

**STRATEGIES FOR ENHANCING CHANGES IN THE IMPLEMENTATION OF
RECORDS AND ARCHIVES MANAGEMENT PROGRAMMES IN TANZANIA**

by

HAMISI KIYABO

Submitted in accordance with the requirements for the degree of

DOCTOR OF PHILOSOPHY

in the subject

INFORMATION SCIENCE

at the

UNIVERSITY OF SOUTH AFRICA

SUPERVISOR: PROF. ISABEL SCHELLNACK-KELLY

April 2026

ABSTRACT

This study aimed to develop strategies for enhancing changes in the implementation of records and archives management programmes in Tanzania. The objectives included determining the effects of inputs such as resources and records management frameworks on sustainable implementation, exploring the effects of monitoring activities, evaluating public organisations' evaluation tactics, and developing a framework for change strategies. Changes in records management programmes are inevitable, and organisations must master change management processes, understand drivers, and provide top management support. However, many organisations struggle with enhancing changes due to unfamiliarity with important issues and processes. In Tanzania, despite a well-designed National Records and Archives Management Policy since 2011, non-compliant behaviour, lack of key performance indicators, limited funds, and shortage of skilled personnel hinder effective implementation. The study employed a result chain framework to analyse the sustainable implementation of records management programmes through an exploratory qualitative approach. Data was collected via focus groups, in-depth interviews, and document analysis, with participants selected based on their roles in records management. The findings of the study highlighted the importance of clear objectives, responsibilities, legal framework, staffing, training, monitoring and evaluation, and resource allocation for effective records management in institutions. However, challenges such as lack of understanding, inadequate budgets, and a poorly structured organisational structure hinder the implementation of these activities. The study recommends the strategies to enhance records and archives management, including respecting the profession, raising awareness, hiring professional personnel, allocating budgets, creating an independent department, renaming the term "registry," and involving top management in records management issues. This study's distinctive contribution lies in the creation of a framework that enhances the implementation of records management programmes.

Keywords: Records management programmes, records management strategies, monitoring and evaluation, archives management, change management processes, result chain.

MUHTASARI

Utafiti huu ulilenga kuandaa mikakati ya kuimarisha mabadiliko katika utekelezaji wa programu za menejimenti ya kumbukumbu na nyaraka nchini Tanzania. Malengo hayo yalijumuisha kubainisha athari za viwezeshi (inputs) kama vile rasilimali na mfumo ya menejimenti ya kumbukumbu katika utekelezaji endelevu, kuchunguza athari za shughuli za ufuatiliaji, kutathmini mbinu za ufuatiliaji zinazotumiwa na taasisi za umma, na kuandaa mfumo wa mikakati ya mabadiliko. Mabadiliko katika programu za usimamizi wa kumbukumbu hayawezi kuepukika, na mashirika lazima yawe na udhibiti wa michakato ya usimamizi, kuelewa visababishi vya mabadiliko, na kutoa usaidizi wa juu wa usimamizi. Hata hivyo, mashirika mengi yanatatizika kuboresha mabadiliko kutokana na kutofahamika kwa masuala muhimu na taratibu. Nchini Tanzania, licha ya sera iliyoundwa vizuri tangu mwaka 2011, tabia zisizofuata kanuni, ukosefu wa viashirio muhimu vya utendaji kazi, uhaba wa fedha, na uhaba wa wafanyakazi wenye ujuzi unazuia utekelezaji mzuri. Utafiti ulitumia mfumo wa mnyororo wa matokeo. Data ilikusanywa kupitia vikundi lengwa, mahojiano ya kina, na uchambuzi wa hati, huku washiriki wakichaguliwa kulingana na majukumu yao katika programu za menejimenti ya kumbukumbu. Matokeo ya utafiti yalibainisha umuhimu wa uongozi wa juu, malengo yaliyo wazi, majukumu, mfumo wa kisheria, utumishi, mafunzo, ufuatiliaji na tathmini, na ugawaji wa rasilimali kwa ajili ya usimamizi bora wa kumbukumbu katika taasisi. Hata hivyo, changamoto kama vile ukosefu wa uelewa, ufinyu wa bajeti, na muundo duni wa shirika huzuia utekelezaji wa shughuli hizi. Utafiti unapendekeza mikakati ya kuimarisha utekelezaji endelevu wa menejiment ya kumbukumbu na nyaraka ikiwa ni pamoja na kuheshimu taaluma, kuongeza ufahamu, kuajiri wafanyakazi wa kitaalamu, kutenga bajeti, kuunda idara inayojitegemea, kubadili jina la "masijala," na kuhusisha uongozi wa juu katika masuala ya utunzaji wa kumbukumbu. Mchango wa kipekee wa utafiti huu upo katika kuunda mfumo unaoboresha utekelezaji wa programu za menejimenti ya kumbukumbu na nyaraka.

Maneno Muhimu: Programu za menejimenti ya kumbukumbu na nyaraka, mikakati ya usimamizi wa kumbukumbu, ufuatiliaji na tathmini, michakato ya usimamizi wa mabadiliko, mnyororo wa matokeo.

ACKNOWLEDGEMENT

I am grateful to God for all His blessings in every aspect of my life. God cannot allow those who believe in Him to walk in darkness; instead, He gives us the light of life (John 8:12).

I would like to thank my family members, especially my son Kiyabo junior and daughter Adelgunda, for their encouragement and inspiration throughout my studies. My brothers Kulwa, Sunhwa, Evarist, and Yona, as well as my sisters Rehema, Nyamizi, and Mary, have provided me with invaluable material and moral support. I pray that the Lord, Almighty God, bless them in every aspect of their lives.

I would like to express my appreciation to my employer, Mzumbe University, for supporting my studies at the University of South Africa.

I am grateful to my supervisor, Prof. Isabel Schellnack-Kelly, for her encouragement, guidance, comments, and valuable inputs, which allowed me to complete this study on time. Furthermore, I would like to thank everyone at the School of Public Administration and Management (SOPAM) - Mzumbe University, Tanzania, for their cooperation and support during my studies at the University of South Africa (Unisa). I am delighted to convey my heartfelt thanks to the City Council of Dodoma, Tabora Municipal Council, Manyoni District Council, PO-RAMD, PSSSF, and Ministry of Finance for their time and knowledge in this study.

Finally, I acknowledge the use of Google Translator, QuillBot, and Grammarly in translating Swahili transcripts into English and detecting grammatical errors.

DECLARATION

Name: Hamisi Kiyabo

Student number: 17367107

Degree: Doctor of Philosophy in Information Science

Thesis title: Strategies for Enhancing Changes in the Implementation of
Records and Archives Management Programmes in Tanzania

I declare that the above thesis is my own work and that all the sources that I have used or quoted have been indicated and acknowledged by means of complete references.

I further declare that I submitted the thesis to originality checking software and that it falls within the accepted requirements for originality.

I further declare that I have not previously submitted this work, or part of it, for examination at Unisa for another qualification or at any other higher education institution.



SIGNATURE

11 April 2026

DATE

TABLE OF CONTENTS

ABSTRACT.....	i
MUHTASARI.....	ii
ACKNOWLEDGEMENT.....	iii
DECLARATION	iv
LIST OF FIGURES	x
LIST OF TABLES.....	xi
LIST OF ABBREVIATIONS.....	xii
CHAPTER ONE	1
INTRODUCTION TO THE STUDY.....	1
1.1 Background of the study	1
1.1.1 Challenges in implementing records management programmes.....	5
1.1.2 Situational analysis of records management in Tanzania.....	9
1.2 Statement of the problem	12
1.3 Purpose and objectives of the study	13
1.4 Definition of terms and concepts.....	14
1.4.1 Archives.....	14
1.4.2 Change.....	14
1.4.3 Change management	15
1.4.4 Record.....	15
1.4.5 Records management.....	16
1.4.6 Records management programme.....	16
1.5 Conceptual framework.....	17
1.5.1 Theory of change.....	19
1.6 Originality of the study	20
1.7 Significance of the study	23
1.8 Assumptions of the study.....	24
1.9 Scope and delimitations of the study	24
1.10 Research methodology.....	25
1.11 Thesis outline	25
1.11 Summary	26
CHAPTER TWO	28
LITERATURE REVIEW AND CONCEPTUAL FRAMEWORK.....	28

2.1	Introduction.....	28
2.2	Overview of records and archives management programmes	28
2.2.1	Reasons for establishing a records management programme	29
2.2.2	Maturity of the records management programmes.....	30
2.3	Required inputs of records management programmes	45
2.4	Activities involved in implementing records management programmes	48
2.5	Evaluation and monitoring tactics for realising the expected outputs and outcomes ..	50
2.5.1	Key principles for monitoring.....	52
2.5.2	Practical approaches to evaluation	53
2.5.3	Monitoring and evaluation systems.....	53
2.5.4	Logical framework in relation to evaluation	54
2.5.5	Impact evaluation.....	55
2.6	Change management and theories of change	56
2.6.1	Theories of change	57
2.6.2	The common stages in implementing changes	62
2.6.3	Ten guiding principles of change management.....	63
2.6.4	Barriers to organisational change and coping strategies	64
2.7	Conceptual framework for this study.....	66
2.7.1	Sustainable implementation of records management programmes.....	68
2.7.2	The expected results/changes	69
2.7.3	Evaluation and monitoring tactics	69
2.7.4	The Theory of Change.....	70
2.8	A framework on the strategies for enhancing changes in records and archives management programmes.....	70
2.9	Summary	71
CHAPTER THREE.....		73
RESEARCH METHODOLOGY		73
3.1	Introduction.....	73
3.2	Philosophical paradigm.....	74
3.2.1	Ontological and epistemological assumptions.....	77
3.2.2	Interpretive paradigm	79
3.3	Research approach	81
3.4	Research design.....	83
3.4.1	Population of the study	84
3.4.2	Sampling procedures.....	85
3.4.3	Data collection instruments	87

3.4.4	Trustworthiness of data.....	95
3.4.5	Role of the researcher	97
3.4.6	Data analysis and interpretation.....	99
3.5	Ethical considerations.....	101
3.5.1	Voluntary participation	102
3.5.2	Plagiarism.....	103
3.5.3	Ethical clearance	104
3.6	Summary	105
CHAPTER FOUR.....		106
PRESENTATION OF THE FINDINGS OF THE STUDY		106
4.1	Introduction.....	106
4.2	Participants' profiles.....	106
4.3.	Data presentation	108
4.3.1	The effects of the inputs towards the implementation of records management programmes.....	108
4.3.2	The effects of monitoring the implementation activities	181
4.3.3	The evaluation tactics employed by public organisations	210
4.4	Summary	226
CHAPTER FIVE.....		229
INTERPRETATIONS AND DISCUSSIONS OF THE FINDINGS.....		229
5.1	Introduction.....	229
5.2	The effects of the inputs towards implementation of records management programmes	229
5.2.1	Top management support.....	230
5.2.2	Clear programme objectives	232
5.2.3	Well-defined responsibilities and authorities	234
5.2.4	Legal framework	237
5.2.5	Staffing	239
5.2.6	Continuous training.....	241
5.2.7	Allocation of adequate resources	244
5.2.8	Placement of records management unit in the organisation structure	247
5.2.9	Regular interval monitoring and evaluations	249
5.2.10	Review of laws, policies and guidelines	250
5.2.11	Outreach programmes	253
5.3	The effects of monitoring of the implementation activities	254
5.3.1	Effects of the registry structure in monitoring the activities	254

5.3.2	Strategies used to conduct continuous assessment.....	256
5.3.3	Mechanisms used in setting targets.....	259
5.3.4	Effects of the actions taken by top management.....	260
5.4	The evaluation tactics employed by public organisations.....	262
5.4.1	Tactics used to determine the desired results.....	262
5.4.2	Efforts of the PO-RAMD in fostering supportive environment.....	265
5.5	Summary.....	267
CHAPTER SIX.....		270
SUMMARY, CONCLUSIONS AND RECOMMENDATIONS.....		270
6.1	Introduction.....	270
6.2	Summary of the findings.....	270
6.2.1	The effects of inputs towards the implementation of records management programmes.....	271
6.2.2	The effects of monitoring the implementation activities.....	274
6.2.3	The evaluation tactics employed by public organisations.....	276
6.3	Conclusions.....	276
6.3.1	The effects of inputs towards the implementation of records management programmes.....	277
6.3.2	The effects of monitoring the implementation activities.....	278
6.3.3	The evaluation tactics employed by public organisations.....	278
6.4	Recommendations.....	279
6.4.1	Appropriate mechanisms for addressing issues on inputs/resources.....	279
6.4.2	Monitoring and evaluation of records management activities.....	284
6.5	Proposed framework.....	288
6.6	Implications of the study for theory, policy and practice.....	291
6.7	Areas for further research studies.....	292
6.8	Final conclusion.....	293
REFERENCES.....		294
ANNEXES.....		313
Annexe I:	Interview Guide.....	313
Annexe II:	Focus Group Discussion Guide.....	314
Annexe III:	Ethical Clearance.....	315
Annexe IV:	Research Permit from COSTECH.....	317
Annexe V:	Research Permits from Sampled Institutions.....	319

LIST OF FIGURES

Figure 1.1:	Result chain (Source: International Labour Organisation 2015:3)	17
Figure 3.1:	Philosophical foundation of the study (Source: Researcher 2024)	73
Figure 6.1:	Framework for sustainable records management strategies	288

LIST OF TABLES

Table 2.1: The components of a monitoring and evaluation plan	55
Table 2.2: Chronology of theories and models for change management	58
Table 3.1: Summarised analysis of the primary paradigms in research methodology, epistemology, and ontology.....	76
Table 3.2: Assumptions between idealism and realism.....	78
Table 3.3: Epistemological positions and their assumptions	79
Table 3.4: Distinctions between qualitative and quantitative methods.....	81
Table 4.1: Participants' profiles.....	107

LIST OF ABBREVIATIONS

DMAIC:	Define, Measure, Analyse, Improve and Control
FGD:	Focus Group Discussion
HR:	Human Resources
ICT:	Information and Communication Technologies
IT:	Information Technologies
KPIs:	Key Performance Indicators
LGAs:	Local Government Authorities
MMR:	Mixed Methods Research
OPRAS:	Open Performance Review and Appraisal System
OS:	Office Supervisor
PDCA:	Plan Do Check and Act
PEPMIS:	Public Employees Performance Management Information System
PO-RAMD:	President's Office - Records and Archives Management Department
PSSSF:	Public Service Social Security Fund
TRAMPA:	Tanzania Records and Archives Management Professional Association

CHAPTER ONE

INTRODUCTION TO THE STUDY

1.1 Background of the study

Governments across the globe, and particularly in Africa, are implementing several reforms or changes that aim to improve social and economic conditions and reduce the poverty of their people (United Republic of Tanzania 2011). For the reforms to yield the expected outcomes, appropriate strategies should be adopted. In such a situation, every organisation is constantly confronted with a variety of changes that can either benefit or harm when carrying out its operations (Yandarbaeva, Kostoeva & Gayrbekova 2022). The idea of change is about alteration of the status quo (Kimutai, 2017). Each organisation needs to react and conform to the changes that happen to outlive and develop in a continually changing and competitive environment (Kamau, Munga & Baimwera 2017).

Change management refers to the practises of making an accurate prediction and planning for reforms, as well as defining and analysing their features, categorising and weighing the potential outcomes, tracking their implementation, and delegating tasks to staff members whose work is impacted by those changes (Yandarbaeva, Kostoeva & Gayrbekova 2022). Despite having a solid organisational structure and infrastructure, many organisations struggle with change management due to lack of awareness and knowledge about many important issues causing a change, as well as the processes and methods used to manage change and how change improves organisational effectiveness (Kimutai 2017). The change may have a negative impact not only on management but also in the implementation process. Therefore, to reduce the likelihood of negative outcomes, changes require appropriate strategies such as creating an efficient system for the interaction of all programme-related links, determination of each programme participant's area of responsibility, and the on-going evaluation of the effects of changes on different indicators of the programme (Yandarbaeva, Kostoeva & Gayrbekova 2022). Thus, considering the changes' increased interconnectedness and

uncertainty, organisations need to employ several strategies. First, they need to use strategic thinking like never before. Second, they need to apply their knowledge to deal with their shifting circumstances. Third, they need to foster the reasoning necessary to lay the foundation for the reception and execution of their methodologies. Fourth, they must establish coalitions of sufficient size and strength to adopt desirable strategies and safeguard themselves during their implementation; and fifth, they need to mobilise resources and build capacity with respect to the on-going administration of the essential change (Kamau, Munga & Baimwera 2017).

Among the reforms implemented by governments and organisations are those focusing on records management programmes. Researchers, scholars, policymakers, and managers agree on the importance of records and information resources since organisations function more effectively when all employees, including senior managers and decision-makers, recognise the importance of effective and accountable records management (World Bank Group 2020a). Governance in any society is made easy once there is effective and efficient records management programme (Mohamed & Bunawan 2022; Musembe 2016; Ngoepe & Van der Walt 2010). A well-managed records and archives management programme facilitates the protection of individuals and organisations' rights as well as assurance of continuity of operations (National Archives and Records Administration, n.d; Shonhe & Grand 2018). Thus, the development of any organisation is directly associated with the efficient management of information and records resources (Ifenaike & Olatokun 2020; Matto & Athumani 2018; Mulauzi, Hamooya, & Munsanje 2015; Shonhe & Grand 2018). Maintaining records aids businesses in making informed decisions and formulating effective policies, thereby improving efficiency and productivity. This practice facilitates tracking progress and supports decision-making to enhance economic productivity (Mintah, Gabir, Aloo & Ofori 2022).

Records management is a systematic and efficient control of both paper and electronic records throughout their life cycle (Ifenaike & Olatokun 2020). The records management programme, on the other hand, refers to a combination of policies, activities, and procedures that an organisation uses to implement records management (SAA

dictionary of archives terminology 2022, Sv 'records management program'). Organisations, which design and implement the records management programmes effectively and comprehensively, enjoy efficient and effective service delivery (Shonhe & Grand 2018). The viability of a records management programme is assessed through various aspects including its framework, storage capacity, disaster management plans, approaches, controls, rules, and appraisal and disposition strategies (Rutta & Ndenje-Sichalwe 2021).

A records and archives management programme requires several components to be considered successful. Firstly, organisations need to understand the motives or drivers that necessitate changes or improvements in records management practices (Shonhe & Grand, 2018). The second layer of components constitutes the top management support, clear programme objectives, well defined responsibilities and authorities, allocation of adequate resources, continuous training for records management staff, placement of the programme within the agency's organisational structure, as well as regular interval evaluations which aim to monitor compliance of the implementation process to the defined programme objectives (National Archives and Records Administration n.d).

