.6% said it is because of the use of electronic system. Those who responded that the records are not easily accessible also provided the reasons. Out of 7 respondents 42.9% said the reason is the use of poor system of keeping records, 28.6% said the reason is poor recording of file movements, and 28.6% responded that they don't know the reason.

**Table 4.10 Respondents' comments on accessibility of employees' records**

<b>Comment</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
They are easily accessible	28	80.0
They are not easily accessible	7	20.0
<b>Total</b>	<b>35</b>	<b>100</b>

**Source: Field Data (2016)**

The findings from the interview support those from questionnaire as it was also held that employees' records are easily accessible. The interviewees argued that the employees' records are easily accessible as the files are arranged in a special order. Also, the documents are filed in special order too. The Supervisor of Open Registry had the following to say:

*"....Generally, I can argue that employees' records are easily accessible when needed. The most important factor for their easy accessibility is the presence of special arrangement of files. Also, the documents in files are arranged in special order....."*

Through observation the researcher observed that in registry office the files are arranged into shelves on the basis of cadre and alphabetical order. This made easy to access any file when needed.

The findings indicate that employees' records kept in HR and Administration Department at MMC are easily accessible. The reasons for easy accessibility of

employees' records are presence of special filing of documents into files and special arrangement of files into shelves.

These findings support what is suggested in the Big Bucket Theory that was firstly proposed by NARA in 2003 as explained by Abraxas (2012). Apart from other things the theory suggests that in local governments where there are many types of documents stored, documents should be organised with reference to the use and arranged accordingly for easy accessibility. The findings that the files kept in HR and Administration Department at MMC are easily accessible due to presence of special filing of documents into files and special arrangement of files into files supports what is suggested by this theory.

Generally, the findings indicate that's to a large extent the system used in keeping employees' records in HR and Administration Department at MMC is effective. This is because to a large extent there is observation of confidentiality and the records are complete. Also, he records are easily accessible. However, the records are not safe due to the use of only manual record keeping system only. Therefore, in case of hazards like fire the department can lose all records.

The finding of this study is in line with the study by Freda (2014) on Assessment of Records Management Practice among the administrative staff of University of Education, Winneba – Kumasi and Mampong campuses. In such study it was found that the records management practices among the academic staff of the university was to a great extent effective due to presence of privacy, security, back-up in case of disasters, and documented records retention schedule.

#### **4.4 Employees satisfaction with the way their records are kept**

The third objective for this study was to determine satisfaction of employees on the ways their records are kept in HR and Administration Department at MMC. The researcher wanted to determine such satisfaction in nine terms including the system used in keeping employees 'records, safety of the place used in keeping employees' records, the way employees' records are created, the way employees' records are preserved, disposition of employees records, accessibility of employees' records,

level of confidentiality in records management office, the way records are being retrieved when needed, and the way records are being maintained. Data for this objective was collected through questionnaire administered to employees of HR and Administration Department at MMC and interview conducted with the respondents selected through purposive sampling. The findings and discussion resulting from analysis of the data collected for this objective is as follows:

#### **4.4.1 Employees’ satisfaction with the system used in keeping their records**

Out of 35 questionnaire respondents majority (51.4%) responded that they are dissatisfied, 31.4% responded that they are satisfied, 8.6% responded that they are strongly satisfied, and the rest 8.6 responded that they are strongly dissatisfied. This means that employees in HR and Administration Department at MMC are dissatisfied with the system used in keeping employees records. This implies that the employees’ face hardships resulting from the system used in keeping their records. This finding is in line with that of the study by Noelia (2006) on Effectiveness of Pensions’ Records Management in the Public Service Employee’ Retirement Benefits a Case Study of Public Service Pensions Fund (PSPF). In such study it was found that the registry staffs are dissatisfied with the system used in keeping records at PSPF.

**Table 4.11 Employees’ satisfaction with the system used in keeping their records**

<b>Employees’ satisfaction</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Strongly satisfied	3	8.6
Satisfied	18	31.4
Dissatisfied	11	51.4
Strongly dissatisfied	3	8.6
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

#### **4.4.2 Employees’ satisfaction with the safety of the place used in keeping their records**

Out of 35 questionnaire respondents majority (48.6%) responded that that they are dissatisfied, 31.4% responded that they are satisfied, 11.4% responded that they are strongly satisfied, 5.7% responded that they are neutral, and the rest 2.9% responded

that they are strongly dissatisfied. This means that employees in HR and Administration Department at MMC are dissatisfied with the safety of the place used in keeping their records. This implies that the place used in keeping employees' records is not safe.

**Table 4.12 Employees' satisfaction with the safety of the place used in keeping their records**

<b>Employees' satisfaction</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Strongly satisfied	4	11.4
Satisfied	17	31.4
Neutral	2	5.7
Dissatisfied	11	48.6
Strongly dissatisfied	1	2.9
<b>Total</b>	<b>35</b>	<b>100</b>

**Source: Field Data (2016)**

#### **4.4.3 Employees satisfaction with the way their records are created**

Out of 35 questionnaire respondents majority (65.7%) responded that they are satisfied, 17.1% responded that they are neutral, 11.4% responded that they are dissatisfied, and the rest 5.7% responded that they are strongly satisfied. This means that employees in HR and Administration Department are satisfied with the way their records are created. This implies that there is good creation of employees' records at the department.

**Table 4.13 Employees' satisfaction with the way their records are created**

<b>Employees' satisfaction</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Strongly satisfied	2	5.7
Satisfied	23	65.7
Neutral	6	17.1
Dissatisfied	4	11.4
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

#### **4.4.4 Employees' satisfaction with the way their records are preserved**

Out of 35 questionnaire respondents majority (48.6%) responded that they are dissatisfied, 34.3% responded that they are satisfied, 14.3% responded that they are neutral, and the rest 2.9% responded that they are strongly satisfied. This means that

employees in HR and Administration Department are dissatisfied with the way their records are preserved. This implies that there is good preservation of employees' records at the department.

**Table 4.14 Employees' satisfaction with the way their records are preserved**

<b>Employees' satisfaction</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Strongly satisfied	1	2.9
Satisfied	17	34.3
Neutral	5	14.3
Dissatisfied	12	48.6
<b>Total</b>	<b>35</b>	<b>100</b>

**Source: Field Data (2016)**

#### **4.4.5 Employees' satisfaction with the disposition of their records**

Out of 35 questionnaire respondents majority (48.6%) responded that they are satisfied, 25.7% responded that they are dissatisfied, 20.0% responded that they are strongly dissatisfied, and the rest 5.7% responded that they strongly satisfied. This means that employees in HR and Administration Department at MMC are satisfied with the disposition of their records. This implies that there is good disposition of employees' records at the department.

**Table 4.15 Employees' satisfaction with disposition of their records**

<b>Employees' satisfaction</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Strongly satisfied	2	5.7
Satisfied	9	48.6
Dissatisfied	17	25.7
Strongly dissatisfied	7	20.0
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

#### **4.4.6 Employees' satisfaction with accessibility of their records when needed**

Out of 35 questionnaire respondents majority (62.9%) responded that they are satisfied, 22.9% responded that they are dissatisfied, 11.4% responded that they are strongly satisfied, and the rest 2.9% responded that they are neutral. This means that the employees in HR and Administration Department at MMC are satisfied with

accessibility of their records when needed. This implies that the employees' records at the department are easily accessible when needed

**Table 4.16 Employees' satisfaction with accessibility of their records when needed**

<b>Employees' satisfaction</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Strongly satisfied	4	11.4
Satisfied	22	62.9
Neutral	1	2.9
Dissatisfied	8	22.9
Strongly dissatisfied	0	0
<b>Total</b>	<b>35</b>	<b>100</b>

**Source: Field Data (2016)**

#### **4.4.7 Employees satisfaction with the level of confidentiality in the records management office**

Out of 35 questionnaire respondents majority (62.9%) responded that they are satisfied, 17.1% responded that they are dissatisfied, 14.3% responded that they are strongly satisfied, and the rest 5.7 responded that they are neutral. This means that employees in HR and Administration Department at MMC are satisfied with the level of confidentiality in records management office. This implies that to great extent the employees responsible with records keeping at the department observe confidentiality.

**Table 4.17 Employees' satisfaction with the level of confidentiality in records management office**

<b>Employees' satisfaction</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Strongly satisfied	5	14.3
Satisfied	22	62.9
Neutral	2	5.7
Dissatisfied	6	17.1
Strongly dissatisfied	0	0
<b>Total</b>	<b>35</b>	<b>100</b>

**Source: Field Data (2016)**

**4.4.8 Employees’ satisfaction with the way their records are retrieved when needed**

Out of 35 questionnaire respondents majority (48.6%) responded that they are satisfied, 34.3% responded that they are neutral, 11.4% responded that they are dissatisfied, and the rest 5.7% responded that strongly satisfied. This means that the employees in HR and Administration Department at MMC are satisfied with the retrieval of their records when needed. This means that there is easy and good retrieval speed of employees’ records when needed.

**Table 4.18 Employees’ satisfaction with the way their records are retrieved when needed**

<b>Employees’ satisfaction</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Strongly satisfied	2	5.7
Satisfied	17	48.6
Neutral	12	34.3
Dissatisfied	4	11.4
Strongly dissatisfied	0	0.0
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

**4.4.9 Employees’ satisfaction with the way their records are maintained**

Out of 35 questionnaire respondents majority (54.3%) responded that they are satisfied, 28.6% responded that they are neutral, 8.6% responded that they are strongly satisfied, and the rest 8.6% responded that they are dissatisfied. This means that employees in HR and Administration Department at MMC are dissatisfied with the way their records are maintained. This implies that employees’ records are well maintained at the department.

**Table 4.19 Employees’ satisfaction with the way their records are maintained**

<b>Employees satisfaction</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Strongly satisfied	3	8.6
Satisfied	19	54.3
Neutral	10	28.6
Dissatisfied	3	8.6
Strongly dissatisfied	0	0.0
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

The findings from the interview support those from the questionnaire presented above. The interviewees said that to a certain extent the employees in HR and Administration Department at MMC are satisfied with the way their records are kept. They further said that the reason for their argument is that there are rare cases of employees' complaints on the ways their records are kept. The Head of Department had the following to say.

*".....To my opinion, employees' at my department are satisfied with the ways their records are kept. This is because there are very few cases of employees' complaints in relation to this..."*

However, the interviewees revealed some items which they think tend to disguise the employees. These include the manual system used in keeping employees' records, and the place used to keep employees' records. The Head of Department had the following to say:

*"...The employees' seem to be dissatisfied by the manual file system used in keeping records at our department. This is because they sometimes criticize it and call for introduction of an electronic system in meetings..."*

Also, the Supervisor of Open Registry had the following to say:

*"...The employees are also not happy with the place used in keeping employees records. This is because the room is too small and shelves are open..."*

Generally, the findings indicate that to a certain extent the employees in HR and Administration Department at MMC are satisfied with the ways their records are kept particularly in terms of creation, preservation and disposition and maintenance. This implies there is good keeping of employees' records in these terms. However, the employees are dissatisfied the system used in keeping records which is manual file system. Also, the employees are not satisfied with preservation and safety of the place used in keeping their records. This is because the place is too small, and shelves are open.

#### **4.5 Qualities of employees' records kept in Human Resources and Administration Department at MMC**

The fourth objective for this study was to find out the qualities of employees' records in Human Resources and Administration Department at MMC. The qualities observed include comprehensiveness, accuracy of records, unaltered, completeness, authenticity, clarity of records, compliance with rules and regulations, safety, systematic disposal, understandability, accuracy, and adequacy of records kept. Data for this objective were collected through questionnaire administered to employees of Human Resources and Administration Department at MMC, interview conducted with the respondents selected by purposive sampling, and observation done by the researcher at MMC premises. The findings and discussion resulted from analysis of the data collected for this objective is as follows:

##### **4.5.1 Comprehensiveness**

Through questionnaire respondents were asked on whether there are some employees records that were worth keeping but are not kept at their department. Out of 35 respondents majority (91.4%) disagreed while only 8.6% agreed. This means that the records kept at HR and Administration Department at MMC cover almost each and every transaction and event occurring at the department and therefore comprehensive. The respondents who agreed were asked to mention the records which are not kept. Out of 3 respondents 1 mentioned motor vehicles services records, 1 mentioned files of personnel retired long time ago and the last 1 mentioned employees claims letters or forms.

**Table 4.20 Respondents opinions on the records that are worth keeping but not kept**

<b>Opinion</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Yes	3	8.6
No	32	91.4
<b>Total</b>	<b>35</b>	<b>100</b>

**Source: Field Data (2016)**

The findings from the interview support those from questionnaire. The interviewees said that the records kept are comprehensive as they cover all important transactions and events at the department. The Head of Department had the following to say:

*“...We record all important transactions and events at our department. Therefore, I can say that our records are comprehensive...”*

The findings indicate that employees’ records kept in HR and Administration Department at MMC are comprehensive as all important transactions and events are recorded. This implies that the management of the department is aware of all important records to be kept for future use.

#### **4.5.2 Unaltered**

Through questionnaire the respondents were asked on whether there is any moment when they realized that their records were different from the original ones. All 35 respondents (100%) disagreed. This means that employees’ records in HR and Administration Department are not altered.

**Table 4.21 Respondents response on whether there is any moment they realized that there records are different from original ones.**

<b>Response</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Yes	0	0
No	35	100
<b>Total</b>	<b>35</b>	<b>100</b>

**Source: Field Data (2016)**

The findings from the interview support those from questionnaire. The interviewees argued that employees’ records at the department are not altered as the rules and regulations require them to be kept at their original state so that they can be useful for targeted purpose. The Head of Department had the following to say:

*“...The employees’ records are unaltered. This is because the rule and regulations regarding record keeping requires them to be kept at their original nature so that they can be useful for the purpose of their storage...”*

The findings indicate that employees’ records in HR and Administration Department are not altered. This is because the rules and regulations guiding records keeping require them to be kept at original nature so that they can be useful for the purpose of their storage.

### 4.5.3 Completeness

The respondents were asked on whether there is any moment when they were asked or realized that their records are incomplete and therefore needed to be completed. Out of 35 respondents majority (80%) disagreed while only 20% agreed. This means that employees’ records in HR and Administration Department at MMC are complete. The respondents who agreed were asked on the frequency of the moments when they were asked or realized that their records are incomplete. Out of 7 respondents 4(57.1%) responded that it is rarely while 3(42.9%) said it is not frequently. Also, All 7 respondents (100%) revealed that personal particulars were incomplete.

**Table 4.22 Respondents’ response on whether there is any moment when they were asked or realized that their records are incomplete**

<b>Response</b>	<b>Frequency of Response</b>	<b>Percentage of Response</b>
Yes	7	20.0
No	28	80.0
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

The findings from the interview support those from questionnaire above as it was held that the employees’ records at the department are complete as it is required by the rules and regulations guiding record keeping to keep the complete records so as to be useful for the purpose of their storage. The Supervisor of Confidential Registry had the following to say:

*“...We don’t keep half records. This is because it is required by rules and regulations to keep the complete records such that they can be useful for their purpose...”*

The findings indicate that the records kept in the HR and Administration Department are complete. This is because it is required by the rules and regulations guiding records keeping to keep the records at a complete state such that can be useful for their purpose.

#### 4.5.4 Authenticity

Through questionnaire the respondents asked the researcher to comment on the authenticity of employees' records kept at their department. Out of 35 respondents majority (91.4%) responded that they are authentic, 5.7% responded that they are very authentic, and 2.9% responded that they are moderately authentic. This means that employees' records in HR and Administration Department at MMC are authentic.

**Table 4.23 Respondents comments on authenticity of employees' records**

<b>Comment</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Very authentic	2	5.7
Authentic	32	91.4
Moderately authentic	1	2.9
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

The findings from the interview support those from questionnaire above. The interviewees said that the employees' records kept at the department are authentic. They said that the reason for authenticity is that the records are checked carefully so as to ensure that they are correct before being kept. The Head of Department had the following to say:

*“...The employees' records kept here are authentic. The authenticity of the records results from the fact that we make thorough check up to ensure that the records are correct before keeping them...”*

The findings indicate that the records kept in HR and Administration Department at MMC are authentic. Such authenticity is attributed by the fact that the records are checked up to ensure that they are correct before keeping them.

#### 4.5.5 Clarity

Through questionnaire the respondents were asked to comment on the clarity of the employees' records at their department. Out of 35 respondents majority (82.9%) responded that they are clear, 8.6% responded that they are very clear, and the other 8.6% responded that they are moderately clear. This means that the employees' records kept in Human Resources and Administration Department are clear.

**Table 4.24 Respondents' comments on the clarity of employees' records**

<b>Comment</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Very clear	3	8.6
Clear	29	82.9
Moderately clear	3	8.6
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

The findings from the interview support those from questionnaire. The interviewees said that the employees' records kept at are clear. They further said that the clarity of records results from the fact that they are written in English or Kiswahili which are well understood. Also, they are arranged in special order within files. The Information Technology Officer had the following to say:

*"...To my opinion the records kept at our department are clear. This is because they are written inn either English or Kiswahili which are understandable to majority of the users of such records..."*

Also, the Supervisor of Open Registry had the following to say:

*"... The records are clear as they are arranged in serial number basing on the date of their receipt..."*

The findings indicate that the employees' records in HR and Administration Department are clear. The factors which attribute to such clarity are the use of the language which are understandable to users (English and Kiswahili) and good arrangement of records within files.

#### 4.5.6 Compliance with rules and regulations

Through questionnaire respondents were asked on whether the records kept at their department comply with rules and regulation requirements. Out of 35 respondents majority (94.3%) agreed that the records kept at their department comply with rules and regulations while only 5.7% disagreed. This means records kept in HR and Administration Department comply with rules and regulations requirements.

**Table 4.25 Respondents’ opinions on whether records kept comply with rules and regulations**

<b>Opinion</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Yes	33	94.3
No	2	5.7
<b>Total</b>	<b>35</b>	<b>100</b>

**Source: Field Data (2016)**

The findings from interview are more or less the same like those from questionnaire. The interviewees said that to large extent record kept at their department comply with rules and regulations. However, they said that there are some few cases whereby the employees violate some rules and regulations in different ways like entering into registry room without permission.

The Supervisor of Open Registry had the following to say:

*“...In case of compliance with rules and regulation I can say that to a large extent record keeping at our department complies with rules and regulation. However, there are some cases whereby some employees violate such rules and regulations. For instances, some employees enter the registry room without permission...”*

In observation done at registry office the researcher observed few cases of the employees who are not responsible with records management entering the registry room without permission for storytelling.

The findings indicate that to a large extent records keeping in HR and Administration Department at MMC complies with rules and regulations. However, there are few

cases where employees violate some rules and regulation like those entering the registry room without permission.

The findings that to a large extent the records keeping in HR and Administration at MMC complies with rules and regulations confirms what is insisted in the Records Management Theory explained by Buckland (1990). Apart from other things the theory insists keeping of records on the basis of policies and rules of the organisation essentially with high degree of confidentiality and security.

#### 4.5.7 Speed of retrieval of information kept

Through questionnaire the respondents were asked to comment on the speed of retrieval of information kept at their department. Out of 35 respondents majority (77.1%) responded that it is normal speed, 14.3% responded that it is not speedy, and the rest 8.6% responded that it is very speed.

**Table 4.26 Respondents’ comments on the speed of retrieval of information kept**

<b>Comment</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Very speed	3	8.6
Normal speed	27	77.1
Not speedy	5	14.3
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

The findings from the interview support those from questionnaire. The interviewees said that the speed of retrieval of information kept at their department is normal. They said that the reason for normal speed is that they use only manual file system. They further said that if there were electronic record keeping system the retrieval would be very speed. The Supervisor of Confidential Registry had the following to say:

*“...The speed of retrieval of information kept is just normal. This is because we just use manual file system which makes even the retrieval to be manual. There could be a difference if there were electronic system...”*

The findings indicate that the speed of retrieval of information kept in HR and Administration Department is normal due to the fact that the system used is manual file system. This implies that if there were electronic system the retrieval would be very speed.