According to the World Bank Group (2020a), when records management programmes are implemented, four milestones need to be evaluated, namely, the organisation's ability to link records management with legal, regulatory, and policy requirements; its awareness of the importance of records management to organisational success; the active support of senior managers in records management; and its ability to collaborate with related agencies to support a coordinated approach towards records management. As observed by Mohamed and Bunawan (2022), top management must welcome innovative ideas and accept quality standards for records management. Keakopa (2013) suggests enhancement of records management through a new classification system, mail management, staffing, training, storage, electronic handling, disaster management, awareness, appraisal, disposal, and governance structure. Similarly, Musembe (2016) suggests the following strategies:

- i. Priority must be given to the appointment of a Senior Records Manager to oversee the Records Management Unit.
- ii. Adopting the ISO 15489 standard for records management.
- iii. Qualified and sufficient staff be hired to boost professionalism.
- iv. The Heads of Registry should convince decision-makers of a comprehensive budget.
- v. Employees' awareness needs to be raised on the significance of records management.
- vi. Evaluation and monitoring need to be carried out by regulatory bodies such as the National Archives; and
- vii. Records management needs to be incorporated into the strategic plan to give it more weight.

Thus, the implementation of programmes on records and archives management requires appropriate strategies to manage the inputs (resources, records management frameworks, and top management support), the activities, and the outputs. According to the International Labour Organisation (2015), policymakers and programme managers need to evaluate and monitor progress of programmes implementation to identify any discrepancies between the planned and actual results of a programme (evaluation); and ascertain whether the programme alone is to be attributed for the changes in well-being (impact evaluation). Sometimes, it is useful to develop self-evaluation guide for reviewing the implementation of records and archives management programmes (National Archives and Records Administration n.d). In Tanzania, the National Records and Archives Management Policy of 2011 insists on the need to monitor and evaluate records management systems to ensure compliance with the policy, legislative and procedural requirements for improved performance (United Republic of Tanzania 2011).

Although scholars have identified the above strategies, the reality still indicates that the records and archives management programmes have been in crisis for many years (Ngoepe 2016). Sometimes, good records management programmes are designed with promising outcomes; only to end up in papers with the actual implementation becoming illusive. Professionals in records and archives management have been hoping to see

the light in the future of their profession, but time is passing without any prospects because many programmes are designed to apply the general records management principles without devising suitable strategies to address the challenges which hinder effective implementation of such programmes (Ngoepe 2016).

It is common to find varied awareness levels among government officials on the importance of sound records management for the development of their organisations. Senior Managers in many public organisations are not actively involved in records management reforms, and their organisations are failing to comply with the legal, regulatory and policy requirements (United Republic of Tanzania 2011). It is common to find that registries in public organisations are undervalued, and records management is “considered one of the lowliest of administrative functions” (Ngoepe & Van der Walt 2010:86).

Other implementation obstacles include unsatisfactory measures of increasing staff through recruitment and retention of professionals; inappropriate records storage facilities; and delays of some activities by the organisations’ management (Keakopa 2013). It is common to find policymakers and Programme Managers investing more energy in inputs such as financial and human resource while very little is invested in making records management programme achieve the intended outcomes (International Labour Organisation 2015). Thus, this situation calls for interventions to enhance changes during programmes implementation. Thus, this study explored the strategies for enhancing changes in the implementation of records management programmes.

1.1.1 Challenges in implementing records management programmes

Not only Tanzania, but other regions worldwide also face challenges in implementing records and archives management programmes. In Indonesia (Martino 2024), factors such as vulnerability to natural disasters, inadequate infrastructure, low public awareness, and financial constraints affect the safeguarding of citizens' vital records during disasters, increasing the likelihood of damage and loss. Additionally, a study by Janah and Mayesti (2020) revealed that the Republic of Indonesia Public Television Broadcasting Institution (LPP TVRI) has an information governance

maturity matrix at level two (2), which suggests that the organisation has not established stronger governance standards. The study on records management practices at five Islamic State Universities and Colleges (PTKINs) in Indonesia (Istilamah, Hasanah & Maslahah 2023) reveals a lack of established guidelines for usage and maintenance, with a significant issue being a shortage of qualified human resources. Recommendations include hiring additional archivists, improving facilities, providing outreach and technical support, and increasing budgets for records management workshops.

In Sri Lanka (Gunasekara & Marasinghe 2023), organisations face challenges including lack of awareness and proper training in records management, insufficient resources, inadequate documentation and accessibility to policies, and the absence of online centralised records management systems. This situation has also been seen in India (Nandeeshha & Keshava 2025), where missing Kardex records and agreements jeopardise inventory control and legal accountability, alongside concerns about data security due to a lack of digital backups. This shows that records management needs a coordinated approach that includes full digital transformation, clear policies, regular audits, standard metadata practices, and a central digital repository. Similar challenges are experienced in Lebanon (Zneit & Hejase 2025), where the key findings at the Lebanese Private University indicate that the university had inadequate records management practices, relying on informal document management. Additionally, a shortage of skilled records management professionals led to issues in developing, circulating, utilising, preserving, and destroying records, increasing the risk of losing valuable information.

Moreover, there are significant deficiencies in records management practices at construction sites in Nepal (Neupane & Jaisi 2025), which adversely affect project efficiency and outcomes. Issues identified include reliance on out-dated paper systems, lack of awareness of records management frameworks, insufficient training, and absence of automated solutions. These poor practices lead to delays, disputes, miscommunication, and cost overruns, further worsened by organisational

and cultural factors like inadequate leadership and regulatory awareness. A comparable scenario is documented in Kuwait (Al-Alawi 2025), where the research highlights considerable risks linked to the bottom-up methodology for records management (RM), including insufficient oversight and management, failure to adhere to local and national regulations, and a deficiency in understanding RM standards and best practices. Key findings include a lack of comprehensive documentation, a dedicated RM office, trained personnel, insufficient efforts to retain records, and limited knowledge of Archives Regulations and ISO 15489.

In Nigeria (Ayanda, Oloniruha & Ogungbade 2020; Hamzat, Ayeni & Kutu 2024), the management of academic institutions' records is rudimentary and lacks a comprehensive life-cycle approach as well as total quality management. This leads to poor maintenance, loss, and misplacement of records, thereby reducing administrative efficiency. The absence of a records schedule contributes to disorganised disposal methods, highlighting major management flaws. Inadequate funding, poor storage, insufficient training, lack of motivation, and limited materials hinder effective records management. Staff training is particularly lacking, attributed to the indifferent attitudes of personnel, funding issues, and insufficient infrastructure. Similarly, the challenges to effective records management in Ghana (Adusei & Mensah Senyah 2022) include improper records management, lack of security, insufficiently trained records managers, inadequate resources, insufficient storage space, threats to confidentiality, negative staff attitudes, lack of ICT backup facilities and inadequate storage equipment.

In the Southern African region, studies indicate that records management programmes experience numerous challenges. In Malawi (Mphunda & Mnjama 2022; Msosa, Chawinga & Chipeta 2023), the significant challenges in records management include lack of management support, insufficient skills, inadequate infrastructure, and absence of formal policies. Moreover, responsibilities are often assigned to unqualified individuals, compliance with legal frameworks is partial, and retrieving semi-current records is hampered by insufficient storage and equipment.

In Botswana (Manyeke & Joshua 2023), the organisations do not meet the required maturity level of records management, posing risks such as poor performance from lack of accountability, ineffective records management, low compliance levels, and record backlogs due to insufficient retention and disposition schedules. These risks arise from challenges including storage shortages, security issues, and inadequate staffing. In Lesotho (Thaanyane, Lefika & Khumalo 2025), records management staff face challenges due to the absence of a working definition and guidelines for new record creation, resulting in document misplacement and evidence loss. Insufficient filing space, a lack of confidentiality, and the absence of a central storage facility compound the issues. Staff training is inadequate, and there is no central registry to improve security. While the current manual filing system is functional, a transition to electronic filing is seen to enhance access, retrieval, and efficiency.

This situation is similarly observed in South Africa (Makgahlela & Nsibirwa 2021; Netshakhuma 2022), where municipalities encounter significant challenges in records management, such as staffing deficiencies, inadequate training, and insufficient storage infrastructure. Moreover, the National Archives of South Africa (NARSSA) does not provide guidance to universities on records and archives management for educational and research purposes, nor does it have specific guidelines or clear legal definitions regarding university records. Similarly, the study by Matlala and Ncube (2025) highlights that the South African public sector faces significant challenges in electronic records management, including insufficient skills, lack of management support, inadequate resources, and non-compliance with legislative frameworks. Despite the critical role of electronic records in service delivery, the current records management programme is inefficient and does not meet statutory requirements.

A recent study (Yidana & Akuna 2025) on records management in African higher education institutions identifies challenges such as inconsistent practices, poor infrastructure, inadequate staff training, and uneven electronic system implementation. It emphasises the need for integrated records management

strategies that involve clear policies, robust infrastructure, and training for personnel to improve efficiency and governance.

1.1.2 Situational analysis of records management in Tanzania

In Tanzania, records and archives management programmes encounter numerous problems, including leakage of government information to unauthorised individuals, inadequate facilities for storing records, low priority given to records and archives management, and a lack of standards for managing electronic records (Lyaruu 2021; Mogha, Dulle & Bernard 2025; Rutta & Ndenje-Sichalwe 2021). Other problems include a lack of comprehensive legislation to cover records management broadly, limited skills of the registry staff, a lack of a vital records plan, a lack of coordination mechanism for public and private records management, and lack of adherence to the established government ethical conduct among some public servants (United Republic of Tanzania 2011). In addition, recent studies reveal that Tanzania's public institutions do not have appropriate records management programmes to ensure effective records management procedures (Lyaruu 2021; Rutta & Ndenje-Sichalwe 2021). A comparable situation has been reported in land records management in district councils where poor storage and tracking practices impede service effectiveness (Mogha, Dulle & Bernard 2025). As a result, records management practices are mostly unsuccessful because the programmes lack an institutional legal and regulatory framework, guidance from the PO-RAMD, sufficient space for proper physical records management, installation of movable file racks, and expertise (Rutta & Ndenje-Sichalwe 2021). Thus, studies recommend that the institutions need to prioritise Records Management Units, establish legal frameworks, and improve their records management programme.

Poor records and archives management has led to delays in decision-making, a lack of integrity and accountability, the denial of citizens' rights, and difficulties accessing information (Lyaruu 2021; Mogha, Dulle & Bernard 2025; Rutta & Ndenje-Sichalwe 2021). Other consequences include a lack of a strategy for monitoring and evaluating the implementation of records management programmes, disclosures of government data to unauthorised individuals, and underutilisation of new technology. Moreover, the

private sector or individuals who produce vital records do not adhere to national values (United Republic of Tanzania 2011). The National Records and Archives Management Policy, which was approved in 2011, aimed to regulate the records and archives management system in all public offices, and was expected to address these challenges. The policy provides the public service and the public direction on how to manage records and archives (United Republic of Tanzania 2011).

For effective implementation of records and archives management programmes, the National Records and Archives Management Policy of 2011 has set an institutional framework, which identifies and defines the roles of various actors in the implementation of the policy in Tanzania. The actors in the process are as follows:

- a) President's Office, Public Service Management (PO-PSM): This actor's primary responsibility is to ensure that the policy remains clear and dynamic, that the policy's goals and objectives are met, and that financial resources are made available for improving basic infrastructures and services. Additionally, the office is tasked with coordinating various records and archives management efforts and fostering a culture of valuing and protecting records of potential historical value in the private sector and civil society. This actor oversees the administration of public records and archives through:
 - Ensuring that public offices adhere to standard procedures for maintaining archives and records.
 - Establishing and implementing procedures for the prompt destruction of public records that are not essential.
 - Establishing standards for the preservation of records and archives and advising the public sector on best practices; and
 - Establishing and implementing procedures for transferring long-term public records to national archives or other established archival repositories.
- b) Records and Archives Management Advisory Board: This Board advises the Minister in charge of records and archives regarding issues pertaining to the management of Tanzania's public archives and records.

- c) Public offices: They are accountable for ensuring that the policy, associated standards, and guidelines are observed. They are also responsible for developing skills of their staff in records and archives management and fostering an environment that emphasises records and archives management.
- d) Records Management Coordinators: In their respective offices, Records Management Coordinators will be responsible for ensuring that records management standards and procedures are followed. Additionally, they will be accountable for coordinating and communicating with the PO-PSM regarding all records and archives management-related issues.
- e) The Revolutionary Government of Zanzibar: In accordance with national and international standards and guidelines, this actor oversees the management of the Union Matters' public records and archives.
- f) Stakeholders: Researchers, educational institutions, individuals, and the public make up this group of actors. They are expected to help the government manage its archives and records. In addition, it is anticipated that these stakeholders will use archival collections in the promotion of written heritage, information, and knowledge (United Republic of Tanzania 2011).

Although the policy identifies and defines the roles of various actors in the implementation of records and archives management programmes, public offices are still reported to have not realised the expected outcomes for more than ten years since the National Records and Archives Management Policy was approved in 2011. As Lyaruu (2021) opines, high-quality records management programmes for public offices do not automatically result from the establishment of an infrastructure for records management. To ensure the creation and administration of complete and accurate public office records, governments should adopt, implement, and continuously monitor records management infrastructure. For adding knowledge towards addressing the shortfalls in records management, this study intended to explore the strategies for enhancing changes in the implementation of records management programmes, that can ensure that the “...flicker of light at the end of the dark tunnel...”, as clearly stated by Ngoepe (2016:338), is realised.

1.2 Statement of the problem

Changes in records management programmes are inevitable. The organisations aspiring for bringing changes are supposed to master the change management processes including planning for changes, defining and evaluating their characteristics, determining the potential outcomes, tracking their implementation, and delegating tasks to staff members whose work is impacted by those changes (Yandarbaeva, Kostoeva & Gayrbekova 2022). Thus, organisations are required to understand the motives or drivers that necessitate changes or improvements in records management practices, and to obtain top management support. Organisations need to document clearly the programme objectives, ensure the responsibilities and authorities are well defined, ensure there is allocation of adequate resources, and provide continuous staff training. Moreover, they need to place the records management programme strategically within the agency's organisational structure, as well as to ensure regular interval evaluations, that aim to monitor compliance of the implementation process to the defined programme objectives (Musembe 2016; National Archives and Records Administration n.d; Shonhe & Grand 2018).

However, many organisations struggle with the enhancement of changes in records management programmes because they are unaware of many of the important issues that cause such changes, as well as the processes and methods used to manage change, and the ways of improving organisational effectiveness (Kimutai 2017). Various countries experience challenges in implementing records and archives management programmes. In Indonesia (Istilah, Hasanah & Maslahah 2023; Janah & Mayesti 2020; Martino 2024), problems include insufficient guidelines, human resource shortages, inadequate infrastructure, and low public awareness, leading to poor safeguarding of vital records. Similar challenges are faced in Sri Lanka (Gunasekara & Marasinghe 2023), where organisations experience a lack of training, resources, and centralised systems. India (Nandeesha & Keshava 2025) struggles with missing records affecting legal accountability, and Lebanon (Zneit & Hejase 2025) reveals informal document management and a lack of qualified personnel. Nigeria (Ayanda, Oloniruha & Ogungbade 2020; Hamzat, Ayeni & Kutu 2024) and Ghana (Adusei & Mensah Senyah

2022) both encounter rudimentary records management lacking a comprehensive approach, leading to inefficiencies and confidentiality concerns. The Southern African region sees significant issues in Malawi (Mphunda & Mnjama 2022; Msosa, Chawinga & Chipeta 2023), Botswana (Manyeke & Joshua 2023), Lesotho (Thaanyane, Lefika & Khumalo 2025), and South Africa (Makgahlela & Nsibirwa 2021; Netshakhuma 2022), with inadequate skills, infrastructure, and compliance with frameworks.

In Tanzania, despite having a well-designed and articulated Records and Archives Management Policy since 2011, non-compliant behaviour on records management is frequent. Moreover, records management is never understood as a necessary part of institutions' operationalisation; institutions lack key performance indicators (KPIs) for activities; have limited funds for activities aimed at improving records management; and lack or have a shortage of skilled personnel for records management (Lyaruu 2021; Matto & Athumani 2018; Mogha, Dulle & Bernard 2025; Rutta & Ndenje-Sichalwe 2021). These weaknesses force organisations to fail to employ appropriate strategies for accommodating changes when implementing the records management programmes. Therefore, this study intended to develop strategies for accommodating changes in the implementation of records and archives management programmes in Tanzania. This study sheds light on how to devise suitable approaches for addressing challenges that have been compromising the effective implementation of records management programmes for many years.

1.3 Purpose and objectives of the study

The study intended to develop strategies for enhancing changes in the implementation of records and archives management programmes in Tanzania, focusing on addressing long-standing challenges that hinder effective implementation. Specifically, the study intended to:

- i. Determine the effects of the inputs (availability of resources and records management frameworks) in enhancing sustainable implementation of records management programmes.

- ii. Explore the effects of monitoring activities performed to transform inputs into outputs towards realising sustainable implementation of the records management programmes.
- iii. Explore the evaluation tactics employed by public organisations in realising the expected outputs and outcomes of the records management programmes.
- iv. Develop a framework on the strategies for enhancing changes in the implementation of records and archives management programmes.

1.4 Definition of terms and concepts

This section defines key terms employed in this study.

1.4.1 Archives

These are documentary materials created, received, used, and maintained by individuals, families, organisations, governments, or other public or private entities during their daily activities. They are preserved due to their enduring value as evidence of and information about activities and events (Millar 2017). The emphasis is on preserving a small segment of recorded information, communications, ideas, and opinions that hold value beyond their immediate context. This preserved content can benefit not only its creators or recipients but also others now and in the future. For archival value, this information must exist in a tangible format (physical, electronic, visual, audio, or written) serving as proof rather than just information (Millar 2017).

1.4.2 Change

This is about the alteration of the status quo (Kimutai 2017). Change is a component that one cannot be kept away from because of the entirety of its repercussions. As a result, people's experiences of change and perceptions of the outcome are greatly influenced by how these changes are managed and the approach taken (Odenyo & Kerongo 2014). Since the surroundings of public organisations have become more linked to uncertainty in recent years, changes anywhere in the system are

unpredictable, frequently chaotic, and sometimes deadly, with a ripple effect throughout the environment (Kamau, Munga & Baimwera 2017).

1.4.3 Change management

This refers to the process of making accurate predictions of changes, planning them, defining and analysing their characteristics, identifying and evaluating potential outcomes of changes, tracking their implementation, and delegating tasks to staff members whose work is impacted by those changes (Yandarbaeva, Kostoeva & Gayrbekova 2022). Change management refers to a broad way to alter or create an organisation's strategies, practices, or innovations. This is realised through various approaches including first, by planning, guiding, educating, and assisting individuals in putting organisational goals into action. The second is outlining methods to manage and bring about changes, as well as providing support to people who are reacting strongly to them. Third, allowing employees to modify the existing resources within the company. Fourth, allowing organisations to assess how a change will affect everyone. Fifth, the individuals adapting the company's operations to meet present and future needs. Sixth, workers' comprehension and reinforcement of the process of change (Siddiqi, Mirani, Nasim & Raza 2022).

The main goal of change management is to influence individuals, teams, organisations, and society to bring about a transition from the present to the desired future. The necessity for organisations to take advantage of current and future possibilities while also addressing threats leads to strategic change (Odenyo & Kerongo 2014).

1.4.4 Record

A record is any information that is created, received and kept by an organisation or individual as proof and an asset while fulfilling legal requirements or conducting business (ISO 15489-1 2016). Records serve to document individual events or aggregate work processes and must exhibit authenticity, reliability, integrity and usability to be deemed authoritative evidence of business activities. Records are crucial to the productive and effective running of an organisation. People and organisations depend

on them for all intents and purposes of the administration process since they perform basic roles in society by giving evidence and data around the exchanges that take place between them (Mohamed & Bunawan 2022).