#### 4.5.8 Safely storage of records

Through questionnaire respondents were asked for their opinions on safely storage of records on their department. Out of 35 respondents majority (74.3%) responded that it is not safe, 14.3% responded that it is safe, and the remaining 11.4% said it is very safe.

**Table 4.27 Respondents’ opinions on safely storage of records**

<b>Opinion</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Very safe	4	11.4
Safe	26	14.3
Not safe	5	74.3
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (20160)**

The findings from the interview support those from questionnaire above. The interviewees argued that the storage of records at their department is not safe. They said that the reason for their argument is that only manual file system is used. Electronic system is not present at all. Therefore, in case of hazards like fire the department can probably lose all the records. Also, they argued that the shelves at registry room are open and therefore there is a risk of records to be easily accessed by anyone. The Head of Department had the following to say:

*“...Generally, I can say that the storage of records at our department is not safe. This is because we have only manual file system. Therefore in case of hazards like fire we are likely to lose all records...”*

The Supervisor of Open Registry had the following to say:

*“...The records are not safe. As you can see the shelves are open and therefore anyone can easily access the records in our absence...”*

The findings indicate that records storage in HR and Administration Department is not safe. This is because only manual file system is used. Therefore, in case of any hazard the department can lose all records. Also, the shelves are open and therefore it is easy for any person to access them unlawfully.

#### 4.5.9 Systematic disposal

Through questionnaire respondents were asked to comment on systematic disposal of employees' records in their department. Out of 35 respondents majority (60.0%) responded that its good, 31.4 responded that it is average, and the rest 8.6 responded that it is very good.

**Table 4.28 Respondents comments on systematic disposal of employees' records**

<b>Comment</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Very good	3	8.6
Good	21	60.0
Average	11	31.4
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

The findings from the interview support those from questionnaire. The interviewees argued that the systematic disposal of employees' records at their department is good. They argued that once the employee quit the job by retirement, death or turnover his/her file is closed and stored in a special room in five up to seven years.

The Head of Department had the following to say:

*“...Generally, the systematic disposal of employees' records at our department is good. Once the employee quits the job his/her file is closed and then stored in a special room in five to seven years before disposal...”*

#### 4.5.10 Accuracy of records

Through questionnaire respondents were asked to give their opinions on the accuracy of records kept at their department. Out of 35 respondents majority (82.9%) responded that they are moderate accurate, 14.3% responded that they are very accurate and the rest 2.9% responded that it is not accurate.

Table 4.29 Respondents’ opinions on accuracy of employees’ records

<b>Opinion</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Very accurate	5	14.3
Moderate accurate	29	82.9
Not accurate	1	2.9
<b>Total</b>	<b>35</b>	<b>100</b>

**Source: Field Data (2016)**

The findings from the interview support those from questionnaire. The interviewees said that the employees records kept at their department are moderately accurate. This is because some of the employees submit false information on their personal particulars. They further argued that management is not active in updating the employees records in case of events like retirement, transfer or and death of employees. The Head of Department had the following to say:

*“...I can say that our records are moderately accurate. The reason for being moderate is that some of employees submit wrong information concerning their personal particulars like age, place of domicile and the like...”*

The Supervisor of Open Registry had the following to say:

*“...Slow update of employees’ records is another factor weakening accuracy of employees’ records. The management is not active in updating employees’ records in case of changes or events like death, transfer, retirement and so forth...”*

The findings indicate that the employees’ records kept in HR and Administration Department are moderately accurate. This is because some employees submit false information on their personal particulars.

#### **4.5.11 Adequacy of records**

Through questionnaire respondents were asked to give their opinions concerning the adequacy of the records kept at their department. Out of 35 respondents majority (91.4%) responded that they are adequate, 5.7% responded that they are not adequate, and the rest 2.9% responded that they are very adequate.

**Table 4.30 Respondents’ opinions on adequacy of records**

<b>Opinion</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Very adequate	1	2.9
Adequate	32	91.4
Not adequate	2	5.7
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

The findings from the interview support those from questionnaire. The interviewees said that the records are adequate. This is because they ensure that all the records that are important for each purpose are available in employees’ personal and confidential files. The Head of Department had the following to say:

*“... The records kept here are adequate. This is because we ensure that all important records needed for accomplishment of a certain task are available in employees’ files...”*

The findings indicate that the employees’ records kept in HR and Administration Department at MMC are adequate for the purpose of their storage. This is because the management tends to ensure that all important records needed for each purpose are available.

Generally, to a large extent the findings indicate that the records kept in HR and Administration Department have important qualities needed. However, the records lack safe storage as the shelves used in keeping records are open and therefore allowing easy accessibility of records by people who are not concerned with records keeping. Also, only manual file system is used. This can make the department lose all records once the hazards like fire occurs. Also, the records are moderately accurate. This means the records are not wholly accurate. This is due to failure to update information timely, and submission of false information particularly information on personal particulars by employees.

#### **4.6 Challenges encountered in managing employees' records**

The fifth objective for this study was to find out the challenges encountered in managing employees' records in Human Resources and Administration Department at MMC. Data for this objective were collected through questionnaire administered to employees of Human Resources and Administration Department, interview conducted with the sample selected purposively, and observation done by the researcher at MMC premises. The presentation and detailed discussion of the findings resulting from the data collected for this objective is as follows:

##### **4.6.1 Challenges**

Through questionnaire the researcher asked the respondents to give their opinions on whether each of the following challenges in this section are encountered in managing employees' records in Human Resources and Administration Department at MMC.

###### **i. Loss of management information**

Out of 35 respondents majority (54.3%) disagreed that there is the challenge of loss of management information while 40.0% agreed and the rest 5.7% responded that it is sometimes.

**Table 4.31 Respondents opinions on the presence of the challenge of loss of management information**

<b>Opinion</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Yes	14	40.0
No	19	54.3
Sometimes	2	5.7
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

###### **ii. Loss of ability to supply ministerial information**

Out of 35 respondents majority (62.9%) disagreed that there is a challenge of loss of ability to supply ministerial information while 25.7% agreed and the rest 11.4% responded that it is sometimes.

**Table 4.32 Respondents’ opinions on the presence of the challenge of loss of ability to supply ministerial information**

<b>Opinion</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Yes	9	25.7
No	22	62.9
Sometimes	4	11.4
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

**iii. Loss of ability to fulfill legal or contractual statutory responsibilities**

Out of 35 respondents majority (60.0%) disagreed on the presence of the challenge of loss of ability to fulfill legal or contractual statutory responsibilities while 20.0% agreed. The rest 20.0% said sometimes.

**Table 4.33 Respondents’ opinions on the presence of the challenge of loss of ability to fulfill legal responsibilities**

<b>Opinion</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Yes	7	20.0
No	21	60.0
Sometimes	7	20.0
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

**iv. Loss of ability to provide general records to the public**

Out of 35 respondents majority (60.0%) disagreed that there is a challenge of loss of ability to provide general records to the public while 17.1% agreed. The rest 22.9% said it is sometimes.

**Table 4.34 Respondents’ opinions on the presence of the challenge of loss of ability to provide general records to the public**

<b>Opinion</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Yes	6	17.1
No	21	60.0
Sometimes	8	22.9
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

**v. Loss of ability to follow normal procedures**

Out of 35 respondents majority (51.4%) disagreed on the presence of the challenge of loss of ability to follow normal procedures while 20.0% agreed. The rest 28.6% responded that it is sometimes.

**Table 4.35 Respondents opinions on the presence of the challenge of loss of ability to follow normal procedures**

<b>Opinion</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Yes	7	20.0
No	18	51.4
Sometimes	10	28.6
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

**vi. Unauthorized disclosure of classified information**

Out of 35 respondents majority (62.9%) disagreed that there is a challenge of unauthorized disclosure of classified information while 31.4% agreed. The rest 5.7% responded it is sometimes.

**Table 4.36 Respondents' response on the presence of the challenge of unauthorized disclosure of classified information**

<b>Opinion</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Yes	11	31.4
No	22	62.9
Sometimes	2	5.7
<b>Total</b>	<b>35</b>	<b>100</b>

**Source: Field Data (2016)**

**vii. Breach of confidentiality**

Out of 35 respondents majority (48.6%) disagreed on the presence of the challenge of breach of confidentiality while 45.7% agreed. The rest 5.7% responded that it is sometimes.

**Table 4.37 Respondents’ opinions on the presence of the challenge of breach of confidentiality**

<b>Opinion</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Yes	16	45.7
No	17	48.6
Sometimes	2	5.7
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

**viii. Complaints from the customers and other stakeholders**

Out of 35 respondents majority (48.6%) agreed on the presence of the challenge of complaints from customers and other stakeholders while 37.1% disagreed. The rest 14.3 responded that it is sometimes.

**Table 4.38 Respondents opinions on the presence of the challenge of complaints from customers and other stakeholders**

<b>Opinion</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Yes	17	48.6
No	13	37.1
Sometimes	5	14.3
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

**ix. Loss of records**

Out of 35 respondents majority (40.0%) disagreed on the presence of the challenge of loss of records while 37.1% agreed. The rest 22.9% responded that it is sometimes.

**Table 4.39 Respondents opinions on the presence of the challenge of loss of records**

<b>Opinion</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Yes	13	37.1
No	14	40.0
Sometimes	8	22.9
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

**x. Misplacement of vital records pertaining to local government transactions**

Out of 35 respondents majority (51.4%) disagreed on the presence of the challenge of misplacement of vital records pertaining to local government transactions while 34.3% agreed. The rest 14.3% responded that it is sometimes.

**Table 4.40 Respondents' opinions on the presence of the challenge of misplacement of vital records pertaining to local government transactions**

<b>Opinion</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Yes	12	34.3
No	18	51.4
Sometimes	5	14.3
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

**xi. Delay in decision making due to availability of required information**

Out of 35 respondents majority (45.7%) disagreed on the presence of the challenge of delay in decision making due to availability of required information while 34.3% agreed. The rest 20.0% responded that it is sometimes.

**Table 4.41 Respondents opinions on the presence of the challenge of delay in decision making due to availability of required information**

<b>Opinion</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Yes	12	34.3
No	16	45.7
Sometimes	7	20.0
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

**xii. Delay in pecuniary rights (Terminal benefits of employment due to the loss of personal particulars of employees)**

Out of 35 respondents majority (51.4%) disagreed on the presence of the challenge of delay in provision of pecuniary rights while 28.6% agreed. The rest 20.0% responded that it is sometimes.

**Table 4.42 Respondents’ opinions on the presence of the challenge of delay in pecuniary rights**

<b>Opinion</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Yes	10	28.6
No	18	51.4
Sometimes	7	20.0
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

In the interview the interviewees provided the challenges encountered in managing employees records. These include the following:

The first one is absence of electronic record keeping system. The interviewees argued that only manual file system is used. This exposes the records to the threat of being completely lost in case of hazards like fire. One Record Management Assistant had the following to say:

*“...Up to the moment we don’t have electronic record keeping system. Only manual file system is used. This poses a threat of complete loss of employees’ records in case of hazards like fire...”*

This challenge is consistent with that revealed in the study by Xolile (2012) on the Status of Records Management at the University of Zululand in South Africa. In such study it was found that there were no any formal electronic records management used at the University.

The second challenge is the presence of poor facilities used in keeping employees’ records. The interviewees revealed that the room is small and therefore not enough for keeping employees’ files. Also, the shelves are open and therefore making easier for anyone to access the files. The Head of Open Registry had the following to say:

*“...Generally, the facilities used in keeping employees’ records are poor. For instance, the registry room is too small to keep all employees records. Also, the shelves are open such that anyone can access the files...”*

This challenge is consistent with that revealed in the study by Pumulo (2012) on Assessment of Records Management at the Courts of Law in Zambia the Case of Court Registries. In such study it was found that one among the challenges facing records keeping is poor infrastructure and facilities which affect both electronic and paper records keeping.

The third challenge is shortage of employees responsible for records keeping. The interviewees argued that the number of employees in records' keeping cadre is very small such that it decreases efficiency in records keeping. They argued that they have only eight personnel while the demand is twelve. The Head of Open Registry said the following:

*“...Really we are very few in number with a lot of responsibilities pertaining records keeping. Up to this moment we have only eight personnel while the demand is fourteen. This leads to ineffectiveness...”*

This challenge is consistent with the one revealed in the study by Ngoako (2011) on Records Management in Support of Service Delivery in Public Health Sector in Limpopo province (South Africa) whereby shortage of staff was seen as one among the challenges facing records management.

The fourth challenge is lack of trained personnel. The interviewees argued that some of the few employees have no any training pertaining records management. They argued that such employees are transferred from other cadres like office assistant cadres without any capacity building activities like workshops or training. The Head of Open Registry had the following to say:

*“...Despite being few in number still some of us are not trained in record management. They are transferred from other cadres mostly Office Assistants Cadre without even any capacity building activities like training or workshop...”*

This challenge is consistent with the one revealed in the study by Xolile (2012) on the Status of Records Management at the University of Zululand in South Africa. In

such study it was revealed that there were no qualified records management practitioners at the University of Zululand.

The fifth challenge is violation of some of the rules and regulations related with records keeping. The interviewees argued that some employees enter the registry office for storytelling and other official and non-official reasons opposite to the rules and regulations guiding records keeping which require only the people responsible with records keeping to access registry room. This act as a threat to the safety of records kept. The Head of Department had the following to say:

*“...Sometimes, the employees who are not responsible with keeping of employees’ records enter the registry either for official or non-official reasons like storytelling and gossiping. This act as a threat to the safety of the records kept therein...”*

This challenge is consistent with the one revealed in the study by Pumulo (2012) on Assessment of Records Management at the Courts of Law in Zambia the Case of Court Registries. In such study it was found that there was failure to comply with regulations on records management stipulated in the National Archives Act of Zambia.

#### **4.6.2 Other challenges**

Questionnaire respondents were asked to mention other challenges encountered in managing employees’ records apart from those outlined in questionnaire. Out of 35 respondents 31.4% mentioned shortage of facilities, 17.1% absence of electronic system, 8.6% failure to observe rules and regulations, 8.6% loss of some records, 5.7% shortage of personnel, 5.7% complaints from customers, 2.9% lack of trained personnel, and the other 2.9% lack of capacity building activities to personnel. 17.1% responded that they don’t know.

**Table 4.43 Other challenges encountered in managing employees' records**

<b>Challenge</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Shortage of facilities	11	31.4
Absence of electronic system	6	17.1
Failure to observe rules and regulations	3	8.6
Loss of some records	3	8.6
Shortage of personnel	2	5.7
Complaints from customers	2	5.7
Lack of trained personnel	1	2.9
Lack of capacity building activities to personnel	1	2.9
Shortage of personnel	6	17.1
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source: Field Data (2016)**

Generally, the challenges facing HR and Administration Department at MMC in keeping employees records are absence of electronic record keeping system, poor facilities used in records keeping, shortage of employees responsible with records keeping, shortage of trained personnel for records keeping, lack of capacity building activities to personnel and low compliance with rules and regulations regarding records keeping as revealed by both questionnaire respondents and interviewees.

The findings for this objectives relates with the study by Xolile (2012) on the Status of Records Management at the University of Zululand in South Africa. In such study it was revealed that the records management at the University of Zululand was faced by the challenge of absence of electronic records management system, absence of qualified records management practitioners, and lack of trainings to records management practitioners. The study does also relate with the study by Pumulo (2012) on Assessment of Records Management at Courts of Law in Zambia. In such study it was revealed that the records management in courts of Zambia was faced by the challenge of poor facilities.

#### **4.6.3 Efforts done by MMC to get rid of the challenges encountered in managing employees' records**

Through questionnaire respondents were asked to mention any efforts done by MMC to get rid of the challenges facing management of employees' records in Human Resources and Administration Department. Out of 35 respondents 40.0% mentioned

the purchase of electronic devices for records keeping, 14.3% mentioned setting of annual budget for records keeping facilities, 11.4 mentioned employment of new personnel, 11.4% mentioned improvement of current facilities, 5.7 mentioned training of personnel, 5.7% mentioned holding of consultative meeting with people responsible for record keeping, 5.7% mentioned close follow-up of record keeping activities, and the rest 5.7% mentioned setting plans for improvement.

**Table 4.44 Efforts made by MMC to get rid of the challenges encountered in managing employees’ records**

<b>Effort</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Purchase of electronic devices	14	40
Setting budget for records keeping facilities	5	14.3
Employment of new personnel	4	11.4
Improvement of current facilities	4	11.4
Training of personnel	2	5.7
Holding of consultative meetings	2	5.7
Close follow-up	2	5.7
Setting plans for improvement	2	5.7
<b>Total</b>	<b>35</b>	<b>100.0</b>

**Source; Field Data (2016)**

In the interview with the respondents selected purposively they also mentioned the efforts done by MMC to get rid of the challenges facing keeping of employees records in Human Resources and Administrative Department. These efforts include the following:-

Firstly, the interviewees argued that the management of MMC makes efforts to increase the number of personnel responsible for records keeping for more effectiveness. The Head of Department had the following to say:

*“... The management of our council strives to make sure that they increase the number of personnel responsible for keeping records. For instance in the year 2014/2015 the council employed two Records Management Assistants...”*

Also, the interviewees argued that the management of MMC tries to improve the current record keeping facilities in different ways. Examples of the ways mentioned by the interviewees are changing of old files, and also it prepares the large registry room so as to replace the current one which is too small. The Head of Department had the following to say:

*“...Also, the council works hard to improve the current facilities. For instance, the management prepares the new large room that will replace the current one which is smaller...”*

Also, the Head of Open registry had the following to say:

*“... Each year the management buys new files which among other things are used to replace the old ones...”*

Another effort revealed by the interviewees is training of its personnel. The interviewees argued that some personnel get the chance to attend training under sponsorship of the council. The interviewees revealed that currently (in the year 2015/16) two personnel pursue training in Diploma in records keeping in Public Service College (Tabora). The Head of Department had the following to say:

*“...Some of the personnel from record management cadre get the chance for further training. Currently, we have two personnel pursuing diploma in records management at Public Service College, Tabora Campus...”*

Moreover, the interviewees argued that management of MMC has the plan to move to electronic records keeping by the year 2020. They further argued that in order to make this movement successful the management makes various efforts like purchasing computers each year. The Information Technology Officer had the following to say:

*“...There are plans to move to electronic records keeping by the year 2020. Different efforts are done in the course of this movement. As for instance, each year the council buys several computers...”*

Generally, the efforts made by HR and Administration Department and MMC in general to get rid of the challenges facing records keeping at HR and Administration Department are employment of new personnel, improvement of current records keeping facilities, improvement of current facilities, training of personnel responsible for records keeping, setting plans to move to electronic records management, setting of budget for records keeping, purchase of electronic record keeping devices, holding of consultative meeting with employees responsible with records keeping, and making follow-up on the performance of record management office.

#### **4.6.4 Ways that can be used to improve management of employees' records management**

Through questionnaire respondents were asked to give their recommendations on the ways that can be used to improve employees' records management in HR and Administration Department and MMC in general. Out of 35 respondents 34.3 recommended the introduction of electronic record keeping system, 20.0% recommended training of personnel responsible with records keeping, 14.3% recommended to make record management an independent department, 14.3% recommended setting of enough budget for records keeping yearly, 8.6% recommended participation of personnel in problem solving, 2.6% recommended employment of enough staff responsible with record keeping, 2.9% recommended provision of incentives to employees responsible with records keeping and the rest 2.9% didn't recommend any thing.