1.4.5 Records management

Records management involves the effective and systematic control of the creation, receipt, maintenance, use, and disposal of records, including processes for capturing and preserving them (ISO 15489-1 2016). It encompasses all policies and requirements for records that enable an organisation to establish and maintain control over the flow of information and administrative processes. Records generation, records inventory, filing schedules, retention periods, records storage, and records disposal (records destruction or historic preservation) are all included in records management (University of Wisconsin 2022). Records management is described as the study of management that is crucial for the efficient and systematic control of records creation, receipt, maintenance, use, and disposal, as well as the procedures for obtaining and keeping records that serve as evidence of and information about business activities and transactions. Even if the records management process is easier to utilise, some firms continue to fall short of the records management criteria (Mohamed & Bunawan 2022).

For effective records management, records must be distinctly identifiable, arranged into series, and kept in offices using file layouts/plans that show how they were arranged. Records must be properly scheduled, according to the law, with their retention period and disposition clearly noted. Moreover, they must be disposed of consistently, methodically, legally, and in accordance with the appropriate stipulations (University of Wisconsin 2022).

1.4.6 Records management programme

Records management programme refers to “the activities, policies, and procedures within an organisation to implement records management” (SAA dictionary of archives terminology 2022, Sv ‘records management program’). This programme requires a defined set of policies and procedures that are regularly reviewed and updated to

regulate the entire lifecycle of an organisation's records, including management systems, processes, and policies (The Ohio State University 2025). An effective records management programme supports institutional operations by ensuring trustworthy data, enhancing efficiency, assisting in preserving institutional memory, promoting an audit culture, fostering trust and transparency, and meeting legal requirements (Mphunda & Mnjama 2022). It is hard to ensure records' accessibility, validity, and usability through time and between locations without diligent management and protection (Mphunda & Mnjama 2022).

1.5 Conceptual framework

A conceptual framework, as explained by Mugenda (2008), is accompanied by a graphic or visual representation of the major study variables and a succinct description of the phenomenon being studied. The conceptual framework of this study treated sustainable implementation as the independent variable and results (changes) of the records management programmes as dependent variables. This framework is adopted from the result chain concept as presented in the 'Basic Principles of Monitoring and Evaluation' document by the International Labour Organisation (2015:3).

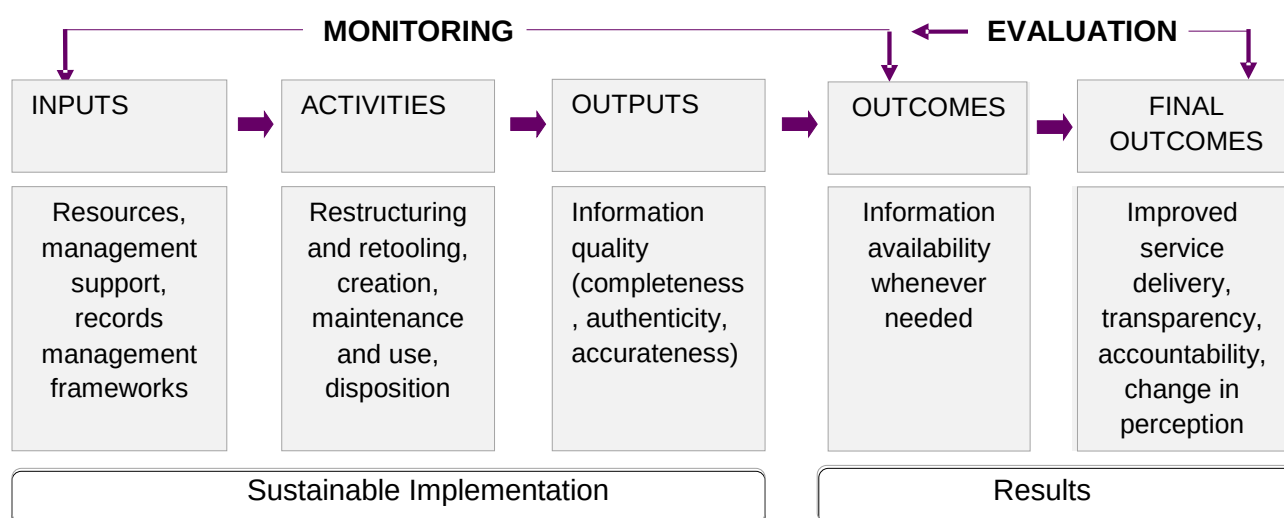


Figure 1.1: Result chain (Source: International Labour Organisation 2015:3)

According to the above conceptual framework (result chain), the sustainable implementation of records management programmes requires monitoring mechanisms

to be designed to continuously track the inputs, implementation of activities and outputs. The inputs (resources such as budgets, staff, top management support and records management frameworks including legislation and organisation arrangements, policies, schemes, guidelines and procedure manuals, retention schedules, file management plans, plans for disaster management, capacity building) are invested by the organisations in implementing the records management programmes. Monitoring should track the ways in which activities are implemented according to the planned timeframe (restructuring and retooling the registries, creation and capture of records, maintenance and use, security and custody, preservation, disposition, outreach programmes including raising awareness of the public). Moreover, there should be monitoring of the outputs which focus on tangible goods or services (information quality such as accuracy, concise representation, completeness, relevancy, comprehensiveness, believability, authenticity, ease of manipulation and value added) the records management programmes produce or deliver. If the monitoring system is effective, it is likely to lead to meaningful implementation of the records management programmes, hence, the expected outcomes (results or changes) can be realised.

The expected outcomes (changes) of the records and archives management programmes include immediate and final outcomes. The immediate outcomes include information availability whenever needed for decision-making, research and cultural purposes. The final outcomes involve improved protection of organisations and citizens' rights, improved service delivery, improved transparency and accountability in society, and a relatively permanent change in the perception towards the status of registries and records management activities. A performance evaluation should be done at regular intervals to judge the relationship between the inputs, outputs and the immediate outcome. The impact evaluation should be conducted to determine if the changes at the end of the programme are due to the programme intervention and the programme alone.

1.5.1 Theory of change

The theory of change is an in-depth illustration of the ways through which the anticipated change is likely to occur in a particular setting. It focuses especially on mapping out the "missing gap" between how the planned intervention functions and the way it contributes to achieving anticipated outcomes. Moreover, it is done through a clear definition of the long-term goals and identifying the conditions (outcomes) that need to be established for the goals to be achieved, as well as how they are connected to one another (Rad & Rad 2021). How an intervention will achieve its intended outcomes is described in a theory of change. A logical framework, also known as a causal/result chain, explains how a programme's sequence of inputs, activities, and outputs will achieve goals (International Labour Organisation 2015).

In implementing records management programmes, the theory of change becomes relevant. The theory explains how an intervention can deliver the planned results, by outlining how a programme's sequence of inputs, activities, and outputs will contribute to the achievement of desired outcomes/objectives (International Labour Organisation 2015; Rad & Rad 2021). The theory of change is used in this study because records management programmes need to be successful, and the success must be guided by good theories. Once the records management programmes are grounded in the theory of change, it will be easier to sustain, scale, and evaluate such programmes because the theory clearly defines the required steps, from its concepts, its intended outcomes to its resources required (Allen 2021).

In exploring the relationship of the variables, this study adopted an inductive approach, which is commonly used in qualitative research to explore; rigorously investigate and gain knowledge of social phenomena; discover the meanings people give to things, situations, events, or objects; or develop a comprehensive understanding of a particular social aspect (Leavy 2017). When there are few existing theories or explanations, inductive research is more valuable in constructing theories, while deductive research is more effective when there are numerous competing theories explaining the same phenomenon and researchers are interested in learning which theory is most accurate

and under what conditions (Bhattacharjee 2012). An inductive technique of tying facts and theory together is often linked with a qualitative research approach, just like the deductive strategy relates to a quantitative research approach (Bryman 2012).

1.6 Originality of the study

According to Lyaruu (2021), when a study contributes to literature and academic study in the field, improves practices, and improves policy, it becomes essential. According to Phillips and Pugh (2005), a study's originality is determined when significant new knowledge is presented for the first time in writing, continuing a work that was originally created, or demonstrating originality by putting another person's idea to the test. Leavy (2017) adds that the topic's value is determined by many factors, such as who will gain advantages from the new information on a topic, whether it will fulfil a known social need, and its potential to encourage new knowledge and social change.

This study intended to explore the strategies for enhancing changes in the implementation of records and archives management programmes and develop a framework for the strategies for enhancing changes in the implementation of records and archives management programmes in Tanzania. Although there are many studies on the implementation of records management programmes, empirical studies on enhancing changes, which result in the realisation of the intended outcomes of the records management programmes, remain largely limited. This study did not use the life cycle or records continuum theory, which made it different from most studies dealing with similar investigations. This study is unique in that it used a result chain framework from the International Labour Organisation's 2015 'Basic Principles of Monitoring and Evaluation' document to analyse sustainable implementation and records management programme changes in Tanzania. The records management models, such as records lifecycle, continuum, and ARMA International's maturity models, outline processes and progress, but do not include strategies for enhancing transformational changes.

Previous studies on related areas include Lyaruu (2021) who focused on 'Integrating records management into the extractive industries transparency initiative in Tanzania,'

and Keakopa (2013) who focused on the 'Implementation of a records management strategy at the Botswana Unified Revenue Service'. Other works include Musembe (2016) on 'Strategies for improvement of records management in enhancing quality of services in institutions of higher learning: focusing on Moi University, Kenya' and Mohamed and Bunawan (2022) on 'Effective records management programme in organisation'. Moreover, there is Ngoepe and Van der Walt (2010) on 'A framework for a records management programme: lessons from the Department of Cooperative Governance and Traditional Affairs in South Africa'. Other studies include Shonhe and Grand (2018) on 'A service delivery improvement strategy for a records management programme', and Kamatula (2018) on 'A framework for e-records in support of e-government implementation in the Tanzania public service'. There are studies by Rutta and Ndenje-Sichalwe (2021) on 'The state of records management practices in public offices: a case of Kinondoni Municipal Council in Dar es Salaam, Tanzania', as well as Ndenje-Sichalwe, Ngulube and Stilwell (2011) on 'Managing records as a strategic resource in the government ministries of Tanzania'; just to mention a few studies.

In various countries, numerous challenges in records management are evident. Indonesia (Istilah, Hasanah & Maslahah 2023; Janah & Mayesti 2020; Martino 2024) faces issues like insufficient guidelines and low public awareness. Sri Lanka (Gunasekara & Marasinghe 2023) suffers from lack of training and resources, while Lebanon (Zneit & Hejase 2025) deals with informal document management and unqualified personnel. Nigeria (Ayanda, Oloniruha & Ogungbade 2020; Hamzat, Ayeni & Kutu 2024) and Ghana (Adusei & Mensah Senyah 2022) both have rudimentary records management systems, posing confidentiality risks. In Southern Africa, countries such as Malawi (Mphunda & Mnjama 2022; Msosa, Chawinga & Chipeta 2023), Botswana (Manyeke & Joshua 2023), Lesotho (Thaanyane, Lefika & Khumalo 2025) and South Africa (Makgahlela & Nsibirwa 2021; Netshakhuma 2022) struggle with inadequate skills, infrastructure, and compliance issues.

In Tanzania, prior records management studies that were conducted include a study by Rutta and Ndenje-Sichalwe (2021) which examined the current state of the records management programme and identified the problems faced in records management at

Kinondoni Municipal Council (KMC) in Dar es Salaam, Tanzania. The study's major findings demonstrate that KMC did not have an appropriate records management programme to guarantee effective records management procedures. Thus, the records management practices are ineffective because there is no specific regulatory framework for the KMC environment and lacks guidance from the PO-RAMD, security measures and expertise. The study recommends that KMC prioritise the Records Management Unit, establish legal frameworks, and improve its records management programme.

In another study, Lyaruu (2021) investigated how records management could be incorporated into the extractive industries transparency initiative (TEITI) and provided a framework for doing so. According to the study, records management was not regarded as a necessary component of TEITI, and the institutions that took part in TEITI neither adopted or implemented the infrastructure, or develop their own internal policies, procedures, or guidelines for managing records. That is, the current records management processes are implemented independently of transparency and accountability requirements and are not compatible with the nationwide infrastructure for archives and records management. As per the study, the institutions participating in TEITI should adopt the nation-wide records management infrastructure. The study proposed that the fundamental causes that prevent the incorporation of records management into the organisational business process are subject to further studies. Based on this proposal, it was essential to conduct the current study which aimed at developing strategies for enhancing changes in the implementation of records management programmes.

Empirical studies analysed above highlight many issues that the country faces regarding records and archives management practises. Lyaruu (2021) revealed that even though the infrastructure for managing archives and records in Tanzania is well-established, the institutions neither adopted nor developed their own internal guidelines, policies, or procedures for managing records; hence, implementing the records management processes in isolation.

The current study is one of its kind because it went an extra mile by developing a framework of strategies for enhancing changes in the implementation of records management programmes. It focused on how records management processes need to be implemented in a unified whole to achieve the expected results. The study fills the existing gaps in literature on strategies for implementing records management programmes. In addition, it is anticipated that the study's proposed framework will provide instructions on how to integrate the implementation processes in a manner that can eventually lead to the realisation of the expected outcomes of the records management. Moreover, the study contributes to scholarly debates on the appropriate strategies for realising the outcomes of the initiatives that are frequently being taken by various organisations to improve records management practices, especially in Tanzania. The framework is expected to guide the change processes in records management programmes from their design, implementation, to the results stage. Thus, it is likely to guide stakeholders and practitioners in devising suitable strategies to influence changes in records management programmes.

1.7 Significance of the study

This study is of foremost importance to implementers of records management programmes in Tanzania and other countries with similar challenges as it highlights strategies for enhancing changes in the implementation of records and archives management programmes. The requirements of this study stem from the National Records and Archives Management Policy of 2011, which aims to provide records and archives management services that are dependable, efficient, and effective (United Republic of Tanzania 2011). The policy has established good approaches in resolving policy issues; however, the situation in many public organisations has not improved significantly, as non-compliance with records management regulations is still reported annually by the Public Procurement Regulatory Authority (PPRA) (Matto & Athumani 2018).

1.8 Assumptions of the study

This study assumes that existing records management models, such as records lifecycle, continuum, and ARMA International's maturity models, do not adequately address strategies for improving change in the implementation of records and archives management programmes. The models describe processes and progress, but they do not include strategies for accelerating transformational change. Despite numerous studies on implementation, empirical research specifically focused on enhancing changes remains scarce. The study proposes using the result chain framework from the International Labour Organisation (2015) to develop a framework for facilitating implementation changes in Tanzania. It diverges from conventional lifecycle and continuum theories, asserting that the result chain model is critical to achieving successful outcomes, as it clearly outlines the necessary sequence of inputs, activities, and outputs for programme success. The study employs the result chain model because the success of records management programmes must be guided by good theories. By grounding these programmes in this model, it becomes simpler to sustain, scale, and evaluate them, as the model delineates necessary steps, concepts, intended outcomes, and required resources (Allen 2021).

1.9 Scope and delimitations of the study

This study was confined to strategies for enhancing changes in the implementation of records and archives management programmes in the selected public organisations in Tanzania thus narrowing the coverage of many aspects of records management. The study covered only institutions and actors who are responsible with the design and implementations of records management programmes. In this regard, the study focused on one ministry (Ministry of Finance, one parastatal and semi-autonomous agency (Public Service Social Security Fund), three Local Government Authorities (Dodoma City Council, Tabora Municipal Council, Manyoni District Council), and the PO-RAMD.

1.10 Research methodology

Under this section, the researcher highlighted the research paradigm, research approach, research design, population, sampling procedures, data collection instruments, data analysis, data quality and ethical considerations. This study adopted an interpretive paradigm as it allows accessing comprehensive information about feelings and opinions of the respondents, with the assumption that the reality of the implementation of records and archives management programmes is not particular or objective, it is moulded by the experiences of various actors involved in the implementation processes and their social settings. This is an exploratory study which was based on qualitative research approach to conduct an enquiry on the strategies for enhancing changes in the implementation of records and archives management programmes. Exploratory research is suitable for learning more about a topic that is new or relatively understudied to generate novel insights.

This study employed an in-depth case study of six (6) selected public organisations in Tanzania, with the mandate of implementing records management programmes. In this investigation, the purposive (deliberate) sampling technique was employed. The researcher selected participants based on expertise and prior exposure to the issue. Purposive sampling was therefore used to select participants for interviews and focus group discussions for employees with positions and responsibilities of implementing records management programmes. Data collection stopped when it reached the saturation point, where the researcher repeatedly collected similar information from participants. Interviews, documentary review and focus group discussion were used to collect qualitative data, which were analysed using thematic analysis. Details of research methodology and ethical considerations for this study are discussed in Chapter Three.

1.11 Thesis outline

This study is divided into six chapters; each chapter is described in the subsequent sections:

Chapter one is an introduction to the study, provides a background of the study and highlights the problem statement, purpose and objectives of the study, conceptual framework, originality and contribution of the study, scope and delimitation of the study, definition of key terms, and the proposed methodology for participating in the research process.

Chapter two is on literature review and conceptual framework, providing a comprehensive coverage of the theoretical and empirical literature review as well as discussion of the study's conceptual framework.

Chapter three is in research methodology and describes the study's methodology. The research design, population and sampling, data collection, data quality and ethical considerations are all covered in this chapter.

Chapter four comprises a presentation of the findings of the study, which were collected through focus groups, in-depth interviews, and document analysis, based on the research objectives.

Chapter five is on interpretation and discussion of the findings from chapter four, highlighting the influence of inputs on the sustainable implementation of records management programmes, the effects of monitoring activities, and evaluation strategies employed by public organisations to attain desired outputs and outcomes.

Chapter six comprises a summary, some conclusions, recommendations and a framework on the strategies for enhancing changes in the implementation of records and archives management programmes.

1.11 Summary

Chapter one presents the introduction and background of the study focusing on strategies for improving the implementation of records and archives management programmes. The chapter outlines essential components for successful implementation, including drivers for change in records management practices, top management

support, clear programme objectives, adequate resource allocation, on-going staff training, integration within the agency's organisational structure, and regular evaluations to ensure compliance. Additionally, it includes the statement of the problem, purpose and objectives of the study, conceptual framework, significance of the study, originality of the study, and scope and delimitations of the study. The chapter discussed the objectives of the study, the strategies for enhancing changes in implementing any designated programme, including records and archives management programme. The next chapter presents literature review on the strategies for implementing records management programmes.