**Table 4.45 Respondents’ recommendations on ways to improve employees’ records management**

<b>Recommendation</b>	<b>Frequency of response</b>	<b>Percentage of response</b>
Introduction of electronic record keeping system	12	34.3
Training of personnel	7	20
Making records keeping an independent department	5	14.3
Setting enough budget	5	14.3
Participation of personnel in problem solving	3	8.6
Employment of enough personnel	1	2.9
Provision of incentives	1	2.9
No recommendation	1	2.9
<b>Total</b>	<b>35</b>	<b>100</b>

**Source: Field Data (2016)**

In the interview with respondents selected purposively, the interviewees provided their recommendations on the ways to improve employees’ records management.

Firstly, the interviewees recommended that the department should move to electronic records management system so as to work together with the present manual file system. The Supervisor of Confidential Registry had the following to say:

*“...I think most of the challenges can be eliminated once our department moves to electronic records management system to support the current manual file system...”*

Also, the interviewees recommended that the department should employ all required personnel in accordance with the needs of records management cadre so as to increase efficiency. The Supervisor of Open Registry had the following to say.

*“...As we revealed earlier that the number of employees in records management cadre is not enough. Therefore, the department should employ all employees in accordance with the demand of our cadre...”*

Another recommendation provided by the interviewees is that there should be regular capacity building activities like short courses, long term trainings, and workshops so as to impart records management skills to unqualified personnel and update the skills

of personnel responsible with records keeping. The Information Technology Officer had the following to say:

*“...Another suggestion is that there should be regular capacity building activities like long term training, short courses, and workshops. These will help to introduce the records management skills to unqualified personnel and update the skills of qualified personnel...”*

Moreover, the interviewees recommended that the management should improve the current facilities used in keeping employees records. They argued that the management of their department and MMC in general should prepare large room for records keeping with better shelves so as to improve efficiency in records keeping. The Head of Open Registry had the following to say:

*“...Management should make sure that it prepares a larger room for registry office. Such room should be well furnished with better shelves so as to improve records management activity at our department...”*

Lastly, the interviewees recommended that all employees in the department should be educated on the rules and regulations guiding records management so as to avoid violation like entering the registry room without permission. The Head of Department had the following to say:

*“...I think it is the time now whereby we have to educate all of our employees on the rules and regulations guiding records management. This can reduce violation like that of those who enter the registry room without permission...”*

Generally, the recommendations provided by employees on the ways to improve records management in HR and Administration Department and MMC in general are introduction of electronic records management system, employment of enough personnel, regular capacity building activities like long term training, short courses, and workshops, improvement of current facilities like registry room and shelves, making records keeping cadre an independent department, participation of personnel

in problem solving, provision of incentives to personnel, and education of all employees on rules and regulations guiding records management.

#### **4.7 Chapter summary**

The chapter is the composition of the findings on demographic characteristics of respondents and the findings and discussion with respect to research objectives and research questions. The findings indicated that only manual file system is used in keeping employees records in HR and Administration Department at MMC. Also, the findings indicated that to a large extent the system used in keeping employees' records in HR and Administration Department at MMC is effective. Another finding indicated that to a certain extent the employees in HR and Administration Department at MMC are satisfied with the ways their records are kept particularly in terms of creation, preservation, disposition and maintenance. Moreover, the findings indicated that the records kept in HR and Administration Department at MMC have all important qualities needed. Lastly, the findings indicated that the challenges facing HR and Administration Department at MMC in keeping employees' records are absence of electronic record keeping system, poor facilities used in records keeping, shortage of employees responsible with records keeping, shortage of trained personnel for records keeping, lack of capacity building activities to personnel, and low compliance with rules and regulations regarding records keeping.

## **CHAPTER FIVE**

### **SUMMARY, CONCLUSION AND POLICY IMPLICATIONS**

#### **5.0 Introduction**

This chapter is composed of summary, conclusion, recommendation, and policy implications which different stakeholders concerned should put into consideration to improve records management at MMC and LGAs in general.

#### **5.1 Summary**

The study intended to understand the challenges associated with management of employees' records in HR and Administration Department at MMC. The specific objectives of the study were to determine the system used in keeping employees' records in HR and Administration Department at MMC, to determine the effectiveness of the system used in keeping employees' records in HR and Administration Department at MMC, to determine satisfaction of employees on the ways their records are kept in HR and Administration Department at MMC, to find out the qualities of employees' records kept in HR and Administration Department at MMC, and to find out challenges encountered in managing employees records in HR and Administration Department at MMC. The study involved 45 respondents whereby 41 were selected through simple random sampling, and 4 through purposive sampling. However, only 35 (85.4%) respondents out of 41 respondents selected through simple random sampling returned questionnaires. The study employed both primary and secondary data collection methods. The primary data collection methods used were questionnaire, interview and observation, while the secondary data collection method used was documentary review. The study used statistical and non-statistical data analysis methods on the basis of the nature of data.

The findings of the study indicate that manual file system is used in keeping employees' records in HR and Administration Department at MMC. Also, to a large extent the system used in keeping employees' records at in HR and Administration Department at MMC is effective. Additionally, to a certain extent the employees' in

HR and Administration Department at MMC are satisfied with the ways their records are kept. Moreover, to a large extent the findings indicate that the records kept in HR and Administration Department at MMC have important qualities needed. Lastly, there are many challenges facing the keeping of employees' records in HR and Administration Department at MMC.

## **5.2 Conclusion**

Conclusions have been drawn with reference to the research finding in each of the specific objective as shown below:-

### **5.2.1 System used in keeping employees' records in HR and Administration Department at MMC,**

This was the first objective of the study. With reference to the findings of this objective it is concluded that manual file system is used in keeping employees' records in Human Resources and Administration Department at MMC. Electronic record keeping system is not used at all.

### **5.2.2 Effectiveness of the system used in keeping employees' records in HR and Administration Department at MMC**

This was the second objective of the study. With reference to the findings of this objective it is concluded that to a large extent the system used in keeping employees' records in HR and Administration Department is effective. However, the records kept are not safe due to the fact that there is a probability for a department to lose all records in case of hazards like fire. This is because only manual file system is used. Electronic record keeping system is non-existent at all.

### **5.2.3 Satisfaction of employees on the ways their records are kept in HR and Administration Department at MMC**

This was the third objective of the study. With reference to the findings of this objective it was concluded that to a certain extent the employees in HR and Administration Department at MMC are satisfied with the ways their records are kept particularly in terms of creation, disposition, accessibility, level of

confidentiality, retrieval, and maintenance. However, the employees are not satisfied with the system used in keeping employees records which is manual file system. Also, the employees are not satisfied with preservation and the safety of the place used in keeping employees records. This is because the preservation is through manual file system and therefore the records can easily get lost in case of hazard like fire. Also, the room used in keeping employees' records is too small and shelves are open. This make easier for anyone even those who are not concerned with records keeping to access records.

#### **5.2.4 Qualities of employees' records kept in HR and Administration Department at MMC**

This was the fourth objective of the study. With reference to the findings of this objective it is concluded that to a large extent the employees' records kept in HR and Administration Department have important qualities needed in terms of comprehensiveness, unaltered, completeness, authenticity, clarity, compliance with rules and regulations, retrieval speed, good disposal, understandability, and adequacy. However, the records lack the quality of safety due to the fact that the shelves used are open and therefore anyone can access the records. Also, only manual file record keeping system is used and therefore there is a threat of loss of all records in case of hazards like fire. Also, the records are moderately accurate. The accuracy of records is weakened by failure of management to update information kept in records timely and submission of false information particularly information on personal particulars by employees.

#### **5.2.5 Challenges encountered in managing employees records in HR and Administration Department at MMC**

This was the fifth objective of the study. With reference to the findings of this objective it is concluded that there are many challenges encountered in managing of employees' records in HR and Administration Department at MMC. These include absence of electronic records keeping system, poor facilities used in keeping employees' records, shortage of employees responsible with records keeping, shortage of trained personnel for records keeping, lack of capacity building activities

for personnel, and low compliance with rules and regulations guiding records keeping. Different efforts are done by HR and Administration Department and MMC to get rid of the challenges encountered. These include employment of new personnel, improvement of current records keeping facilities, training of personnel responsible for records keeping, setting of plans to move to electronic records management, setting of budget for records keeping, purchase of electronic records keeping devices, holding of consultative meetings with employees responsible with records keeping, and making follow-up on the performance of records management office. In order to improve records management in HR and Administration Department and MMC in general the employees recommended introduction of electronic records management system, employment of enough personnel, regular capacity building activities like long term training, short courses, and workshops, improvement of current facilities like registry room and shelves, making records keeping cadre an independent department, participation of personnel in problem solving, provision of incentives to personnel, and education of all employees on rules and regulations guiding records management.

### **5.3 Recommendations**

The researcher has provided recommendations on the basis of the findings revealed by this study. Such recommendations would help the HR and Administration Department and MMC in general to get rid of the challenges revealed to face records management and improve records management. The recommendations provided are as follows:-

Firstly, the HR and Administration Department together with management of MMC should make efforts to move to electronic records management system. This system will ensure safety of records even if any hazard like fire occurs.

Also, the HR and Administration Department together with management of MMC should improve the current manual file system. This means that although there would be an electronic record keeping system as recommended above, still the current manual file system should not be eliminated but instead it should be improved so that

it can work effectively with electronic one. Among other things this improvement should be done by preparing a large room for registry office instead of the current one which is too small. Also, the room should be well furnished with better closed shelves which will prevent easy accessibility of records by people who are not concerned with records keeping.

Moreover, the HR and Administration Department should ensure availability of enough qualified personnel in records' keeping cadre so as to serve the current shortage. This will increase effectiveness in records keeping.

Furthermore, the HR and Administration Department should ensure availability of regular capacity building activities in form of trainings and workshops not only to the employees responsible with records keeping but also to other employees. Through this the employees who are responsible with records keeping will get the new knowledge and skills and also update the previous ones. Also, the employees who are not responsible with records keeping will get knowledge on the rules and regulations guiding records keeping and therefore reducing violations.