CHAPTER TWO

LITERATURE REVIEW AND CONCEPTUAL FRAMEWORK

2.1 Introduction

Literature review portrays a systematic way of investigating and blending previous research works to help in optimising the research questions through the discovery of knowledge gaps as well as assisting the motivation towards innovations in research while also deepening one's comprehension of a subject (Alsalamy 2022). Any research work requires a significant, novel, and scientific contribution to the field of research, addressing an identified research gap. This involves recognising shortcomings in existing evidence to effectively formulate relevant research problems and questions (Baako, Alhassan & Gidisu 2022). Research in social sciences comprises several stages, with the literature review serving as a vital component that connects current research to prior studies within related fields. Its primary aim is to fill recognised knowledge gaps, classified as conceptual, theoretical, methodological, population, and empirical gaps in research conclusions (Musa, Abdullahi, Muhammad & Tarasa 2025). This chapter provides an overview of records and archives management programmes, detailing required inputs, implementation activities, evaluation and monitoring tactics, change management theories, a conceptual framework for the study, and strategies to enhance changes in records and archives management programmes.

2.2 Overview of records and archives management programmes

Records management forms one of the crucial functions of governments necessitating each nation to enact laws that demand efficient records management (Matto & Athumani 2018). History has shown that organisations across the globe have found themselves on ad hoc records management (Bowker & Villamizar 2017). Indisputably, records are essential to upholding accountability, business efficiency, and the rule of law as they offer accurate and trustworthy proof of decisions and actions (Ifenaike & Olatokun 2020; Mintah *et al* 2022; Mohamed & Bunawan 2022). Almost every

organisation relies heavily on records management as a supporting function (Lyaruu 2021).

Records management programmes aim at changing the unpleasant situations; the key policy question during and after their implementations is whether the planned results (outcomes) are effectively achieved (International Labour Organisation 2015). However, studies indicate that policymakers and Programme Managers invest more energy in inputs such as human and financial resources while investing very little in seeing whether the programme is achieving the intended outcomes (International Labour Organisation 2015). The organisations' top management has little interest in observing (monitoring) how organisational changes affect the structure and culture of organisations (Cai 2023; Errida & Lotfi 2021; Leso, Cortimiglia & Ghezzi 2023). Records management programmes need to have safeguards to guarantee that data are accurate and shielded from unintentional or illegal modification (Mphunda & Mnjama 2022).

2.2.1 Reasons for establishing a records management programme

Organisations create records management programmes to help users keep track of important information (Mphunda & Mnjama 2022; Saffady 2021; Shonhe & Grand 2018). A good records management programme is important in an organisation to ensure that records are always found whenever they are needed. A records management programme needs to ensure that users can find and use records even as technology changes; otherwise, users may not have quick access to crucial information to make informed decisions or provide services (Mphunda & Mnjama 2022).

Records management programmes involve the management of records resources throughout their lifecycle, including processes such as acquisition, creation, transfer, storage, use, curation, and disposition (Khun 2024). Organisations implement records management programmes to regulate record creation and disposal, reducing unnecessary copies and lowering operational costs (Shonhe & Grand 2018). These programmes enhance productivity by improving information access, integrate new technologies after assessing current systems, and ensure legal compliance to avoid penalties. They also mitigate lawsuit risks through systematic records appraisal, secure

vital documents from loss, and support managerial decision-making by providing timely access to information. Additionally, they preserve corporate memory for future use and foster professionalism, enhancing workplace morale and public perception (Ifenaike & Olatokun 2020; Lyaruu 2021; Mintah *et al* 2022; Mohamed & Bunawan 2022; Mphunda & Mnjama 2022).

2.2.2 Maturity of the records management programmes

The implementation of an effective records management programme is crucial for the smooth operation of institutions as it facilitates the fulfilment of mandates, boosts efficiency and competitiveness, aids the preservation of institutional memory, fosters an audit culture, and ensures legal compliance (Ifenaike & Olatokun 2020; Mintah *et al* 2022; Mphunda & Mnjama 2022). The progress in the implementation of records management programmes needs to be determined to ascertain the maturity levels basing on eight (8) accepted records management principles, which are accountability, transparency, integrity, protection, compliance, availability, retention, and disposition (ARMA International 2013). The maturity of information or records governance is determined using five progressive levels: sub-standard (level 1), in development (level 2), essential (level 3), proactive (level 4), and transformational (level 5). Although the principles offer broad guidance for excellent recordkeeping practices, they do not include specifics on how to put them into practice or to put more information on roles, rules, processes, technology, or other supporting elements (Proença, Vieira & Borbinha 2016).

This study discussed the levels of maturity for each of the generally accepted records principles (GARP) with reference to the empirical findings of four studies conducted in three countries – Indonesia, Malawi and Tanzania. The four studies include Novian and Isa (2022) on ‘Maturity analysis of the information governance model matrix in the Correspondence and Archives Department of the Batam Indonesia Free-Zone Authority’, Mphunda and Mnjama (2022) on ‘Application of ARMA information governance maturity model for the assessment of records management programme at Chancellor College, University of Malawi’ (UNIMA), Rutta and Ndenje-Sichalwe (2021) on ‘the state of records management practices in public offices: a case of Kinondoni

Municipal Council (KMC) in Dar es Salaam, Tanzania', and Lyaruu (2021) on 'Integrating records management into the extractive industries Transparency Initiative in Tanzania (TEITI)'. The eight (8) principles as presented in the ARMA International' Information Maturity Model of 2013 are reflected hereunder.

2.2.2.1 Accountability

An organisation needs to have a defined internal policy on roles and duties including sharing information with other parties. Records management needs to be supervised by a member of senior management, who should also assign records management duties to the right people or information custodians (ARMA International 2013). Studies elsewhere indicate that records management is an area in general administration, which is often neglected. Records kept without adhering to any set arrangement or control may also result in the loss of evidence, leading to an excessive reliance on personal memory and failure of an organisation to account for its actions (Mphunda & Mnjama 2022).

According to ARMA International (2013), the level of maturity on accountability in the records management programmes can be determined using the following levels of indicators:

Level 1: Senior management has not appointed an Information Custodian, and records management is viewed as an administrative duty for all staff members; thus, information is handled without formal procedures.

Level 2: The organisation has appointed a junior Information Custodian, but there is a lack of recognition, and the Custodian has little influence on information handling, despite the company's goal to improve records management.

Level 3: The organisation's Information Custodian manages all information, integrating records management strategies into all operations through documented procedures for information processing and management.

Level 4: The Information Custodian is responsible for creating and managing the records management strategy, utilising documented processes and is part of the management team, supported by senior management.

Level 5: Information custodianship is managed by an organisation's senior management personnel, who oversee records management plans, with performance indicators including records management goals, which are regularly evaluated.

The levels of maturity on accountability in various organisations tend to vary depending on the status accorded to records management by the top management. A study by Novian and Isa (2022) at the Batam Indonesia Free-Zone Authority (BIFZA) revealed that accountability is at level 4, where Heads of Department and Sub-Departments keep a close eye on the production, verification, sharing, and preservation of information within their jurisdiction. A study by Mphunda and Mnjama (2022) at Chancellor College, University of Malawi' (UNIMA), revealed that the Registrar is given the duty of keeping records by the UNIMA Act, 1974, under Statute VIII, demonstrating that the Act takes records management seriously by assigning the task to a senior university official. Despite the existence of legal frameworks, there is a limited level of compliance, and no one was designated to oversee the storage space.

In Tanzania, a study by Rutta and Ndenje-Sichalwe (2021) at Kinondoni Municipal Council (KMC) in Dar es Salaam revealed the lack of policies, rules, guidelines, and processes. Worse still, the top management was uninformed of the significance of records management in promoting accountability and providing high-quality services. As a result of the lack of proactive support to the Records Management Unit by the top management, personnel at the Registry Office suffered from a lack of motivation, also because the Registry Office was not given the high priority it deserved. This was evident in the policies, regulations, guidelines, and procedures, which were developed and implemented, as well as the lack of training and the low morale among records personnel.

A study by Lyaruu (2021) on the extractive industries transparency initiative (TEITI) revealed that the TEITI Committee did not view records management as a function, which is necessary for the initiative, even though records management is crucial for fostering transparency and accountability. As a result, no plans have been formulated for its integration and implementation. Records management is assumed to be a common activity, which every organisation would naturally have; therefore, it is not included as one of the essential components of the initiatives that can have consequences for the creation and maintenance of precise, comprehensive, and high-quality data and documentation for advancing transparency and accountability. The findings show that the investigated institutions did not include records management in their budget submissions, nor did they have yearly work plans.

2.2.2.2 Transparency

As observed by ARMA International (2013), organisational procedures and actions need to be clearly defined, openly recorded, and verified. Employees and authorised third parties must have access to the documents. According to ARMA International (2013), the level of maturity on transparency in the records management programmes can be determined using the following levels of indicators:

Level 1: The organisation lacks established and recorded procedures for handling information consistently.

Level 2: The organisation focuses on establishing and recording procedures for compliance with legislation or essential tasks, indicating that not all business processes have comprehensive definitions and documentation.

Level 3: Corporate procedures are documented and easily accessible, with training for workers to understand their value. The organisation aims to accurately describe and record its operations.

Level 4: The organisation's culture is significantly influenced by clear and documented business procedures, which are regularly reviewed and updated by most staff members.

Level 5: The organisation has established a regular process for regularly assessing and updating its original standardisation goals, ensuring effective business process definition and recording.

The levels of maturity on transparency in various organisations tend to vary, depending on the energies dedicated to records management by the top management. A study by Novian and Isa (2022) at the Batam Indonesia Free-Zone Authority (BIFZA) revealed that transparency is at level 3 where the Directorate of Policy Harmonisation and the Information Documentation Management Office (IDMO) are informed about information governance. A study by Mphunda and Mnjama (2022) at the Chancellor College, University of Malawi' (UNIMA) revealed that the institution has not implemented rules and procedures to direct staff and guarantee that the programme is auditable.

In Tanzania, a study by Rutta and Ndenje-Sichalwe (2021) at Kinondoni Municipal Council (KMC) revealed that the KMC lacked essential information management tools and readiness; and records practitioners were generally unaware of the guidelines and policies formulated by the government to establish and guarantee efficient records management procedures in public organisations. A study by Lyaruu (2021) on the extractive industries transparency initiative (TEITI) revealed of there being little proof of how the framework has ensured the production and upkeep of high-quality records to promote accountability and transparency. Although some records management practices were in place, these were disorganised, lacked the framework of policies, processes, and standards, and were carried out with little regard for accountability and transparency.

2.2.2.3 Integrity

According to ARMA International (2013), there is a need for appropriate procedures to ensure reliability, consistency, clarity, and comprehension of the institutional information, which is used or maintained. As proposed by ARMA International (2013), the level of maturity of integrity in the records management programmes can be determined using the following levels of indicators:

Level 1: The organisation struggles to validate metadata on content, creation date, and provenance due to a lack of procedures or systematic audits for information accuracy and consistency.

Level 2: The organisation maintains metadata for data validity and reliability but lacks an official procedure for storing or auditing this information.

Level 3: The organisation employs a systematic process to ensure data authenticity and reliability, adhering to specific information integrity plans and policies, and recording metadata for policy compliance.

Level 4: The organisation utilises metadata requirements for all systems, applications, and documents to ensure the legitimacy and trustworthiness of its records and information.

Level 5: The organisation maintains a systematic procedure for implementing new information systems, gathering metadata, and ensuring authenticity, regularly reviewing and updating its integrity goals to ensure satisfaction.

The levels of maturity in integrity in various organisations tend to vary depending on the efforts devoted to records management by the top management. A study by Novian and Isa (2022) at the Batam Indonesia Free-Zone Authority (BIFZA) revealed that integrity is at level 4 where BIFZA cooperates with other government agencies and the National Archives of the Republic of Indonesia (ANRI). A study by Mphunda and Mnjama (2022) at the Chancellor College, University of Malawi (UNIMA), revealed that the institution has not implemented rules and procedures to ensure reliability, consistency, clarity, and comprehension of the institutional information.

In Tanzania, a study by Rutta and Ndenje-Sichalwe (2021) at Kinondoni Municipal Council (KMC) revealed that records practitioners lacked the knowledge and skills necessary to create a framework and devise policies and processes, and records management was not emphasised. Records staff seemed to be following national guidelines and some of the staff were even unaware of such guidelines. The lack of these legal instruments had an impact on records management procedures since

professionals handled records using their own experience, which offered no protection for newcomers to the organisation.

A study by Lyaruu (2021) on the extractive industries transparency initiative (TEITI) revealed that TEITI experiences incompleteness and inaccuracy of the information, which is made available; insufficient resources and competent workers in some institutions hinder the effective records management adoption, application, and oversight for administrative and mining-specific operations, or if they had, they were insufficient to achieve the desired effect, even though all government entities had rules on the entrance requirements for records management professionals. Moreover, the study findings revealed that although several institutions employ competent personnel, their inability to get on-the-job training to improve their knowledge and skills makes them experience challenges in managing their records, using the currently available sector-specific systems. As a result, workers' experience, individual initiative, and verbal directives from superiors are all important factors in records management operations.

2.2.2.4 Protection

Personal and confidential data must be shielded against unauthorised access, alteration, or destruction. According to ARMA International (2013), the level of maturity of protection in the records management programmes can be determined using the following levels of indicators:

Level 1: The organisation lacks an information security policy, without any location for storage and retrieval, and access to information is determined by its creator.

Level 2: The organisation's information security policy is not comprehensive, with centralised access controls and individual content owners assigning access to certain types of information.

Level 3: The organisation has implemented an information security policy, enforced central access restrictions, provided data protection training, and undertook audits for certain procedures or information assets.

Level 4: The organisation has robust information security systems, provides structured training, and conducts regular audits to ensure compliance and protection.

Level 5: The top priority for the management team is ensuring information security, regularly reviewing and enhancing audited outcomes to prevent loss or inappropriate disclosure.

The levels of maturity in protection tend to vary in various organisations depending on the investment made by the organisations in records management. A study by Novian and Isa (2022) at the Batam Indonesia Free-Zone Authority (BIFZA) revealed that protection is at level 3 where it is proven by the existence of the regulation which guides the classification and protection of government documents. A study by Mphunda and Mnjama (2022) at the Chancellor College, University of Malawi (UNIMA), revealed that private and confidential documents are stored in steel cabinets, which can be locked, though the keys of the majority of these drawers were missing, which meant that they were unsecure putting the protection of personal data at risk; unfiled records are stored in non-archival boxes, whereas records, which are yet to be filed are packed together and preserved in regular boxes; and submissions are filed on a monthly basis.

In Tanzania, a study by Rutta and Ndenje-Sichalwe (2021) at Kinondoni Municipal Council (KMC) revealed that records security and confidentiality were not observed when handling records at the KMC. Because there were insufficient storage facilities to preserve and safeguard documents from catastrophe and unauthorised access, a lack of resources had an impact on record security. A study by Lyaruu (2021) on the extractive industries transparency initiative (TEITI) revealed that the Mining Commission's Licencing Registry oversees information security by tracking door keys, making sure officers who receive files sign the acknowledgement note for the files they receive, and prohibiting taking pictures of the contents of files; the guidelines for information security were available but did not include instructions for employees or external information seekers; and the organisations under TEITI did not create internal rules, standards, or processes neither did they implement the nation-wide records management framework.

2.2.2.5 Compliance

Appropriate information governance encourages and supports adherence to binding regulations, applicable laws, and corporate policies. According to ARMA International (2013), the level of maturity of compliance in the records management programmes can be determined using the following levels of indicators:

Level 1: The organisation may not always adhere to records management rules, potentially causing negative effects due to a lack of official procedures for ensuring compliance.

Level 2: The organisation is adhering to internal policies, laws, and regulations, but lacks official controls or accountability to ensure compliance.

Level 3: The organisation is enhancing its compliance methods by implementing relevant laws, regulations, and internal records management procedures, ensuring compliance and reducing the risk of negative effects.

Level 4: The organisation ensures compliance with records management rules through metadata connection, standardised employee training, regular audits, and corrective action, minimising the risk of negative effects from inadequate records management.

Level 5: The management team prioritises compliance and records management, ensuring efficient procedures and regular review of compliance goals to ensure the business achieves its original objectives.

Once compliance is assessed against the above indicators, the levels of maturity in various organisations tend to vary too. A study by Novian and Isa (2022) at the Batam Indonesia Free-Zone Authority (BIFZA) revealed that compliance is at level 4, where observance of regulations while using information management is evident. A study by Mphunda and Mnjama (2022) at the Chancellor College, University of Malawi (UNIMA), revealed that the Chancellor College complied with this principle to some extent, even if it did not fully follow the laws under which it works.

In Tanzania, a study by Rutta and Ndenje-Sichalwe (2021) at Kinondoni Municipal Council (KMC) revealed that KMC did not comply with the binding regulations, applicable laws, and corporate policies, as Action Officers were using documents without adhering to standards and processes that were noticeably lacking. Because Action Officers lacked the necessary skills and expertise, records were destroyed, confidentiality was violated, and files were lost. Additionally, the PO-RAMD, Tanzania's only independent agency responsible for regulating records management activities, had never visited the organisation to offer advice on records management. A study by Lyaruu (2021) on the extractive industries transparency initiative (TEITI) revealed that even though Tanzania has a well-developed infrastructure for managing records and archives, the results showed that governmental agencies, particularly those engaged in TEITI, face significant obstacles in adopting and making the framework available.

2.2.2.6 Availability

The right individuals need to have access to information at the right time. According to ARMA International (2013), the level of maturity of availability in the records management programmes can be determined using the following levels of indicators:

Level 1: The organisation struggles to locate accurate information due to unclear access and the lack of central storage, making it difficult to search and respond to requests due to unclear location.

Level 2: The organisation has guidelines for information storage and versions, but inconsistent implementation and monitoring of these rules hinder effective response to information demands.

Level 3: The organisation's policies detail information location, security measures, accessibility, retrieval, and filing procedures, while setting clear objectives and initiatives to ensure easy access.

Level 4: The organisation has clear availability guidelines, inventory of systems, and information, making it readily available to employees and third parties through automated processes and controls.

Level 5: The management team enhances information availability through regular evaluation and adjustment of targets, ensuring workers receive necessary training and that initial availability goals are met.

The assessment on the levels of maturity on availability in various organisations is likely to vary depending on the environment of records management in each organisation. A study by Novian and Isa (2022) at the Batam Indonesia Free-Zone Authority (BIFZA) revealed that availability is at level 2 where the work units still must write to request the documents, sometimes without following any proper procedures, and record digitisation is still in its early stages. A study by Mphunda and Mnjama (2022) at the Chancellor College, University of Malawi (UNIMA) revealed that the inability to create records transfer lists and disorganised storage of data in Chancellor College's records storage areas made retrieving semi-current and non-current records challenging.

In Tanzania, a study by Rutta and Ndenje-Sichalwe (2021) at Kinondoni Municipal Council (KMC) revealed that the KMC's file movement control system, despite the use of various tools, was ineffective. In other words, there was an issue with the KMC's retrieval system because some files could only be retrieved after two hours, and occasionally records personnel had to spend the entire day tracking down the files. A study by Lyaruu (2021) on the extractive industries transparency initiative (TEITI) revealed that TEITI lacks an organisational structure to facilitate the accessibility of high-quality data; records management procedures are often disorganised and lack departmental and intra-unit cooperation both inside and outside the initiative's participating institutions; there are information discrepancies on comparable situations handled by different institutions because various organisations use different methodologies, systems, and procedures; while getting information from electronic databases was relatively easy, obtaining information in physical format proved more difficult; the mining corporations' tardiness in responding to the government's note requesting approval to make mining contracts publicly accessible hampered the present attempts to make the material accessible; certain businesses' unwillingness to provide information needed for reconciliation reports; as well as delays in providing the information timely when necessary since the registries are not user-friendly.

2.2.2.7 Retention

Given its operational, financial, legal, regulatory, and historical obligations, an organisation must preserve its records and information for the proper amount of time. According to ARMA International (2013), the level of maturity on retention in the records management programmes can be determined using the following levels of indicators:

Level 1: The organisation lacks a record retention policy, making employees either save or discard information based on personal needs.

Level 2: The organisation has a records retention policy, but employees often do not adhere to it, despite the development of specific data retention schedules.

Level 3: The organisation maintains records retention schedules, centralised controls, and a consistent policy implementation among employees, ensuring they understand their responsibilities and set retention targets.

Level 4: The business prioritises records retention through formalised employee training, regular audits, and regular review of retention schedules and rules.

Level 5: The management team prioritises record retention, evaluating and adjusting retention targets regularly, ensuring all business information is subject to holistic approach, including official records.

The levels of maturity on retention are subject to the environment of records management in a particular organisation. A study by Novian and Isa (2022) at the Batam Indonesia Free-Zone Authority (BIFZA) revealed that retention is at level 3 where there is compliance with legal requirements and standards of procedures specified in the rules. A study by Mphunda and Mnjama (2022) at the Chancellor College, University of Malawi (UNIMA) revealed that there were folders in boxes and on top of file cabinets, indicating that there are issues with managing semi-active and inactive information; every records storage location was filled, indicating that there was not enough room for semi-current and non-current records.

In Tanzania, a study by Rutta and Ndenje-Sichalwe (2021) at Kinondoni Municipal Council (KMC) revealed that inadequate storage facilities were causing data deterioration; KMC did not have a retention and disposal timetable to carry out the evaluation and disposal of public documents, hence, the unlawful disposal of records was influenced by this absence of retention and disposition schedules. Consequently, since all record types were combined, it was challenging to distinguish between active, semi-active, and inactive records.

A study by Lyaruu (2021) on the extractive industries transparency initiative (TEITI) revealed that schedules for keeping and destroying records were absent from institutions taking part in TEITI; the TEITI Committee and the Secretariat lacked a preservation policy for reports and data on mining firms, which were maintained on the website, as well as a procedure for replacing updated material; the Mining Commission's Registry of Licences and the Regional Mines Office both lacked guidelines for retiring mining companies', individual miners', and industry-wide records. As a result, the registries are forced to retain out-dated documents for an extended period, which obstructs the records rooms.

2.2.2.8 Disposition

Records and information that are no longer needed for keeping by relevant laws and organisation's rules are disposed of securely and appropriately by the organisation. According to ARMA International (2013), the level of maturity on disposition in the records management programmes can be determined using the following levels of indicators:

Level 1: The organisation lacks documented procedures for document transfer or disposal, with varying levels of implementation within the organisation for suspending disposal in case of inquiries or legal actions.

Level 2: The development of initial disposal guidelines emphasises the importance of consistently suspending disposition, when necessary, but enforcement and auditing of disposition may not be feasible.

Level 3: The organisation has formal processes for information and document transfer and disposal, with clear objectives for disposal, though these may not be uniformly used throughout the organisation.

Level 4: The organisation follows clear disposal processes, adhering to the same method for suspending disposal and disposing of media records and information in accordance with retention policies.

Level 5: The disposal process involves records and data from all media, applications, data warehouses, and repositories, aided by technology, and is regularly assessed and enhanced to reach original disposal targets.

The levels of maturity on disposition are likely to vary from one organisation to another subject to the efforts and status accorded to records management in a particular organisation. A study by Novian and Isa (2022) at the Batam Indonesia Free-Zone Authority (BIFZA) revealed that disposition is at level 4 where the sub-department of archives and libraries oversees carrying out the disposal process accordingly to avoid mistakes in the future. A study by Mphunda and Mnjama (2022) at the Chancellor College, University of Malawi (UNIMA), revealed that the institution had not addressed the concept of disposal at all, as seen by the vast amounts of unprocessed documents kept in its records storage spaces.

In Tanzania, a study by Rutta and Ndenje-Sichalwe (2021) at Kinondoni Municipal Council (KMC) revealed that the absence of retention and disposal schedules at KMC resulted in data being routinely destroyed by registry personnel. Additionally, certain records were retained in registries without being evaluated, destroyed, or sent to an archive repository, which impeded the efficient management of records. Moreover, a study by Lyaruu (2021) on the extractive industries transparency initiative (TEITI) revealed that organisations such as the Regional Mines Office of Dodoma were unaware of the number of files for small mining businesses, individual miners, and the state of the contracts when it came to the keeping of semi-current data; the office was not even sure if keeping the files or destroying them was still necessary; a proportion of the dormant files had already been transferred to the National Records Centre, but the

quantity and kind of files transferred were not documented; the Mining Commission had kept every file generated throughout the years in the registry; at the TRA Taxpayer's registry, the semi-current files were relocated to a storage facility, ten kilometres away from the main office due to registry capacity constraints, and they had no file closure processes or idea how to deal with them.

Therefore, an organisation may initially exhibit varying degrees of maturity with respect to the eight principles as demonstrated by Novian and Isa (2022) at the Batam Indonesia Free-Zone Authority (BIFZA) where the levels varied. At BIFZA, it was revealed that accountability is at level 4, transparency is at level 3, integrity is at level 4, protection is at level 3, compliance is at level 4, availability is at level two, retention is at level 3, and disposition is at level 4.

From the highlights of the four studies on maturity of records management programmes in three countries (Indonesia, Malawi and Tanzania), it is apparent that Indonesia is more advanced compared to Malawi and Tanzania. BIFZA in Indonesia is at level 4 in many principles of records management, while the University of Malawi (UNIMA) in Malawi is generally at level 2. The situation is not encouraging in Tanzania where Kinondoni Municipal Council (KMC) and the extractive industries transparency initiative in Tanzania TEITI) are either in level 1 or level 2 in all principles of records management. This situation appeals for a thorough investigation on the appropriate strategies which need to be used to bring changes that can enable organisations reach higher levels of maturity in records management programmes. This study is important as it explored the strategies for enhancing changes in the implementation of records and archives management programmes in Tanzania. Although the ARMA International's information governance maturity model demonstrates ways of determining the levels of progress in implementing records management programme, the model does not address the strategies of enhancing changes towards the highest level (transformational level).

2.3 Required inputs of records management programmes

Understanding the requirements of records management programme before starting the implementation process is essential. Records and archives management programmes require several components (inputs) including top management support, clear programme objectives, well defined responsibilities and authorities, allocation of adequate resources, continuous staff training, placement within the agency's organisational structure, and regular interval evaluations to monitor compliance with the implementation process to the defined programme objectives (International Labour Organisation 2015; Mohamed & Bunawan 2022; Musembe 2016; National Archives and Records Administration n.d; Shonhe & Grand 2018). Also, they require linking records management with legal, regulatory, and policy requirements, awareness of the importance of records management, and the ability to collaborate with related agencies to support a coordinated approach towards records management (World Bank Group 2020b).

In a strong records management programme, a senior executive should oversee the records management function, ensuring compliance with legal requirements and regulations; the organisation should also establish a records management policy, which should be endorsed, distributed, and made known to all employees within the organisation; and the registry should offer different levels of records protection based on the security classification type given to the record (Mphunda & Mnjama 2022). The required inputs are highlighted below.

- **Top management support:** Overloaded public servants aim to perform their duties effectively and preserve documentation for future reference but lack the necessary time and resources without top management support (World Bank Group 2020a). To succeed, executive management teams and government agency leaders must support records management initiatives, adopt appropriate practices, and have a single person overseeing all records at the highest level (Mohamed & Bunawan 2022; Msosa, Chawinga & Chipeta 2023). A study by Matto and Athumani (2018) on non-compliance with procurement documentation

and records management in Tanzania revealed that when it comes to strategic capital expenditure investment, top management is essential in assuring appropriate resource allocation and records management. Their choices are critical to the outcome of the project since senior management support lowers project failure and helps the organisation achieve its objectives.

- **Clear programme objectives:** The organisation must specify the desired outcomes in precise and quantifiable terms and devise a conceptual framework outlining how they will be attained. It is necessary to state in quantifiable words the goals of the plan. In fact, it is challenging to specify the programme aims and select the most appropriate metrics, or indicators without explicit objectives (International Labour Organisation 2015).
- **Well defined responsibilities and authorities:** A good records management programme designates who oversees the initiative; and as it is widely believed, an organisation's senior executive should be designated as the champion of a Records Management Plan as part of best practices (Mphunda & Mnjama 2022). Programmes for managing records must be executed with a certain amount of exposure with pertinent rules, regulations, and guidelines. It is essential that policies and procedures for records management be created to guarantee accountability on the part of Records Managers and users, outlining their responsibilities in the life cycle and continuum of documents (Mohamed & Bunawan 2022).
- **Staffing and continuous training:** As observed by Keakopa (2013) and Taiwo (2019), records administration is labour-intensive; thus, it needs not just enough employees but also personnel who are committed and well-trained. In a study on improving records management strategies at Moi University, Kenya, Musembe (2016) commended that any records management programme's effectiveness is closely correlated with the calibre of its personnel, the technological and financial means by which it can continue to function. There is a need to provide regular staff training and make sure that everyone knows exactly what their responsibilities are to prevent job ambiguity and appropriately modify technology and processes to meet the quality goal. Prioritising records management tasks

should include hiring a records manager to supervise the creation and execution of a policy and programme for records management. For the appointment to have an impact on organisation's records management policy there must be a senior member of the organisational hierarchy with a higher level of education and experience as a bonus. Mohamed and Bunawan (2022) suggest that people with a record of education, intelligence, and dedication should be regarded as acceptable job candidates. It is not advertised as the final choice for those who are unqualified, incompetent, or ignored. Training and staff development must be part of the organisation's overall plan, and all employees must be made aware of the challenges associated with records management.

- **Allocation of adequate resources:** Without both rail tracks and fuel, a train is unable to move. Without sufficient funding, infrastructure, equipment, technology, and human resource, a records management programme will not be able to run. Planning, acquiring, and allocating resources are necessary for organisations to guarantee that records can be generated and safeguarded properly (World Bank Group, 2020a). The financial and technological resources available to sustain any records management system directly affect its quality. Organisations ought to create and approve a thorough and justified budget (Musembe 2016).
- **Placement within the agency's organisational structure:** A study by Musembe (2016) on improving records management strategies at Moi University, Kenya, recommended that records management must be integrated into the organisational structure, which means that management and the organisation must take responsibility for and be committed to records management. Mphunda and Mnjama (2022) reveal that attributing accountability to a high-ranking individual and placing records management at this level demonstrate how seriously an organisation takes records management.
- **Regular interval evaluations and monitoring:** There should be a regular and continuous plan to gather and analyse data on a programme as well as comparing between the actual and the planned results to get an insight on how well the intervention is being implemented (International Labour Organisation 2015). Regular monitoring is necessary to identify risks and take appropriate

action. A person in charge of records management should be informed of the results. Verifications will be challenging in businesses without a quality control, monitoring, and evaluation culture in records management (Lyaruu 2021).

2.4 Activities involved in implementing records management programmes

Activities in the records and archives management programmes are implemented according to the planned timeframe, and these include restructuring and retooling the registries, creating and capturing records, maintenance and use, security and custody, preservation, disposal, as well as outreach programmes including raising awareness of the public (Lyaruu 2021). These activities need to be monitored to determine their evolution over time (International Labour Organisation 2015). The following are among the important activities which need to be considered in implementing the records management programme.

- **Restructuring and retooling the registries:** Restructuring a registry's legal, ownership, operational, financial or other structures to increase profitability or better arrange its present requirements is known as registry restructuring or reorganisation. This can be through asset sales, spin-offs into different companies (equity divestments or spin-offs), or transfers to private ownership (acquisitions). It entails activities that shrink the size of a registry (Fang 2024). In general, the goal of restructuring is to identify reasons negatively influencing the registry's performance and implement actions of enhancing the registry's operation and output. The second goal is to build a registry that can handle more work while yet operating more effectively and efficiently within the constraints of the available resources (International Criminal Court 2016).
- **Creating, receiving and capturing the records:** Producing or collecting records is the first step in gathering proof of functionality and accountability. Guidelines for generating and recording records should be followed to guarantee that they are accurate, comprehensive, and dependable over time (Lyaruu 2021).
- **Maintenance and use:** It is essential to define the intended uses of the information, ensure it is easily findable and accessible, grant access to

necessary individuals, and secure the integrity of the information (Franks 2018). Making sure that documents are safe, undamaged, accessible, and comprehensible throughout the duration of their essential existence is the basic component of records management. Preserving the physical medium and guarding against damage or loss is the primary focus. Organisations should implement plans to assure the on-going records management, and that data is accurate, dependable, and usable for the duration on which they are needed (Lyaruu 2021).

- **Security and custody:** File cabinets or storage rooms are the appropriate places to conserve paper records. Electronic records must be stored on safe computer drives with frequent backups and security measures that are kept up to date. Planning and acquiring sufficient technology, equipment, and physical infrastructures enable the organisation to guarantee that all records, regardless of format, are managed efficiently (World Bank Group 2020a). Private and confidential data need to be safeguarded against unauthorised access, alteration or destruction (ARMA International 2013). Organisations implement records management programmes primarily to mitigate risks associated with inadequate records management. Without a comprehensive programme, organisations may face significant issues, including damage to reputation, high information management costs, lost files, potential legal penalties or sanctions, and violations during audits and compliance checks (Franks 2018). The location of security systems may need to be identified by a government to safeguard documents and keep out of possible hostile forces. Adopting security rules helps in safeguarding confidential and sensitive data (World Bank Group 2020a).
- **Preservation:** Certain documents ought to be preserved indefinitely as they provide proof of important choices or acts, as well as historical context and perspectives. Archives promote openness and accountability, shed light on the past, and cultivate both private and public memories. To ensure that the evidence is securely maintained and accessible to the public, organisations should either retain their own archives or entrust them to the care of an archival organisation (World Bank Group 2020a).

- **Retention and disposal:** A company must maintain its documents and data for legal, regulatory, financial, operational, and historical obligations, and dispose of them securely and in accordance with the applicable laws and rules (ARMA International 2013). An effective records management programme mandates agencies to adhere to the schedule for retention and disposition which has been approved by relevant authorities, ensuring records are retained for business purposes, legal and fiscal compliance, and preservation of permanent value (National Archives and Records Administration n.d.). The retention of records schedule should specify the temporary or permanent status of records, requiring authorisation from relevant executive authorities for accountable destruction and retention (International Council on Archives 2009).
- **Outreach programmes and raising public awareness:** Educating employees on the strategic resource value of records for the company is a crucial first step in the implementation process as it requires their support and understanding of their roles in the various stages. It is necessary to effectively complete records management awareness workshops and outreach programmes for all staff members at all levels. These initiatives promote and encourage workers' buy-in and support (Keakopa 2013). A study by Shonhe and Grand (2018) on 'a service delivery improvement strategy for a records management programme' at the Tlokweng Land Board revealed that although the Board introduces an efficient filing system which used coloured files, plot numbers, thermal labelling machines, and coloured stickers, many staff members were not aware of the different colours, except for administrative files. This is an indicator that the Board needed to prepare workshops for raising awareness on the colour codes.

2.5 Evaluation and monitoring tactics for realising the expected outputs and outcomes

Monitoring, as defined by the United Nations Development Group (2017), involves a systematic and regular evaluation of performance, which enables a comprehension of where programmes stand in relation to the expected outcomes and documentation of issues that necessitate swift decision-making; whereas evaluation is a methodical and

objective assessment of a programme's significance, productivity, adequacy, impact, and maintainability as a decision-support tool. According to Frankel, Gage, Luben and Singh (2016), monitoring a programme involves collecting routine data to track progress, make informed decisions, and track changes in performance over time, ensuring programme effectiveness and resource efficiency. Monitoring, also known as process evaluation, is a crucial aspect of the implementation process, focusing on key questions and ensuring effective implementation. According to Frankel *et al* (2016), key questions addressed in monitoring include:

- a. How successfully has the programme been implemented?
- b. To what extent does implementation differ from location to location?
- c. Did the targeted individuals benefit from the programme? To what extent?

As highlighted by Ba (2021) in a study that explored the methods for measuring the effectiveness of monitoring and evaluation systems, the emphasis on risk-taking and evidence-based decision-making in development management for both donors and developing nations is being driven by the need for accountability. This involves implementing effective monitoring and evaluation systems and addressing the complexity of the socio-economic system. Effective management approaches are crucial for moving institutions and organisations to higher performance levels. The incentive structure of institutions shapes economic changes, and explaining social, political, economic, and organisational change is a significant challenge in social sciences.

According to the International Labour Organisation (2015), performance evaluation (or results-based management) consists of seven stages or tactics:

- i. Formulating objectives: Stating how the desired results will be achieved and defining the desired outcomes in clear and measurable terms.
- ii. Identifying indicators: Defining what needs to be measured for each objective.
- iii. Setting targets: Indicating the anticipated level of performance that will be measured by dates.

- iv. Monitoring results: Creating performance-monitoring systems that routinely gather information about the results achieved.
- v. Reviewing and presenting findings: Matching actual outcomes with goals.
- vi. Incorporating evaluations: Making assessments to gather information that performance monitoring systems do not provide.
- vii. Using performance information: Utilising data from observation and assessment for decision-making, learning, and holding people accountable.

2.5.1 Key principles for monitoring

Monitoring and evaluation processes greatly influence the reliability of conclusions and judgements. The following are useful guidelines for monitoring, as highlighted by the United Nations Development Programme (2002):

- Effective monitoring concentrates on results and follow-up, identifying progress and areas for improvement, recording progress in reports, making recommendations, and following up with decisions and actions.
- Good monitoring relies on good design, realistic results chain and avoids recurring problems for permanent solutions.
- Regular visits by senior staff and follow-ups by the Programme Manager are crucial for good monitoring, focusing on results and problem areas, and continuous documentation of achievements and challenges.
- Regular analysis of annual project reports (APR) is created by project management or directors as a minimal requirement for effective monitoring for the office and partner audiences.
- Effective outcome monitoring depends on participatory monitoring methods including focus groups, steering committees, stakeholder meetings, and outcome groups that guarantee ownership, commitment, performance feedback, and follow-up.
- Good monitoring objectively assesses progress and performance using clear criteria and indicators. The offices should enhance their system for measuring performance by creating baselines and indicators.

- Monitoring and decision-making are improved by reviewing the performance, success, and relevance of development interventions; the office regularly reviews the on-going applicability of support and assesses empirical data.
- The respective office actively generates lessons learned, adapts strategies, and uses electronic resources for lesson sharing and memorisation to ensure good monitoring and avoid mistakes.

2.5.2 Practical approaches to evaluation

According to Antonescu (2013), there are various practical approaches to evaluation, including:

- *Resource allocation evaluation:* Emphasises efficiency of resource use from planning and retrospective perspectives.
- *Standard assessment based on predetermined goals:* Evaluates performance and success using various criteria.
- *Explanatory evaluation:* Explains programme impact, success, and reasons for outcomes.
- *Formative evaluation:* Provides complex feedback and self-corrections while the project is being implemented.
- *Participatory evaluation:* Seeks to use bottom-up techniques to establish networks, communities, and territories.