Lastly, there should be regular monitoring and evaluation so as to realize in advance any diversion from the rules and regulations guiding employees' records management and therefore being in position to find their solution. This will help to solve the challenges of slow updating of information, low accuracy of records and so forth.

#### **5.4 An area for further research**

With reference to the results of this study there is the need for more scientific findings on different aspects regarding employees' records management. One of those aspects is whether the change of employees' records management cadre in LGAs to an independent department as recommended by some respondents would help to solve the current problems facing records management.

#### **5.5 Policy implications**

The policy implications resulting from the findings of this study is that the policy makers should redesign records management policy such that electronic records management system should be compulsory for all LGAs in URT so as to promote efficiency and effectiveness in records keeping. That is because currently, the policy does not state such a system to be compulsory and therefore making most of LGAs like MMC to stick on the manual file system alone.

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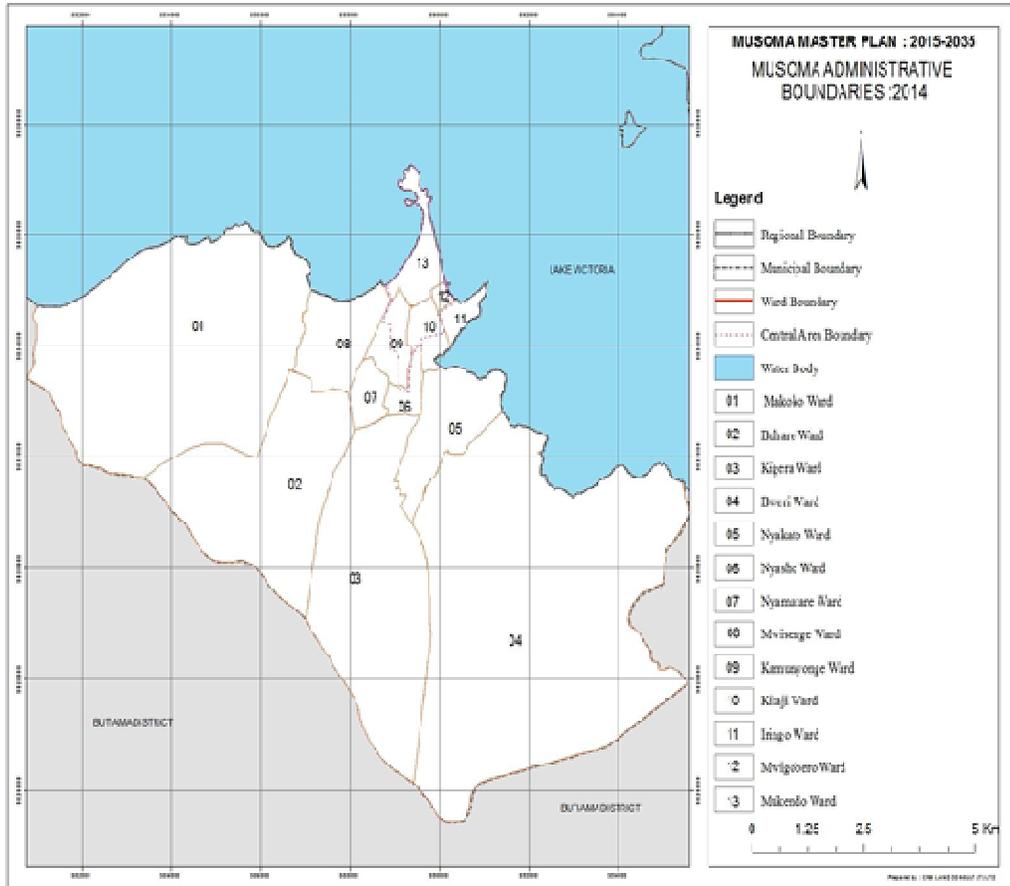
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# APPENDICES

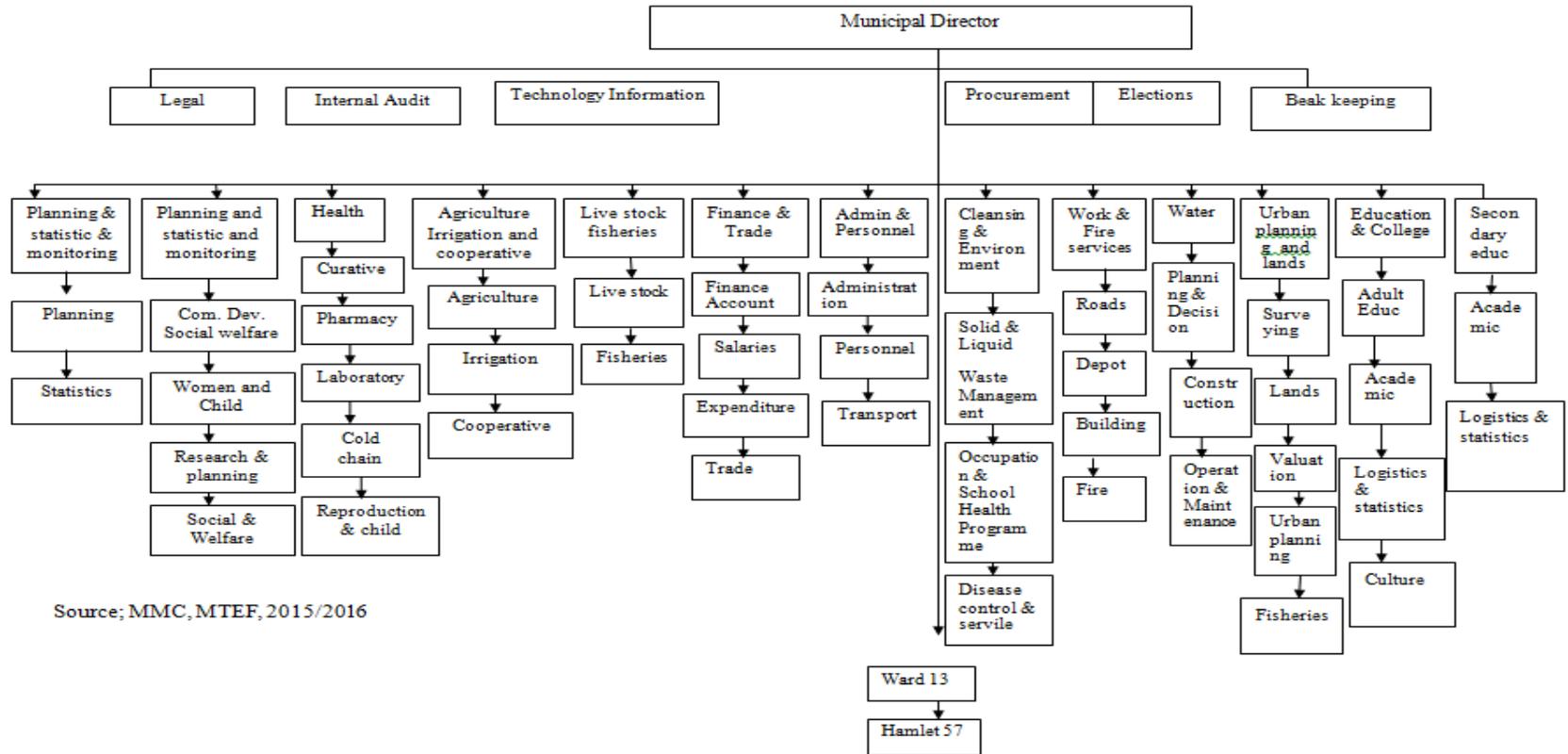
## APPENDIX I

### THE MAP OF MUSOMA MUNICIPAL COUNCIL



**APPENDIX II**

**Musoma Municipal Council Organogram**



Source; MMC, MTEF, 2015/2016

### APPENDIX III

## QUESTIONNAIRE FOR ALL EMPLOYEES IN THE ADMINISTRATION AND HUMAN RESOURCES DEPARTMENT OF MUSOMA MUNICIPAL COUNCIL

I am a student at Mzumbe University Main campus (Morogoro) pursuing MSc. Human Resource Management. I am doing a study on employee record management in the Human Resources and Administration Department at Musoma Municipal Council, as a compulsory part of my programme. The aim of the research is to assess challenges associated with management of employee records at MMC. To make this study a success, I kindly request you to respond to the questions below, I would be very grateful if you would spare some few minutes to fill in this questionnaire. The information that you give will be treated confidential and your identity will not be exposed.

### Instructions:

Please put  $\surd$  where appropriate and to the blank space write a text

### A: Demographic characteristics of respondent

#### 1. Gender

1. Male	2. Female

#### 2. Age ( In Years)

1. 18-29	2. 30 – 49	3. 50-59	4. 60 and above

### 3. Level of Education

1.	Primary education	
2.	Secondary education	
3.	Certificate	
4.	Diploma	
5.	Bachelor Degree	
6.	Master Degree	
7.	Other (specify)	

### 4. Occupation

1	Administration officer	
2	Human Resource Officers	
3	Records Management Assistants	
4	Office Assistants	
5	Personal Secretaries	
6	Ward Executive Officers	
7	Millet Executive Officers	
8	Security Guards	
9	Drivers	

10	Committee Clerk	
11	Public Relation Officer	
12	Information Technology Officer	

5. Length of service (Number of years worked)

1. 0-5	2. 6-10	3. 11-20	4. 21 and above

**B: The system used in keeping employees records at Human Resources and Administration Department**

**Write a letter of the correct answer and to a blank space write a text.**

6. What among the following is the system used in keeping employees records at human resources and administration department?

- (a) Manual files system (b) Electronic System (c) Both manual and electronic system

7. If there is an electronic record management system at your department, mention it.

.....  
 .....

8. If your answer in question six (6) is ‘both manual and electronic record management system’, which one is used more than another in day to day record keeping?