2.5.3 Monitoring and evaluation systems

The implementation of records management programmes ought to be observed and assessed using suitable monitoring and evaluation (M&E) systems with high quality measurement dimensions. For instance, Ba (2021) highlights that the M&E-Information Quality dimension of the Senegalese Rural Electrification Programme model includes input, output, outcome, performance, and risk management sub-dimensions, with operationalised measurements, which are explained below:

- Input Information Quality: The programme utilises an analytical accounting system, converts beneficiaries' contributions, and ensures input indicators meet data quality assessment standards.
- Programme Output Information Quality: The output indicators should be comprehensive, meet data quality standards and align with sector results.
- Outcome Information Quality: Evaluates timely information and intermediate results coverage, assesses quality of intermediate changes information at beneficiaries' level.
- Performance Information Quality: Transforms lessons learned into meaningful information for programme efficiency and sustainability analysis.
- Risk Management Information Quality: The conceptual structure of the strategy has been converted into important risk mitigation or absorption milestones that are informed and monitored on a regular basis.

The employment of suitable M&E systems and models during the implementation of records management programmes may increase the adoption of effective management techniques in the organisations, making them essential for advancing institutions and organisations to higher performance levels. The changes in any organisation set-up are shaped by the incentive structures of institutions.

2.5.4 Logical framework in relation to evaluation

The assessment process of a public intervention incorporates a relational structure involving needs, objectives, inputs/outputs, outcomes, and effects, as highlighted by Antonescu (2013). The links between inputs and outputs, costs and benefits, are used to gauge how effective the intervention was. According to Antonescu (2013), the evaluation process's relationships and causality links can be analysed using the logical structure and its fundamental components below:

Needs →[Objectives→Inputs→Activities→Outputs→]Outcomes→Effects

The processes of evaluating public interventions that are funded by structural funds include evaluating both the programme's initial output and its long-term sustainable outcome. The objectives of the programme can be functional (output), targeted (results),

or broad (outcome). Evaluation intervenes to complete information about implementation and potential deviations to remedy them (Antonescu 2013).

2.5.5 Impact evaluation

Impact evaluation measures the impact of programme activities on expected outcomes, comparing the difference between having and not having the programme or intervention (Frankel *et al* 2016). Development organisations use billions of dollars annually to improve living conditions and quality of life in developing countries. Understanding the causal effects of these efforts is crucial for accountability and policy improvement (White & Raitzer 2017). A successful impact evaluation requires a well-planned process, including design, budgeting, management, resources, and interpretation of findings, alongside a rigorous methodology (White & Raitzer 2017). Table 2.1 outlines the fundamental components of a monitoring and evaluation (M&E) plan, outlining the necessary arrangements for the timely and reliable production of each indicator.

Table 2.1: The components of a monitoring and evaluation plan

Components	Description
Expected outcomes and outputs	These are obtained from the results chain and programme design documents.
Indicators (including target indications and baselines)	The results chain should guide the development of specific, measurable, attributed, realistic, and targeted (SMART) indicators.
Source of data	The source and location of data, such as a survey, review, or stakeholder meeting, should be specified.
Frequency of data	The frequency at which data are made available.
Responsibilities	Who oversees planning the data gathering and confirming the source and quality of the data?
Reporting and analysis	The analysis frequency, method, and reporting responsibility are all crucial aspects to consider.
Resources	The estimated resources needed and committed for conducting planned M&E activities.
End use	Who is going to receive and look over the data? What function does they fulfil?
Risks	What assumptions and risks are involved in executing the M&E activities that are planned? What potential effects might they have on the scheduled M&E events and data quality?

Source: Gertler, Martinez, Premand, Rawlings & Vermeersch 2011

Impact evaluations estimate the effects of interventions, provide reliable knowledge, and inform economic analysis and strategies. They measure the causal effects of interventions, compare observed outcomes with counterfactual scenarios, and analyse factors affecting outcomes among different populations (White & Raitzer 2017).

2.6 Change management and theories of change

The word “change management” is used broadly to refer to a variety of strategies used to help, support, and prepare teams, departments, and individuals inside an organisation as they go through corporate changes (Alanoğlu, Karabatak & Kuloğlu 2023). The overarching objectives of change management from an organisational perspective include anticipating future events, building mutual trust and support among team members, encouraging open communication, addressing problems, settling disputes, and generating synergy. The effectiveness and flexibility of organisations have been greatly increased by a wide variety of change management models and theories which provide insights into the strategic, emotional, and psychological aspects of change by offering organised frameworks (Quintero 2023). Organisations have a poor history of adapting to change since most transformation initiatives undertaken today are not yielding the desired business outcomes; hence, these valiant attempts are causing enormous costs in terms of finances, people, time, clients, and confidence in the leadership side (Anderson & Anderson 2010).

Alanoğlu, Karabatak and Kuloğlu (2023) highlighted the objectives of change management in the organisations as follows:

- Encouraging people of the organisation to communicate effectively and positively.
- Creating a sense of unity among members of the organisation.
- Creating an adaptable organisational framework to boost output.
- Fostering in people a sense of belonging and teamwork.
- Improving group and individual coordination to reduce waiting times and boost work efficiency.
- Developing self-sufficient thought abilities to support personal growth.

- Including equitable possibilities for personal growth inside the company.
- Increasing the effectiveness of organisational procedures.
- Creating chances for both individual and group achievement inside the company.
- Making sure that technology is embraced by the company and works well with it.

2.6.1 Theories of change

The Theory of Change outlines the expected change in a setting, addressing the gap between intervention performance and desired outcomes (Rad & Rad 2021). The theories and models of change facilitate a more profound comprehension of human behaviour and decision-making procedures, empowering organisations to execute more focused and compassionate transformation endeavours (Quintero 2023). For several reasons, the effectiveness of a project depends on theories of change; thus, programmes must have a solid theoretical foundation which helps managers to increase their confidence when their programmes are providing the appropriate activities for the intended results (Allen 2021). The records management programmes cannot be isolated from the theories of change if they are to be successful. Organisations need to develop records management programmes basing on solid theoretical foundation emanating from theories related to change management. The theory of change defines long-term objectives and determines necessary outcomes in an outcomes' framework. This framework guides the form of activity or intervention that leads to desired outcomes. In other words, this technique improves planning and assessment by understanding the relationship between activities and long-term goals (Rad & Rad 2021).

There is a variety of change management theories/models that have been developed throughout the course of the 20th and 21st centuries. These theories all view change as a process that involves both individual and group behaviour as well as cognitive processes (Quintero 2023). Among these models include the McKinsey 7-S model, Nudge Theory, Mintzberg and Quinn's model, Dunphy and Stacy's model, ADKAR change management model, Kübler-Ross change curve, Bridges' transition model, Satir change model, and Deming cycle (Nwachuku, Okereka & Mukoro 2023; Quintero 2023).

Table 2.2 presents the chronology and brief description of theories/models commonly used in change management perspectives:

Table 2.2: Chronology of theories and models for change management

Change Management Model/Theory	Period of Introduction	Description
Lewin's Change Management Model	1940s	Kurt Lewin's model outlines the stages of effective change: unfreezing, changing, and refreezing.
Deming Cycle (Plan-Do-Check-Act)	1950s	W. Edwards Deming developed the Deming Cycle, also known as PDCA (Plan-Do-Check-Act), as a method for continuous growth.
Kübler-Ross Change Curve	1960s	This paradigm, adapted from Kübler-Ross's grief work, outlines the emotional stages humans undergo during changes, including denial, anger, bargaining, depression, and acceptance.
Satir Change Model	1960s- 1970s	The Virginia Satir-developed approach emphasises the importance of coping strategies and emotional reactions to change.
McKinsey 7-S Model	1980s	McKinsey & Company's model emphasises the significance of seven interconnected elements for organisational effectiveness: people, shared values, skills, structure, strategy, style and systems.
Bridges' Transition Model	1991	William Bridges introduced a paradigm that emphasises effective transition management, focusing on the psychological and emotional impacts of change.
Mintzberg and Quinn's Model	1991	Mintzberg and Quinn's four situational categories help organisations determine change implementation: age, size, location, technology, and internal/external controls.
Dunphy and Stacy's Model	1993	Dunphy and Stacy's theory suggests that change can occur suddenly and is not just consultative but also forceful.
ADKAR Change Management Model	Late 1990s	ADKAR, a concept developed by Prosci, is a structured approach to personal transformation, encompassing Awareness, Desire, Knowledge, Ability, and Reinforcement.
Kotter's 8-Step Theory	1996	John Kotter's eight steps for driving organisational change emphasise coalition building, urgency creation, and momentum maintenance.
Anderson and Anderson's Model	2001	The model, developed by Dean Anderson and Linda Ackerman Anderson, is divided into three sections: content, process, and people.
Maurer 3 Levels of Resistance Model	Early 2000s	Rick Maurer founded a model that offers techniques for different levels of resistance, categorising it into logical, emotional, and behavioural aspects
Nudge Theory	2008	The theory, rooted in behavioural economics and psychology, gained popularity with Thaler and Sunstein's "Nudge" book, which explores how minor changes can significantly influence people's decisions and behaviours.

(Sources: Quintero 2023; Nwachuku, Okereka & Mukoro 2023)

Few theories are briefly highlighted below to enlighten the development of the conceptual framework for this study as well as the framework on the strategies for enhancing change in records and archives management programmes.

- i. *Kurt Lewin's model of change*: By his efforts in group decision-making, implementation, and social change, Kurt Lewin established a strategic approach to organisational change in 1951. He created an approach that breaks down change into three stages: unfreezing phase (stage one) where workers are motivated to adapt to new work practices by being either pushed or encouraged to leave their comfort zones, even in instances when their future is unclear; initiating the change (stage two) where workers adopt new practices and put them into practice, or they start new initiatives to bring about change; and refreezing phase (stage three) which focuses on how the employer may use employee recognition and awards to reinforce new initiatives and procedures within an organisation (Nwachuku, Okereka & Mukoro 2023).
- ii. *Kotter's model of change*: After criticism of the intended model of change, an unanticipated model of change was developed. Since its creation in 1996, Professor John Kotter's change model – which bears his name – has been an essential tool for handling significant organisational change over the course of complex companies (Potter, Welsh & Milne 2023). The model views change as occurring from the bottom up rather than the top down because the bottom-up change will happen so fast that top change initiators will not have the time to efficiently determine, arrange, and carry out the required organisational adjustments; thus, more delegation of responsibility for organisational transformation is required (Nwachuku, Okereka & Mukoro 2023). Eight phases are suggested by Kotter's model for the change process: establishing a sense of urgency, assembling the steering coalition, developing a plan and a vision, sharing the change vision, giving them the tools they need to carry out the strategy, producing quick victories, incorporating

advancements, bringing about additional change, and institutionalising the new approaches (Sittrop & Crosthwaite 2021).

This model is used by several organisations to manage change. Recently, a United Kingdom's university has employed Kotter's change model to provide a thorough micro-level examination of the educational change process to control the effects of generative artificial intelligence (GenAI) on teaching, learning, and assessment (Potter, Welsh & Milne 2023).

- iii. *The Mintzberg and Quinn change model, created in 1991:* This consists of four primary situational factors that are important to consider when determining the extent of change that an organisation may undertake. These include the organisation's age and size, its location, its technological systems, and the kinds of internal and external controls, which are available. An organisation's size and age are important indicators of the ability of an organisation to accept and implement change (Nwachuku, Okereka & Mukoro 2023).
- iv. *Anderson and Anderson's model of change:* In addition to accounting for the cyclical nature of organisational change, the Anderson and Anderson's model of change manages organisational change by dividing it into content, process, and people sections, focusing on organisational structure, technical components, and necessary actions (Anderson & Anderson 2010). The model consists of nine phases: prepare for change, establish organisational vision, evaluate situation, design desired state, examine impact, plan implementation, celebrate new state, and learn and correct direction (Nwachuku, Okereka & Mukoro 2023).
- v. *The Mckinsey 7-S model:*
This model is used as a technique for assessing an organisation's organisational design, which focuses on seven essential components: staff, shared values, style, strategy, skill, system, and structure. The model categorises elements into "Soft Ss" and "Hard Ss," highlighting the interconnectedness of these elements, with structure, strategy, and systems

accounting for hard Ss (Corporate Finance Institute 2024). The seven Ss are as follows:

- *Structure*: Structure refers to the organisational structure of a company, including the linkages between accountability and the chain of command that make up its organisational hierarchy.
- *Strategy*: With the support of its purpose and values, strategy is a business plan with goals that help an organisation gain a long-term competitive edge.
- *Systems*: These are an organisation's business and technological framework that control decision-making processes and activities.
- *Skills*: These are the core abilities and competencies of an organisation that allow its workers to accomplish its goals.
- *Style*: Relationships and symbolic decision-making among senior employees impact the executives' management style.
- *Staff*: All facets of human resource, such as hiring, training, and incentive programmes, are included in staff management and are essential to business decision-making.
- *Shared Values*: The core components of an organisation, including its mission, values, and goals. Ensure that all these elements are in harmony for a successful organisational design.

Theories of change become relevant when implementing records management programmes because they explain how an intervention can produce the intended results by describing how a programme's flow of inputs, activities, and outputs will help achieve the programme's goals (International Labour Organisation 2015). Organisations, which implement records management programmes, need to adapt or make modifications frequently when circumstances are difficult (Steffi, Shynu, Rajest & Regin 2023). Being a leader is difficult in a world that is changing and where it is nearly hard to foresee every influential aspect and the importance of every unfavourable circumstance. As such, the leadership needs to be grounded on accurate computations

and a thorough comprehension of the procedures (Kulinich, Materynska, Aleskerova, Kuzmenko & Balian 2023).

2.6.2 The common stages in implementing changes

Change theories examine organisational settings, expectations, outcomes, new behaviour adoption, and the significance of prompt communication throughout change initiatives. A comprehensive examination of the models indicates that successful transformational change requires an integrated toolkit of managerial strategies including assessing the need for change, creating a plan of action, establishing a sense of urgency, identifying the team that will lead the change, creating structures that will support the change, effectively communicating, and institutionalising or reinforcing the change processes (Nwachuku, Okereka & Mukoro 2023).

According to Nwachuku, Okereka and Mukoro (2023), the change strategies can be grouped into five stages as follows:

- *Setting specific objectives:* Organisations should adopt a "managing from the future" approach, defining their future course and establishing specific goals to effectively implement change.
- *Respect and cooperation:* The leader of an organisation develops its vision, and collaboration among employees is crucial for successful change execution. A cross-functional team, involving all stakeholders, ensures a successful transformation, requiring mutual respect.
- *Creating and carrying out an implementation plan:* The steering coalition is responsible for creating an implementation plan evenly distributed among all stakeholders, focusing on quick wins to motivate employees and recognise the benefits of the change.
- *The significance of communication throughout the change:* Effective communication is crucial in the change process, encompassing verbal, written, and observed behaviours, presentations, one-on-one discussions, and organisational newsletters to reinforce on-going changes.

- *Strengthening and institutionalising the change:* Change necessitates proactive modifications to organisational structures, policies, and behaviours, supporting mission and succession plans developed by senior executives as change agents.

2.6.3 Ten guiding principles of change management

Large-scale transformation success demands more than just the greatest tactical and strategic plans. Leadership teams frequently find themselves wondering why their well-laid strategies go astray when they neglect to account for the human aspect of change (Booz Allen Hamilton Inc. 2004). For more than 90 years, Booz Allen Hamilton Inc. has led the way in management consulting for both government and industry. It has worked with several organisations to develop and implement significant transformation initiatives. As a result of these interactions, it has created top ten change management guiding principles that present a distinctive viewpoint on handling the human side of change. The top ten guiding principles for transformative change as created by Booz Allen Hamilton Inc. in 2004 are as follows:

- *Carefully address the human aspect of change:* Address the human aspect of change by involving the leadership team and other stakeholders in a formal approach to manage interpersonal problems, new skills, and competencies, to ensure efficiency and morale.
- *Change starts at the top from the first day:* Change is often perceived as unpleasant by all levels of an organisation, leading to a need for guidance and support from the CEO and leadership team.
- *Real change starts at the bottom:* Transformation programmes impact various organisational levels through strategy creation, design, and execution. Senior managers and executives should form design teams, train leaders, and relieve responsibilities to focus on change.
- *Face reality, show your faith, and create a vision:* People are logical, and a written vision statement and formal advocacy for change can encourage leadership team alignment, ensuring that business is on the right path.

- *Make ownership, not just buy-in:* Leaders must passionately advocate for change, take ownership, and be accountable for it. Involving individuals in problem identification and solution development fosters ownership, strengthened by material and psychological incentives.
- *Adopt a focused over-communication strategy:* Effective change initiatives require timely information, feedback, and emotional monitoring of staff. Leaders should focus on providing the right information, gaining their opinions, and monitoring their emotional reactions, rather than relying on redundant communication across multiple channels.
- *Take aim at the cultural hub and speak directly to culture:* Effective change initiatives often require cultural changes, such as mergers or acquisitions. Leaders must thoroughly discuss culture, evaluate current culture, and devise strategies to accelerate the establishment of a new culture.
- *Evaluate the cultural environment early on:* Effective change initiatives require understanding and considering attitudes and practices at all levels of the organisation. Cultural diagnostics can identify resistance, leadership issues, and organisational readiness for change, preventing errors in evaluation.
- *Be ready for anything unexpected:* Change programmes often fail to align with planned outcomes, leading to unexpected reactions and resistance dissolving. Effective change management requires continuous evaluation of initiatives and readiness for subsequent phases.
- *Talk to the person as well as the organisation:* People must understand job changes, expectations, evaluations, and success/failure. Be truthful, detail-oriented, and engage in transformation. Offer incentives such as bonuses and recognition and remove those obstructing change to strengthen commitment and the institution.

2.6.4 Barriers to organisational change and coping strategies

Change may have long-term consequences, and it can even be a painful process (Alanoğlu, Karabatak & Kuloğlu 2023; Gawel, Pluszyńska, Nowak, Pokojka,

Krawczyńska & Karpińska 2025; Gkrimpizi, Peristeras & Magnisalis 2023). Accordingly, these scholars highlight several reasons why people resist change as follows:

- Organisations often prioritise short-term objectives, leading to resistance to long-term reform initiatives. Individual resistance stems from natural habits and a fear of losing authority, while organisational resistance may develop when people anticipate losing their influence.
- Workers may perceive change initiatives as a threat to their future employment and resist change due to fears of income decline.
- People may experience uncertainty when faced with change while utilising traditional approaches.
- Transitioning to new values and competencies may require employees to adapt to organisational norms, potentially leading to resistance if the change goes against them.
- Negative experiences with change may have occurred in the past.