- (a) Manual file system (b) Electronic system (c) The extent of their use is almost the same (d) I don’t know

**C. Effectiveness of the system used in keeping employees’ records at Human Resources and Administration Department**

**Write a letter of the correct answer and to a blank space write a text**

9. What can you comment on the safety of employees' records kept at your department basing on the environment in which they are kept?

- (a) They are safe (b) The are not safe

10. Give a reason for your response in question nine

.....  
.....  
.....

11. Do the people responsible with keeping employees' records at your department observe confidentiality?

- (a) Yes (b) No

12. If the answer in question eleven is 'no' what makes them fail to observe confidentiality?

.....  
.....  
.....

13. Is there any moment when you were asked that some of your records that formerly you were never ordered to collect for a certain purpose were missing?

- (a) Yes (b) No

14. If your answer in question thirteen (13) is 'yes', how often?

- (a) Frequently (b) Rarely

15. What can you comment on the accessibility of employees records when needed for a certain purpose?

- (a) They are easily accessible (b) they are not easily accessible

16. If your answer in question fifteen (15) is 'they are easily accessible'. What makes employees' records to be easily accessible?

.....  
.....

17. If your answer in question fifteen is ‘they are not easily accessible’, what makes hard for accessibility of employees records when needed?

.....  
 .....

**D. Employees’ satisfaction with the way their records are kept**

<b>Statement</b>	<b>Strongly satisfied</b>	<b>satisfied</b>	<b>neutral</b>	<b>dissatisfied</b>	<b>Strongly dissatisfied</b>
I am satisfied with the system used in record keeping					
I am satisfied with the safety of the place used in keeping employees’ records					
I am satisfied with the way employee records are created					
I am satisfied with the way employee records are preserved					
I am satisfied with the disposition of employee records					
I am satisfied with accessibility of employees’ records					

when needed					
I am satisfied with the level of confidentiality in the records management office					
I am satisfied with the way records are being retrieved when needed					
I am satisfied with the way records are being maintained at my department					

**E. QUALITIES OF RECORDS KEPT**

18. Do you think there are some employees' records that were worth keeping but are not kept at your department?

(a) Yes (b) No

19. If your answer in question 18 is 'yes' mention such records.

.....  
.....  
.....

20. Is there any time when you were told or realized that some of your records were not accurate and therefore needed rectification?

(a) Yes (b) No

21. If your answer in question 20 is 'yes', how often

- (a) Frequently (b) rarely (c) Not frequently

Explain how

.....  
.....  
.....

22. Is there any moment when you realized that your records were different from the original ones?

- (a) Yes (b) No

23. If your answer in question 22 is 'yes' how often?

- (a) Frequently (b) rarely (c) Not frequently

Explain how

.....  
.....  
.....

24. Is there any moment when you were asked or realized that your records are incomplete and therefore needed to be completed?

- (a) Yes (b) No.

25. If your answer in question 24 is 'yes', how often?

- (a) Frequently (b) rarely (c) Not frequently

Explain how

.....  
.....  
.....

What is your comment on the authenticity of employees records kept at your department? They are.....

(a) Very authentic (b) Authentic (c) moderately authentic (d) Not authentic

Explain how

.....  
.....  
.....

26. What can you comment on the clarity of the employees records at your department? They are.....

(a) Very clear (b) Clear (c) Moderately clear (d) Not clear

27. To your opinion, do the records kept at your department comply with rules and regulations requirements?

(a) Yes (b) No

28. If your answer in question 28 is 'no' give the reason for you answer

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.....

29. In your opinion what can you comment on the speed of retrieval of information kept at your department

(a) Very speed (b) Normal speed (c) Not speed

30. What can you concerning the safely storage of records in your department

(a) Very safely (b) Safely (c) Not safely

31. What is your comment concerning systematic disposal of records in your department? Is it

(a) Very good (b) good (c) Normal (d) Bad

32. What can you say concerning understandability of records kept in your department? They are

(a) Very understandable (b) Normal understandable (c) Normal understandable

33. What can you say concerning the accuracy of records kept at your department?

They are

(a) Very accurate (b) Moderate accuracy (c) Not accuracy

34. In your opinion what can you say concerning the adequacy of the records kept at your department? They are

(a) Very adequate (b) Adequate (c) Not adequate

**F. Challenges encountered in managing employees' records**

<b>Challenges</b>	<b>YES</b>	<b>NO</b>	<b>SOME TIMES</b>
Loss of management information			
Loss of ability to supply ministerial information			
Loss of ability to fulfil legal / contractual statutory responsibilities			
Loss of ability to provide general records to the public			
Loss of the ability to follow normal procedures ( staff under occupied)			
Unauthorized disclosure of classified information			
Breach of confidentiality			
Complaints from the customers and stakeholders			
Loss of records			
Misplacement of vital records pertaining to local government transactions			
Delay in decision making due to availability of required information			
Delay of proving pecuniary rights i.e. terminal benefits of employment due to loss of personal particulars of employees			

**35. Do you experience the following problems in records management?**

36. What do you think are other challenges facing employee records' management at your department?

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37. What are the efforts which have been done by MMC to get rid of the challenges mentioned above? (Mention not more than five points)

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38. What do you think are the ways can be used to improve employee records management at Human Resources and Administration Department and MMC in general?

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#### **APPENDIX IV**

### **DODOSO KWA AJILI YAWAFANYAKAZI WOTE WA IDARA YA RASILIMALI WATU NA UTAWALA KATIKA HALMASHAURI YA MANISPAA YA MUSOMA**

Mimi ni mwanafunzi katika chuo kikuu cha Mzumbe tawi la Morogogo, nachukua shahanda ya Uzamili katika Usimamizi wa Rasilimali Watu. Ninafanya utafiti kuhusu utunzaji wa kukumbuku za watumishi katika idara ya rasilimali watu na utawala katika halmashauri ya manispaa ya Musoma. Lengo la utafiti huu ni kutathmini changamoto zitokanazo na utunzaji wa kumbukumbu za watumishi katika idara hiyo na halmashauri ya manispaa ya Musoma kwa ujumla. Ili kufanya huu utafiti uwe wa mafanikio, tafadhali nakuomba ujibu maswali yafuatayo hapo chini, nitashukuru sana iwapo utatoa muda wako kidogo kujaza dodoso hili. Taarifa utakazotoa zitakuwa ni siri nautambulisho wako hautawekwa wazi.

#### **Maelekezo:**

**Tafadhali weka alama ya vema, ✓ panapostahili na andika neno/maelezo katika nafasi wazi**

#### **A: Taafifa binafsi za watumishi**

1. Jinsia

1. Mme	2. Mke

2. Umri ( Kwa miaka)

1. 18-29	2. 30 – 49	3. 50-59	4. 60 na kuendelea

3. Kiwango cha elimu

1.	Elimu ya msingi	
2.	Elimu ya sekondari	
3.	Cheti / Astashahada	
4.	Stashahada	
5.	Shahada ya kwanza	
6.	Shahada ya pili	
7.	Nyingine (taja)	

4. Cheo/Kazi

1	Afisa utawala	
2	Afisa Utumishi	
3	Mtunza kumbukumbu	
4	Mhudumu	
5	Katibu Mahsusi	
6	Mtendaji kata	
7	Mtendaji wa kijiji	
8	Mlinzi	

9	Dereva	
10	Karani wa kamati	
11	Afisa uhusiano wa jamii	
12	Afisa Teknolojia ya mawasiliano	
13.	Kingine (taja)	

5. Mda uliofanya kazi (miaka)

1. 0-5	2. 6-10	3. 11-20	4. 21 na Zaidi

**B: Uwepo wa mfumo rasmi wa utunzaji wa kumbukumbu katika idara ya rasilimali watu na utawala**

**Andika herufi ya jibu sahihi na katika nafasi wazi andika neno au maelezo**

6. Upi kati ya ifuatayo ni mfumo unaotumika kutunza kumbukumbu za wafanyakazi katika idara yenu?

(b) Mfumo usio wa kielektroniki wa majalada (b) Mfumo wa kielektroniki (c)

Yote, mfumo wa kielektroniki na usio wa kielektroniki wa majalada

7. Kama kuna mfumo wa utunzaji wa kumbukumbu wa kielektroniki, utaje.

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8. Kama jibu lako katika swali la sita (6) ni ‘yote’ mfumo wa kielektroniki na usio wa kielektroniki wa majalada’, upi kati ya hiyo unatumika zaidi kuliko mwingine katika shughuli za kila siku za utunzaji wa kumbukumbu?
- (b) Mfumo usio wa kielektroniki wa majalada (b) Mfumo wa kielektroniki (c) Kiasi cha matumizi yake kinakaribia kuwa sawa

**C. Ufanisi wa mfumo unaotumika katika utunzaji wa kumbukumbu**

**Andika herufi ya jibu sahihi na kwa nafasi wazi andika neno au maelezo**

9. Yapi ni maoni yako kuhusiana na usalama wa kumbukumbu za wafanyakazi kulingana na mazingira zinapotunzwa?
- (b) Zipo salama (b) Hazipo salama

10. Toa sababu ya jibu lako kwa swali la tisa (9).

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 .....

11. Je watu wanaohusika na utunzaji wa kumbukumbu za wafanyakazi wanazingatia suala la usiri?

(b) Ndiyo(b) Hapana

12. Kama jibu lako kwa swali la kumi na moja (11) ni ‘hapana, kipi kinawafanya washindwe kuzingatia suala la usiri?

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 .....  
 .....

13. Je, ushawahi kuambiwa kwamba kumbukumbu zako ambazo hukuwahi kuambiwa kama zinahitajika hapo kabla kwa lengo fulani zinakosekana?

(b) Ndiyo (b) Hapana

14. Kama jibu lako kwa swali la kumi na tatu (13) ni ‘ndiyo’, mara ngapi?

(a) Mara kwa mara (b) Mara chache

15. Unaweza kusema ini kuhusiana na upatikanaji wa kumbukumbu za wafanyakazi pale zinapohitajika

(a) Zinapatikaa kiurahisi (b) Hazipatikani kiurahisi

16. Kama jibu lako kwa swali la kumi na tano (15) ni ‘zinapatikana kiurahisi’, kipi kinafanya kumbukumbu zipatikane kiurahisi pale zinapohitajika?