A study conducted in Poland (Gaweł *et al* 2025) revealed that a significant obstacle to organisational change in museums is a weak organisational culture marked by hierarchical divisions, particularly among curators, leading to interpersonal tensions and hampering reform efforts. Trade unions contribute to maintaining the status quo, demonstrating minimal willingness to initiate change. Museums also struggle to meet visitor needs due to a lack of meaningful market research and internal divisions between progressive and conservative staff. External challenges include limited managerial autonomy and insufficient funding from governing bodies, which restrict operational freedom. In China's metal manufacturing industry (Orji 2019), key barriers to organisational change include an inefficient legal framework, inadequate proactive plans, poor sustainable waste management, and preferences of institutional buyers.

To address opposition to change and challenges, Alanoğlu, Karabatak and Kuloğlu (2023) and Orji (2019) suggest the following measures as necessary:

- It is essential for staff members to give up some of their ingrained behaviours. Employees must, therefore, have a sense of security and assurance that the changes will not have a detrimental effect on them.
- Rather than being imposed from above, the change's objectives ought to be created in collaboration with a broad group of stakeholders. Promoting involvement creates a sense of ownership for the suggested improvements and lessens opposition against them.
- People ought to be free to express their worries and anxieties. People feel less stressed and have more control over the circumstance as a result.
- Every detail pertaining to the change should be understood by those who will be impacted by it. By giving people, facts and letting them talk about them; can put an end to rumours and gossip.
- Members should actively engage in group meetings by communicating the goals and expectations of the change. Persuasive strategies and actions could be required in certain situations. Using forceful tactics, however, might spark ethical discussions.

2.7 Conceptual framework for this study

Studies by various scholars conducted in Tanzania, including Lyaruu (2021) and Rutta and Ndenje-Sichalwe (2021), reveal that records management programmes are at lower levels of maturity, indicating a need for strategies to improve. This study explored strategies for enhancing changes in the implementation of records and archives management programmes in Tanzania, highlighting the need for a comprehensive investigation into the strategies suitable to transform the maturity of these programmes. There are several models concerning records management, including records lifecycle and records continuum models as well as the ARMA International's information governance maturity model, which portray the processes of managing records and the ways of determining the levels of progress in implementing records management programme. However, the models do not address the strategies of enhancing changes towards the highest level (transformational level). Even the previous studies have not

concentrated thoroughly into the strategies for enhancing changes in the implementation of records management programmes in Tanzania.

The current study is unique as it used a result chain framework, as adopted from the International Labour Organisation's 'basic principles of monitoring and evaluation' document of 2015, to analyse sustainable implementation and records management programme changes. Previous studies used different models and theories such as records lifecycle and records continuum models, but these are not addressing comprehensively the strategies which can enhance changes in the implementation of records management programmes.

The results chain consists of two parts: Implementation (which includes planned work), and results (which are the intended outcomes and final outcomes influenced by behavioural changes by programme beneficiaries), subject to impact evaluation to measure effectiveness. The study employed the results chain model as it provides a clear and logical explanation of change in development programmes, illustrating how a project's inputs, activities, and outputs interact with behaviour, establishing causal logic from project initiation to long-term goals (Gertler, Martinez, Premand, Rawlings & Vermeersch 2011). The following components were mapped via a simple results chain:

- a) Inputs: Resources such as staff and budget.
- b) Activities: Conversion of inputs into outputs.
- c) Outputs: Tangible products and services that project activities generate.
- d) Outcomes: Results in the short to medium term.
- e) Final outcomes: Goals for the finished project, usually determined by a variety of circumstances over a longer time span.

The conceptual framework of this study treated sustainable implementation as the independent variable and results (changes) of the records management programmes as dependent variables. This study aimed to improve Tanzania's records and archives management programmes by examining the impact of inputs (resources and frameworks), monitoring activities, analysing evaluation tactics, and developing a framework on enhancing changes in the implementation process. Thus, the study

incorporated the theories of changes to explore the effectiveness of these strategies. The study suggests that monitoring mechanisms are necessary to track resources (inputs), activities, and outputs. An effective monitoring system can lead to meaningful implementation, resulting in expected outcomes and changes in tangible goods or services.

2.7.1 Sustainable implementation of records management programmes

To ensure sustainable records management implementation, organisations must design monitoring mechanisms that track inputs, activities, and outputs. This includes tracking resources, frameworks, and activities within a planned timeframe. The monitoring system should focus on tangible goods or services, such as accuracy, completeness, relevancy, and authenticity. If effective, this system can lead to meaningful implementation and desired outcomes.

2.7.1.1 Required inputs in records management programmes

Before implementing a records management programme, it is crucial to understand its requirements, which include top management support, clear objectives, clear responsibilities, adequate resources, staff training, organisational structure, and regular evaluations. It is also essential to link records management with legal, regulatory, and policy requirements, and to collaborate with related agencies. The required inputs in records management programmes are covered in detail under section 2.3 in this chapter. To ensure sustainable records management programme implementation, organisations must design monitoring mechanisms to continuously track their investment in resources.

2.7.1.2 Activities involved in records management programmes

Programmes for managing records and archives are carried out in accordance with the schedule. As highlighted under section 2.4, the activities include reorganising and retooling registries, generating and capturing records, maintenance and use, security and custody, preservation, disposal, and outreach initiatives that include public

awareness-raising. It is necessary to keep an eye on these activities to see how they change over time.

2.7.1.3 The expected outputs

Monitoring mechanisms must be created to continuously track the outputs of records management programmes that are focused on tangible goods or services (information quality such as accuracy, concise representation, completeness, relevancy, comprehensiveness, believability, authenticity, ease of manipulation, and value added), for the programmes to be implemented sustainably. The expected outputs of the records management programmes are highlighted under section 2.2.2.

2.7.2 The expected results/changes

The anticipated outcomes (results/changes) can be realised if the monitoring system is effective since it is likely to result in the meaningful implementation of the records management programmes. Records and archives management programmes are expected to have immediate and final outcomes once the implementation reaches levels 4 and 5 of the ARMA International's information governance maturity model (as discussed under section 2.2.2). The immediate outcomes include the availability of information whenever needed for research, decision-making, and cultural purposes. The final outcomes include better service delivery, increased transparency and accountability in society, better protection of organisations and citizens' rights, and a long-lasting shift in public opinion regarding the status of registries and records management activities. To assess how inputs, outputs, and the immediate results relate to one another, periodic performance reviews should be conducted. The impact evaluation should then be carried out to ascertain whether the programme intervention and the programme alone are responsible for the changes observed at the conclusion of the programmes.

2.7.3 Evaluation and monitoring tactics

The implementation of records management programmes should be monitored and assessed using high-quality monitoring and evaluation systems. Regular performance

evaluations and impact evaluations are necessary to determine the relationship between inputs, outputs, and immediate outcomes, and to determine if changes are caused by the programme intervention or programme alone. The evaluation and monitoring tactics are highlighted under section 2.5.

2.7.4 The Theory of Change

Theories of change are crucial in implementing records management programmes, as they outline the sequence of inputs, activities, and outputs that contribute to the desired outcomes. These theories guide the success of these programmes, making them easier to sustain, scale, and evaluate, as they clearly define the required steps and resources. This study used the Theory of Change to guide records management programmes, as it streamlines their success, scale, and evaluation by clearly outlining the necessary steps, outcomes, and resources. The theories of changes are highlighted under section 2.6.

This study used an inductive approach in qualitative research to explore variables and understand social phenomena. When there are few competing theories, inductive research is more valuable; and when there are many competing theories, deductive research is more fruitful. Inductive strategies are typically associated with qualitative research, linking data and theory.

2.8 A framework on the strategies for enhancing changes in records and archives management programmes

This study was expected to propose a framework that is built on result chain processes (as highlighted under sections 1.5 and 2.7), which incorporate essential elements of a records and archives management programme (from its design, implementation to the results achieved) as follows:

- a. Design stage:** Includes determination of the drivers for changing the records management programme, setting clear programme objectives, clear definition of responsibilities and authorities, proper governance structure, formulation of regulatory frameworks and devising the monitoring and evaluation strategy.

- b. Implementation stage:** Includes enforcement and review of regulatory frameworks (legislation, policies, procedures, standards, guidelines and governance systems), developing management tools (retention and disposal schedules, plans for disaster management and file plans), availing resources, active support of senior managers, staff capacity building, raising mindfulness (awareness) on the significance of records management, coordinating efforts on records management activities (records creation and capture, maintenance and use, security and custody, preservation, disposition), assurance of information quality (free of error, reliability, authenticity and comprehensiveness) as well as performance measurement (regular interval monitoring and evaluation from regulatory bodies).
- c. Results:** Include the immediate outcomes (information availability and accessibility) and the final outcomes (change of perception and support to records management activities, efficiency and effective service delivery, protection of organisations and individuals' rights, improved transparency, accountability, rule of law, and assurance of continuity of operations).

2.9 Summary

Chapter two has reviewed literature related to strategies for managing changes in records management programmes. The reviewed literature relates to the purpose and objectives of the study covering the effects of the inputs (availability of resources and records management frameworks) in enhancing sustainable implementation of records management programmes, the effects of monitoring of the activities performed to transform inputs into outputs towards realising sustainable implementation of the records management programmes, the evaluation tactics employed by public organisations in realising the expected outputs and outcomes of the records management programmes, the theoretical and conceptual framework guiding the study, and the framework on the strategies for enhancing changes in the implementation of records and archives management programmes. The main points that this chapter raised indicate that although there are many initiatives towards implementing records management in various organisations, the status concerning the implementation is not

pleasing. Despite the existence of models on determining the maturity of information governance, still the models do not address the strategies of enhancing changes in implementing records management programmes towards the highest level (transformational level). This study is important as it explored strategies for enhancing changes in records management programmes, focusing on theories of change. The theories of change explain how interventions can produce desired results by describing the flow of inputs, activities, and outputs. The research methodology employed by this study is covered in the next chapter.

.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

A methodology is a crucial element for high-quality field research, used by researchers to solve problems (Tharsika & Pratheepkanth 2022). Methodology explores the connections between the research process and outcomes, guiding aspects such as sampling, data collection, analysis, production and presentation of findings (Mayan 2023). To get the best results, a researcher must use a clear, disciplined, systematic (planned, ordered, and public) approach (Mohajan 2018). The methodological logic of qualitative research pertains to the methods used to achieve its scientific objectives (Grass 2024). Methodology is a crucial research paradigm that guides the research process, outlines systematic processes, assumptions, limitations, and mitigation strategies. It includes participants, data gathering instruments, and analysis measures, closely related to epistemology. The selection of a research methodology depends on the chosen paradigm, making it easier to select appropriate methods once the methodology is confirmed. The formation of paradigms and research are interconnected and cannot be separated (Panya & Nyarwath 2022). In this chapter, the researcher discusses the research paradigm, approach, design, population, sampling procedures, data collection instruments, analysis, data quality, and ethical considerations, illustrating the philosophical foundation of the study as shown in Figure 3.1.

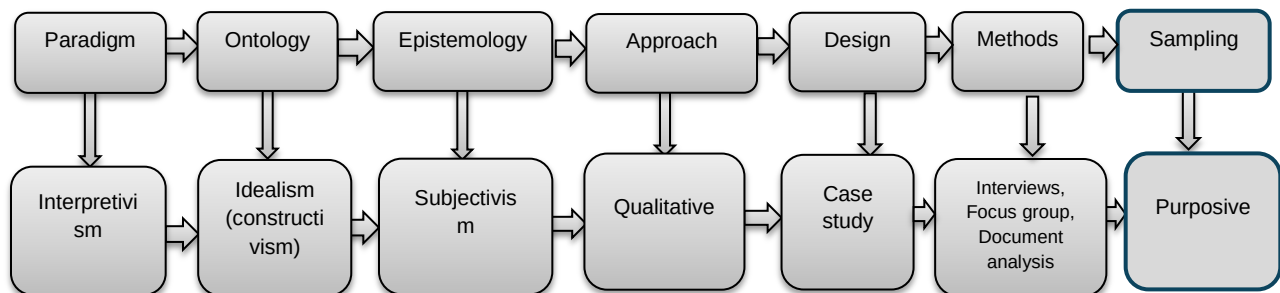


Figure 3.1: Philosophical foundation of the study (Source: Researcher 2024)

3.2 Philosophical paradigm

Philosophy, derived from Greek words *philos* and *sopia*, means love and wisdom. It guides researchers' beliefs and values, serving as the "search of truth" and guiding their thinking (Siriwardhana, Kurukulaarachchi & Wesley 2021). Philosophy focuses on reality, knowledge, and existence, with research philosophies offering theories about the nature of reality, the creation and justification of knowledge (Panya & Nyarwath 2022). Identifying a suitable philosophical approach necessitates a deep understanding of the differences between philosophical positions and a reflective awareness of one's own views on knowledge and reality, as well as the processes of discovering, developing, and confirming new knowledge (Gannon, Taheri & Azer 2022). Researchers must understand and communicate ones' beliefs regarding what can be known about reality and the nature of knowing reality, the way such knowledge can be acquired; and in this case, positivism, anti-positivism (interpretivism), post-positivism, postmodernism, and criticalism are among the research paradigms (Pathak & Thapaliya 2022; Rehman & Alharthi 2016). However, positivism and interpretivism are two main research paradigms, with pragmatism being a third (Siriwardhana, Kurukulaarachchi & Wesley 2021). Before 1980, quantitative research dominated social science, but paradigm wars led to qualitative research and mixed method research, as social scientists seek individual inquiries (Tharsika & Pratheepkanth 2022).

Positivism, a form of empiricism, focuses on experiments and quantitative research. It believes knowledge should be objective and free from bias (Siriwardhana, Kurukulaarachchi & Wesley 2021). Positivism, a science-based method by Auguste Comte, suggests that knowledge is based on a sense of experience and observation. It uses deductive methods and value-free hypothesis testing to build tangible knowledge (Pathak & Thapaliya 2022). Positivism posits that meaning and meaningful realities exist in objects and are uninfluenced by people's consciousness; and understanding the interdependent relationship of variables is crucial for this paradigm (Panya & Nyarwath 2022).

Interpretivism, an ideology by Wilhelm Dilthey, argues that humans create meanings and are different from physical phenomena (Panya & Nyarwath 2022). Interpretivism incorporates human concern and views the social world as an emergent process (Siriwardhana, Kurukulaarachchi & Wesley 2021). Interpretivism is a qualitative research paradigm that uses participant observation and field research to explore cultural and historical interpretations of social phenomena. It critiques positivism and seeks to understand social science in context. It challenges the impartiality of natural and quantitative social scientists, revealing new societal realities (Pathak & Thapaliya 2022). Qualitative research, originating in Europe in the early 20th century, focuses on understanding social phenomena through language and shared meanings, particularly useful in human sciences research. Qualitative research involves data collection, analysis, interpretation, and report writing, often using constructivism or social constructivism (Panya & Nyarwath 2022).

The methodological perspective of pragmatism emerged from the writings of Herbert Mead, Charles Sanders Peirce, John Dewey, and William James, focusing on action and change. It permits scholars to give up constructivism and post positivism and opposes conventional philosophical dualism. Pragmatist researchers adopt mixed research approaches, combining quantitative and qualitative methods to understand research problems (Panya & Nyarwath 2022).

A paradigm, originating from the Greek word *paradeigma*, provides a model for examining problems and finding solutions, referring to a research culture with shared beliefs, values, and assumptions (Panya & Nyarwath 2022). The research paradigm consists of key components: researchers' philosophical perspectives, research area, methodology, and epistemology (Orabah & Bijani 2023). A paradigm is a framework used by educators and researchers to structure, design, and implement research, aiding in understanding the world and developing lesson objectives (Landi 2023). Three categories are used to distinguish between scientific paradigms: the social organisation of science, the puzzle-solving tools, and the entire reality view (Rabetino, Kohtamäki & Federico 2021). The research paradigm comprises ontology, epistemology, and methodology, which are established beliefs and assumptions within a research

community (Panya & Nyarwath 2022; Siriwardhana, Kurukulaarachchi & Wesley 2021). In social research, these concepts play a vital role in shaping the approach, model strategy, and pattern used to conduct research. Ontology focuses on the nature of reality, while epistemology focuses on knowledge acquisition and transmission (Siriwardhana, Kurukulaarachchi & Wesley 2021).

Research paradigm advocates argue that understanding research requires examining the philosophies underpinning it, encouraging academics to observe phenomena differently. However, the complex knowledge-creation process can be influenced by supervisors' philosophical approaches (Mkansi & Mkalipi 2023). Table 3.1 presents a summarised analysis of the three main research paradigms in relation to methodology, epistemology and ontology.

Table 3.1: Summarised analysis of the primary paradigms in research methodology, epistemology, and ontology

	Positivism	Interpretivism	Pragmatism
Ontology	The global true reality is the one that researchers fail to reject, and reality is objective, perceived, external, independent, and ordered.	Reality is a subjective, complex, and social construct influenced by culture and language, characterised by its social or experimental nature, locality, and specificity.	Presents reality as a complex, and external entity which reflects the practical outcomes of various ideas, emphasising the pluralist approach.
Epistemology	Knowledge is shaped by data and evidence, such as numerical measurements of observations, which must be examined, validated, and improved to maintain a measurable truth.	Mental structures, relative agreements, simplistic theories, narratives, stories, perceptions, interpretations, and new understandings, often involving collaboration and active participation from participants, shape knowledge.	The focus is on addressing problems through practical applied research, incorporating various perspectives to aid in data interpretation.
Research methods	The deductive approach utilises highly structured and large samples for measurement, utilising quantitative methods for analysis of a wide range of data.	The inductive approach involves small samples and in-depth investigations, employing qualitative methods for analysis, allowing for interpretation of a wide range of data.	The range of methods includes mixed, quantitative, multiple, qualitative, and action research.

(Source: Tharsika & Pratheepkanth 2022)

This study aimed to develop strategies for enhancing changes in the implementation of records and archives management programmes in Tanzania. The study explored the impact of inputs such as resources and records management frameworks on sustainable records management implementation, the effects of monitoring activities, evaluation tactics, and developing strategies for enhancing changes in records and archives management. The study adopted a research paradigm to align with the phenomenon, guiding data collection and analysis processes, and assisting in selecting appropriate methodologies and methods. The interpretative paradigm is optimally suited for the phenomenon studied due to its philosophical and methodological coherence, which also served as an ideological basis and improved the researcher's capacity for process reflection.

3.2.1 Ontological and epistemological assumptions

The study of ontology deals with reality, existence, and the social world, addressing questions about what can be known and the nature of reality (Ataro 2023). It is a philosophical study of existence and reality, focusing on philosophical assumptions and individual perceptions, examining the relationship between people, society, and the world (Lyaruu 2021; Panya & Nyarwath 2022). Ontology shapes research epistemology and method selection, with a researcher's ontological perspective – objective or subjective – impacting their understanding of reality, influencing whether social entities are seen as objective (objectivism) or socially constructed (constructionism) (Gannon, Taheri & Azer 2022). Objectivism (realism) involves the belief that matter exists independently and has pre-determined properties, while constructionism (idealism) assumes that reality is interconnected and constantly changing (Ernest, Marcellus, Abenwi & Ibrahima 2020; Landi 2023).