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 .....

17. Kama jibu lako katika swali la kumi na tano (15) ni ‘hazipatikani kiurahisi’, kipi kinafanya kumbukumbu zisipatikane kiurahisi pale zinapohitajika?

.....  
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**D. Kuridhishwa na namna kumbukumbu za wafanyakazi zinavyotunzwa.**

<b>Kauli</b>	<b>Naridhishwa sana</b>	<b>Naridhishwa</b>	<b>Sina wazo lolote</b>	<b>Siridhishwi</b>	<b>Siridhishwi kabisa</b>
Ninaridhishwa na mfumo unaotumika katika utunzaji wa kumbukumbu za watumishi					
Ninaridhishwa na usalama wa sehemu inayotumika					

katika utunzaji wa kumbukumbu za watumishi					
Ninaridhishwa na namna kumbukumbu za watumishi zinavyotengenezwa					
Ninaridhishwa na namna kumbukumbu za watumishi zinavyotunzwa					
Ninaridhishwa na namna kumbukumbu za watumishi zinavyofanywa baada ya kuisha muda wake					
Ninaridhishwa na upatikanaji wa kumbukumbu za watumishi pale zinapohitajika					
Ninaridhishwa na usiri uliopo katika ofisi ya utunzaji					

wa kumbukumbu					
Ninaridhishwa na namna kumbukumbu za watumishi zinavyorejeshwa pale zinapohitajika					
Ninaridhishwa na namna kumbukumbu za watumishi zinavyodumishwa katika idara yangu					

**Andika herufi ya jibu sahihi na kwa nafasi wazi andika neno au maelezo**

**E. Sifa za kumbukumbu za wafanyakazi zilizotunwa**

**Andika herufi ya jibu sahihi na kwa nafasi wazi andika neno au maelezo**

**. QUALITIES OF RECORDS KEPT**

18. Unadhani kuna kumbukumbu za watumishi ambazo zilistahili kutunzwa lakini hazitunzwi katika idara yenu?

- (a) Ndiyo (b) Hapana

19. Kama jibu lako kwa swali la 18 ni 'ndiyo', taja kumbukumbu hizo

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20. Je, umewahi kuambiwa au kugundua kwamba baadhi ya kumbukumbu zako zinazotunwa zina makosa na hivyo kuhitaji marekebisho?

- (a) Ndiyo (b) Hapana

21. Kama jibu lako kwa swali la 20 ni 'ndiyo', mara ngapi?

- (a) Mara kwa mara (b) Mara chache (c) Sio mara kwa mara

Elezea, kwa namna gani

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.....  
.....

22. Umeshawahi kugundua kwamba kumbukumbu zako zipo tofauti na zilivyokuwa mwanzo?

- (a) Ndiyo (b) Hapana

23. Kama jibu lako ni kwa swali la 22 ni 'ndiyo', mara ngapi?

- (a) Mara kwa mara (b) Mara chache (c) Sio mara kwa mara

Eleza, kwa namna gani

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.....  
.....

24. Je, ushawahi kuambiwa au kugundua kuwa kumbukumbu zako zinazotunwa hazijakamilika na hivyo kuhitaji kukamilishwa?

(a) Ndiyo (b) Hapana.

25. Kama jibu lako kwa swali la 24 ni 'ndiyo', mara ngapi?

(a) Mara kwa mara (b) Mara chache (c) Sio mara kwa mara

Eleza, ni kwa namna gani

.....

.....

..... Y

api ni maoni yako kuhusiana na ukweli wa taarifa zilizo katika kumbukumbu za watumishi zinazotunzwa katika idara yenu? Taarifa ni za.....

(a) Kweli sana (b) Kweli (c) Kweli sana (d) Si za kweli

26. Yapi ni maoni yako kuhusiana na kueleweka kwa kumbukumbu za watumishi zinazotunzwa katika idara yenu? Kumbukumbu....

(a) Zinaeleweka sana (b) Zinaeleweka (c) Zinaeleweka kiasi (d) Hazieleweki

Eleza, ni kwa namna gani

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27. Kwa maoni yako, utunzaji wa kumbukumbu katika idara yako unafuata sheria na taratibu?

(a) Ndiyo (b) Hapana

28. Kama jibu lakokatika swali la 28 ni 'hapana' to sababu

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Kwa maoni yako unaweza kusema nini kuhusiana na kasi ya kurejeshwa kwa kumbukumbu zinazotunzwa katika idara yenu? Urejeshwaji ni....

(a) Wa kasi kubwa (b) Wa kasi ya kawaida (c) Sio wa kasi

29. Unaweza kutoa maoni gani kuhusiana na usalama wa kumbukumbu zinazotunzwa katika idara yenu?
- (a) Zipo salama sana (b) Zipo salama (c) Hazipo salama
30. Yapi ni maoni yako kuhusiana na utaratibu wa kuachana na kumbukumbu baada ya kuisha muda wake wa kutumika?
- (a) Ni mzuri sana (b) Ni mzuri (c) Wa kawaida (d) Ni mbaya
31. Unaweza kusema nini kuhusiana na kueleweka kwa kumbukumbu zinazotunzwa katika idara yenu?
- (a) Zinaeleweka sana (b) Zinaeleweka kawaida (c) hazieleweki
32. Unaweza kusema nini kuhusiana na usahihi wa kumbukumbu zinazotunzwa katika idara yako?
- (a) Ziko sahihi sana (b) Ziko sahihi kawaida (c) Haziko sahihi
33. Kwa maoni yako unaweza kusema nini kuhusiana na kutosheleza kwa kumbukumbu zinazotunzwa katika idara yenu?
- (a) Zinatoshleleza sana (b) Zinatoshleleza (c) Hazitoshlelezi

**F. Changamoto zinazohusiana na utunzaji wa kumbukumbu za watumishi**

**Andika neno au maelezo katika nafasi wazi**

**34. Eleza kama matatizo yafuatayo yapo katika utunzaji wa kumbukumbu za watumishi katika idara yenu**

<b>Changamoto</b>	<b>Ndiyo</b>	<b>Hapana</b>	<b>Muda Fulani</b>
Kupotea kwa taarifa za muhimu kwa uongozi			
Kupoteza uwezo wa kutoa taarifa kwa wizara			
Kupoteza uwezo wa kutekeleza majukumu ya kisheria au kimkataba			
Kupoteza uwezo wa kutoa kumbukumbu za ujumla kwa jamii			
Kupoteza uwezo wa kufuata taratibu (Kwa watumishi)			
Kusambaza taarifa ambazo hujaruhusiwa			
Kukiuka usiri			
Malalamiko kutoka kwa wateja na wadau			
Kupoteza kwa kumbukumbu			
Kutoonekana kwa kumbukumbu muhimu kuhusiana na shughul za serikali za mitaa			
Kuchelewa kwa maamuzi kuhusiana na kutopatikana kwa taarifa zinazohitajika			
Kucheleweshwa kwa haki za msingi za watumishi kama mafao kutokana kupotea kwa taarifa binafsi za watumishi			

35. Unafikiri zipi ni changamoto zingine zinazokumba utunzaji wa kumbukumbu katika idara yenu?

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.....  
.....N

i jitihada zipi zinafanywa na uongozi wa halmashauri ili kuondokana na changamoto ulizotaja hapo juu? (Taja tano)

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36. Kwa maoni yako, nini kifanyike ili kuboresha utunzaji wa kumbukumbu katika idara ya rasilimali watu na utawala na halmashauri kwa ujumla? (Taja tano).

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## **APPENDIX V**

### **INTERVIEW QUESTIONS FOR RESPONDENTS SELECTED PURPOSELY**

1. Explain the system used in keeping employees' records in the human resources and administration department
2. What can you explain on the effectiveness of the system used in keeping employees' records at your department basing on the following hints:-
  - (a) Safety
  - (b) Confidentiality
  - (c) Adequacy
  - (d) Accessibility
3. Are employees satisfied with the ways their records are kept? Explain your answer.
4. Explain on whether employees' records kept at your department possess the following qualities
  - (a) Comprehensiveness
  - (b) Unaltered
  - (c) Accuracy
  - (d) Completeness
5. What are the challenges encountered when keeping employees' records at your department?
6. .What are the efforts that have been done by MMC to get rid of the challenges mentioned above?
7. What do you think are the ways that can be used to improve record management at your department and MMC in general?

## **APPENDIX VI**

### **MASWALI YA MAHOJIANO KWA AJILI YA WATU WALIOCHAGULIWA KWA SABABU MAALUM**

1. Toa maelezo kuhusu mfumo unaotumika katika utunzaji wa kumbukumbu katika idara ya utawala.
2. Unaweza kueleza vipi kuhusiana na ufanisi wa mfumo uliopo wa utunzaji wa kumbukumbu katika idara yenu kwa nyanja zifuatazo?
  - (a) Usalama wa kumbukumbu
  - (b) Utunzaji wa siri
  - (c) Kutosheleza kwa kumbukumbu
  - (d) Upatikanaji wa kumbukumbu zinapohitajika
3. Je, watumishi wanaridhishwa na namna kumbukumbu zao zinavyotunzwa? Elezea jibu lako.
4. Ni changamoto zipi mnazokumbana nazo katika kutunza kumbukumbu za watumishi katika idara yenu?
5. Zipi ni juhudi ambazo zimekuwa zikifanywa na uongozi wa halimashauri ili kuondokana na changamoto ulizotaja katika swali la tano (5)?
6. Unafikiri nini kifanyike ili kuboresha utunzaji wa kumbukumbu za watumishi katika idara yenu na halimashauri ya manispaa ya Musoma kwa ujumla?

## **APPENDIX VII**

### **LIST OF THINGS TO BE OBSERVED**

1. Security of the room or place used in keeping records
2. Availability of record management officials in the registry room during working time
3. Procedure followed when one needs his or her records
4. Adherence to records management regulations like restriction of normal employees from entering record keeping room