These assumptions posit that reality, or social entities, are either objective things that exist apart from social actors or constructs based on individual perceptions, actions, and interpretations within society (Ataro 2020). The assumptions influence how we think about the knowledge we seek to explore, making ontology crucial for understanding the world and its knowledge. Objectivism is a positivist paradigm, focusing on objective,

quantifiable knowledge. Interpretive researchers prefer constructionism, believing that reality is subjective and socially produced. Interpretivists hold that there is more than one right way to learn, and theories should be judged based on their relevance to the researcher (Ernest *et al* 2020). Table 3.2 summarises the ontological assumptions differentiating idealism and realism.

Table 3.2: Assumptions between idealism and realism

	<i>Idealism</i>	<i>Realism</i>
The entire reality view	Reality is a concept that cannot exist independently.	Reality exists independently.
Social organisation of science	No predetermined attributes exist.	Everything has inherent properties that are predetermined.
The puzzle-solving tools	Even the most rigorous methods cannot find 'natural truth', as it does not exist independently.	These qualities—the "natural truth"—can be found through meticulous procedures.

(Source: Grass, 2024; Landi 2023; Rabetino, Kohtamäki & Federico 2021)

Epistemology is the paradigm that addresses assumptions about knowledge and its nature. It is crucial in research, as the goal is to learn something new. An epistemological stance or position is formed by the assumptions, which are based on the interactions between the researcher, the researched, and the sensory experience (Landi, 2023). A research paradigm called epistemology examines how knowledge is acquired from a variety of sources, focusing on the nature of knowledge and its sources and limits. It defines the criteria for producing and arguing for knowledge and is objective and independent of the researcher values and interests. Epistemology is a manner of understanding the world and what its knowledge entails (Panya & Nyarwath 2022). These philosophical statements led to the rise of constructivism, subjectivism, and objectivism as philosophical stances (Lyaruu 2021).

Objectivist epistemology asserts reality exists independently of consciousness; is linked to positivist philosophical theory, and uses experimental methods, hypothesis testing, and phenomenalism (Lyaruu 2021). Constructionism, on the other hand, assumes

knowledge is produced through interactions between the researcher and the object. This stance differs from objectivism as knowledge is not out there to be found but is generated or built on prior knowledge (Landi 2023). Subjectivism asserts that knowledge is subjective and cannot be objectively tested, emphasising the individual subject's role in cognition (Lyaru 2021). Table 3.3 summarises the assumptions under each of the three epistemological positions.

Table 3.3: Epistemological positions and their assumptions

Subjectivism	Constructionism	Objectivism
The researcher's initial perception of knowledge is subjective.	Interaction between the researcher and the object generates knowledge.	There is knowledge that is objective and exists apart from the researcher.
Knowledge is always located within the subject, as perception is the first step.	The researcher actively creates the reality of the object being studied.	The object under study possesses natural knowledge and meaning.
Methods are subjective as they are primarily developed, chosen, and implemented by humans.	Researchers are always developing methods in connection with items, which results in a more comprehensive view.	The selection and arrangement of appropriate methods can facilitate the identification of 'natural' or 'true' knowledge or meaning.

(Source: Landi 2023)

Therefore, in doing research, social science researchers make philosophical assumptions, focusing on the subjective-objective dimensions, with the interpretivist approach and the positivist approach. Social science research's subjective-objective dimensions are influenced by four philosophical assumptions: methodology, human nature, ontology, and epistemology. These assumptions shape the methodology used in research, influencing the researcher's approach. The subjective aspect is anti-objectivist epistemologically and ontologically nominalist, and voluntarist, while the objective dimension combines determinism, objectivism, and realism as characteristics of ontological, epistemological, and human nature (Waziri 2023).

3.2.2 Interpretive paradigm

Interpretivism is an epistemology that emphasises understanding differences between humans in social roles. It implies that rather than studying objects, researchers should study people. The theatre metaphor implies that people interpret their own social roles

according to their own meanings and interpret other people's social roles according to their own interpretations (Saunders, Lewis & Thornhill 2019). This approach prioritises subjective meanings and societal interpretations of social events. Researchers need to cultivate empathy to accurately interpret the meanings associated with the activities and interactions of individuals and groups (Panya & Nyarwath 2022).

Interpretivism is a qualitative research methodology that uses participant observation and field research to explore cultural and historical interpretations of social phenomena (Pathak & Thapaliya 2022). It focuses on understanding social worlds and phenomena through language and shared meanings. It is a naturalistic or ethnographic approach, which aims to develop deeper comprehensions of social environments and circumstances. It involves data collection, analysis, interpretation, and report writing, often-using constructivism or social constructivism; qualitative researchers also embrace subjectivism, which encapsulates nominalism, which suggests that researchers and other social players construct social phenomena using words, conceptual frameworks, perceptions, and behaviours (Panya & Nyarwath 2022).

This study adopted an interpretive paradigm, which allowed obtaining comprehensive information about feelings and opinions of the respondents on how the initiatives taken during the implementation help to improve the recordkeeping processes (Shonhe & Grand 2018). This study assumed that the reality of the implementation of records and archives management programmes is not particular or objective. Interpretive paradigm focuses on participant sense-making and the socially constructed nature of knowledge. The paradigm highlights diverse participant experiences and social contexts (ontology) and is best analysed within a socio-historical framework, incorporating interpretations from various members (epistemology) (Gannon, Taheri & Azer 2022).

The interpretivist paradigm was utilised to analyse the interpretations and understanding of the phenomena by actors involved in records management programmes implementation. This approach enabled the collection of insights from participants based on their expertise and previous exposure, fostering a deeper understanding of their actions and behaviours (Linje 2022).

3.3 Research approach

Researchers opt to employ one of the three research methodologies – qualitative, quantitative, or mixed methods research approach (MMR) – when conducting studies. Quantitative research produces numerical data, enabling quantifiable analysis, whereas qualitative research yields non-quantifiable insights through open-ended questions, facilitating contextual understanding (Asenahabi 2019; Creswell & Creswell 2018). Quantitative research emphasises breadth, while qualitative research delves deeper into narratives to explore complexities of a problem (Dewi 2021). Qualitative research studies human interactions, perspectives, and lives, analysing structures, dynamics, variables, and procedures that influence social interactions while considering context (Costa, Randez, Cinaglia & Montgomery 2022). Qualitative research offers advantages over quantitative methods in understanding motivations, social meaning, and development of phenomena (Cheong, Lyons, Houghton & Majumdar 2023). Table 3.4 summarises the distinctions between methods used in qualitative and quantitative research.

Table 3.4: Distinctions between qualitative and quantitative methods

Orientation	Quantitative	Qualitative
Belief regarding the universe (Ontology)	An instrument can measure a single reality.	There are multiple realities.
Research purpose	The task involves establishing connections between the measured variables.	This involves examining a social situation from the perspectives of the participants involved.
Research methods and processes	The study procedure is established before commencing, and before any research can begin, a hypothesis that is deductive in nature must be developed.	This research method is flexible, changing, and inductive, requiring no hypothesis to begin, as design emerges from data collection.
Role of the researcher	The researcher ought to be an impartial observer who does not take part in or have any influence over the investigation.	The researchers totally immerse themselves in the research and social environment by actively participating in it.
Generalisability	Universal generalisations free of context; concepts can be applied to various situations without any specific context.	Provides detailed context-based generalisations.

Source: Panya & Nyarwath 2022

The qualitative research approach is adopted when a researcher intends to investigate and comprehend the way individuals and groups perceive social issues (Creswell & Creswell 2018). The quantitative research is an approach for analysing the existing relationship between variables through data organised in numbers as attempts to test objective theories; while mixed methods research (MMR) is adopted when the enquiry is intending to collect both quantitative and qualitative data (Creswell & Creswell 2018).

This study was exploratory research utilising a qualitative research approach for inquiry. According to Leavy (2017), exploratory research is a method for learning more about a topic that is new or relatively understudied or approaches the subject from a different angle to generate novel insights. Ernest *et al* (2020) posit that an exploratory case study is a preliminary research project that seeks to understand an unknown phenomenon and establishes the necessity for further investigation. Shonhe and Grand (2018) argue that the exploratory study makes it possible to get comprehensive information about respondents' feelings and opinions about how the initiatives taken during the implementation help to improve the processes for keeping records. Similarly, Lyaruu (2021) observes that the qualitative research approach uses inductive inquiry and data collection in participants' settings, exploring aspects of life, behaviour, organisation, and relationship shaping. The approach often begins with observation and inductive analysis based on themes.

Linje (2022) employed this method to get a thorough comprehension of the laws governing councillors and the processes and practices in policy/decision making at Nzega District Council and Shinyanga Municipality. According to Linje (2022), the qualitative approach is suitable, as it does not involve measurements or large participant groups; instead, the researcher uses participants' words, images, or non-numerical concepts to address what, how, and why questions. Similarly, Lyaruu (2021) utilised this approach to investigate the integration of records management within the Tanzania Extractive Industries Transparency Initiative (TEITI). According to Lyaruu (2022), the qualitative approach is suitable for situations where data are unavailable, theories are not well established, or understanding relationships between constructs is important. Moreover, the approach is suitable for new interests or subjects with little

known information. The descriptive nature of the approach helps to identify the breadth and depth of issues addressed and potential relationships between constructs, providing more insights into the problem under review.

Shonhe and Grand (2018) used qualitative approach to investigate the initiatives taken by Botswana's Land Boards to enhance their records management programmes for better service delivery. The researchers conducted an exploratory study at Tlokweng Land Board (TLB) using an interpretive paradigm to gather insights on recordkeeping improvements. They used qualitative methods such as one-on-one interviews, focus group interviews, observation, document review, and open-ended questionnaires. Purposive sampling was used to select 53 employees with specific roles in records management. They used thematic analysis to analyse qualitative data.

However, Linje (2022) warns that, in qualitative approach, researchers must possess high skills in data collection, analysis, interpretation, and conclusion to ensure reliability of findings. They must read extensively to understand research methodology and methods. Qualitative researchers study phenomena in natural settings, interpreting phenomena based on people's meanings. Using multiple methods helps to understand participants' views, experiences, and challenges in the implementation of records management programmes.

3.4 Research design

Ernest *et al* (2020) insist that study designs that are qualitative, including case studies, grounded theory, phenomenology, ethnography, and historical research, are the primary methods used in research. Costa *et al* (2022) avow that case studies investigate specific phenomena within a specific social context. Researchers can focus on a single case or multiple cases, often including only a few participants because of the in-depth attention to personal experiences. This approach aims for depth as opposed to breadth of analysis. Research design, as defined by Asenahabi (2019) and Indu and Vidhukumar (2020), is a systematic method to explore scientific problems, categorised into qualitative, quantitative, or mixed methods. It is crucial for effective analysis,

detailing necessary data collection and analytical methods. Poor research design may lead to weak conclusions. A solid design integrates a strategy for data interpretation, providing valuable insights and recommendations.

This study employed an in-depth case study while focusing on six (6) selected public organisations in Tanzania, which are required to implement the records management programmes. The case study involves an in-depth investigation of a specific case, which may be a community, organisation, or an individual, over a prolonged period in one or more real-world settings (Asenahabi 2019; Creswell & Creswell 2018).

Lyaruu (2021) used a qualitative research methodology with a case study design to gather data on Tanzania Extractive Industries Transparency Initiative (TEITI) and its incorporation of records management. The research included the Tanzania Extractive Industries Committee, TEITI Secretariat, and PO-RAMD. Linje (2022) used the design to understand and build on the existing councillors' approaches in the digital era, focusing on Nzega and Shinyanga Municipal Councils. The author used a case study design, focusing on what, how, and why questions to examine the realities of the phenomenon under study. This study used a case study design focusing on what, how, and why questions, to explore the strategies for effective implementation of records management programmes in Tanzania.

As observed by Grass (2024), qualitative case studies have limitations due to their epistemology, ontology, and methodology. Richness, parsimony, and case selection are common trade-offs. They also struggle with generalisations and frequency judgments. However, these limitations can be mitigated by incorporating flexibility into the logic of qualitative research. This study incorporated flexibility by employing diverse methods including interviews, focus group discussions and document analysis. Grass (2024) argues that this methodological diversity presents opportunities for cross-validation (triangulation).

3.4.1 Population of the study

The totality of cases and observations, to which a debate is attached, is referred to as the population (Ernest *et al* 2020). Thus, a study population is a group of people who

make up the sample (Babbie 2016; Pandey & Pandey 2015). In this study, the population comprised actors of records and archives management programmes from six (6) selected public organisations. The study selected one ministry – the Ministry of Finance – to represent central government entities; one semi-autonomous agency – the Public Service Social Security Fund – to represent parastatal organisations; three Local Government Authorities – Dodoma City Council (representing city councils), Tabora Municipal Council (representing municipalities), and Manyoni District Council (representing rural local government authorities) – where records management activities are still at lower levels of maturity. Lastly, the study included the PO-RAMD as the overseer of records management activities across government entities. As this is a purely qualitative study employing a case study research design to investigate the what, how, and why questions, the researcher targeted only informants with relevant experience who were willing to participate, thereby ensuring the collection of targeted information.

3.4.2 Sampling procedures

The quality of research is not solely determined by the appropriateness of the methodology but also by the appropriateness of the agreed-upon sampling strategy (Orabah & Bijani 2023). The process of selecting a small group of individual cases from a larger population to be studied is referred to as sampling (Leavy 2017). A sample is a subset of cases chosen for study from a defined population (Yegidis, Weinbach & Myers 2018). Choosing what to observe and what not to observe is an essential part of social research (Babbie 2016; Brynard, Hanekom & Brynard 2016; Pandey & Pandey 2015).

3.4.2.1 Sampling techniques

Techniques for sampling fall into two broad categories: non-probability sampling in addition to probability sampling (Stratton 2023). Probability sampling, which includes stratified random sampling, cluster sampling, simple random sampling, and systematic random sampling, differs from non-probability sampling methods such as snowball, convenience, purposive, and quota sampling (Babbie 2016; Stratton 2023). In this investigation, the researcher employed the purposive (deliberate) sampling technique.

The researcher selected the participants based on their expertise and prior exposure to the issue (Lyaruu 2021).

In qualitative research, participant selection should align with the study's overarching aims from an ontological, epistemological, and axiological perspective (Stratton 2023). A small, purposively selected sample enhances understanding depth, focusing on quality rather than quantity (Memon, Thurasamy, Ting & Cheah 2025). Purposive sampling identifies respondents likely to provide useful information and ensures that specific cases relevant to the research questions are included, based on the premise that certain individuals possess valuable insights necessary for the study (Campbell, Greenwood, Prior, Shearer, Walkem, Young, Bywaters & Walker 2020; Memon *et al* 2025).

Shonhe and Grand (2018) utilised purposive sampling to gather data from 53 employees, focusing on employees with specific responsibilities in records management programmes implementation. As observed by Lyaruu (2021), a purposive sampling strategy allows researchers to select units based on their knowledge and experience, unlike probability sampling.

3.4.2.2 Sample size

Ganesha and Aithal (2022) posit that the selection of appropriate sample size for a research study depends on various factors such as the research question type, philosophical paradigm, research approach, available time, data collection method, resources, time frame, and chosen sampling technique. De Vos, Strydom, Fouche and Delport (2011) argue that the sample size in qualitative research is not determined statistically, but it is determined by the purpose of the enquiry, what is useful and credible, or what the researcher wants to know.

The selection of participants in qualitative studies depends on the researcher's goals and study type. Smaller samples provide richer explanations but may not be representative. Larger samples allow for intensive information gathering. Data collection should stop when saturation occurs, where the researcher collects similar information

without new insights (Linje 2022). Qualitative approach uses two principles to choose the sample size for a multiple case study: replication and theoretical saturation. Replication involves using a theoretical framework to study the first case in depth and examine the other cases successively to determine if patterns are consistent. Theoretical saturation believes that the addition of fresh information does not improve comprehension of the phenomenon under study (Ernest *et al* 2020).

This study employed purposive sampling to choose 27 participants (12 participants for interviews and 15 participants for focus group discussions) from employees with positions and responsibilities in the implementation of records management programmes. Participants were selected from six public organisations: one from the City Council of Dodoma, two from Tabora Municipal Council, three from Manyoni District Council, eight from PO-RAMD, nine from the Ministry of Finance, and four from the Public Service Social Security Fund. The participants included Directors, Archivists and Records Management Officers from PO-RAMD, Records Management Officers, Records Management Assistants, and Office Supervisors from the selected public organisations. Only those who consented to participate were included. The recommendation was to stop data collection when it reached saturation stage, where the researcher repeatedly collected similar information without acquiring new insights from the participants.

3.4.3 Data collection instruments

Sukmawati, Sudarmin and Salmia (2023) explain that data collection methods and tools are research techniques used to gather quantitative or qualitative data for answering questions or testing hypotheses in qualitative or quantitative research. Dewi (2021) clarifies that data collection methods include archival documentation, structured, semi-structured, or unstructured interviews, surveys, focus group discussions, observation, and participatory arrangements. Researchers typically employ multiple methods to leverage the strengths of one to offset the weaknesses of another, ensuring a comprehensive approach to gathering data relevant to their research context. Sukmawati, Sudarmin and Salmia (2023) posit further that the investigation process

relies heavily on data collection techniques, which are crucial for obtaining valid and trustworthy information. Ganesha and Aithal (2022) pronounce that selecting a tool for gathering data and examining its validity, calibration, and dependability is crucial for Ph.D. scholars, as it determines the quality of data collected and the method used.

Ernest *et al* (2020) posit that an interview guide is a useful tool for conducting interviews, while a focus group discussion guide is for gathering narrative data from a group of similar individuals. While an observation checklist is used to record participant conduct, a documentary analysis guide outlines a methodical process for examining pre-existing materials to address certain research objectives. Costa *et al* (2022) admit that researchers face challenges in selecting data collection tools and ensuring analytical methods align with the theoretical framework. The selection of methods depends on the data needed and access, such as participant consent. Interviews, documentary reviews and focus group discussion were used by this study to collect qualitative data.

3.4.3.1 Interviews

According to Sukmawati, Sudarmin and Salmia (2023), interviews involve personal questions and answers conducted by an interviewer to gather necessary information. They involve debriefing, fostering communication, and shared meaning on a specific topic, thereby enhancing understanding. According to Yin (2018), this is one of the most significant sources of case study evidence. It is possible to conduct interviews over the phone or in person (face-to-face). Dewi (2021) adds that in qualitative interviews, researchers engage participants through face-to-face or telephone interviews or in focus groups with six to eight participants. These interviews typically feature a few unstructured, open-ended questions, aiming to gather participants' views and opinions. Khuzaiyah, Mumin, McKenna and Hashim (2023) identify four interview formats: face-to-face (in-person), group, phone, and online/email. Chat rooms, discussion boards, video conferencing, email, instant messaging, and other online communication tools can be used to set up virtual focus groups and semi-structured online interviews. Participants must understand interview protocols and obtain consent.

Cheong *et al* (2023) explain that qualitative research of interviews aims to facilitate knowledge co-production by incorporating respondents' perspectives and interpretations directly into research outcomes. As observed by Sukmawati, Sudarmin and Salmia (2023), co-production between researchers and participants occurs during field interviews, where the participation and presence of the interviewer in listening, engaging, encouraging, interrupting, deviating, initiating, and finishing responses are integral to the respondent's story, as they express subjective meanings and contribute to the conversational process. Khuzaiyah *et al* (2023) add that researchers can use this instrument to gather data by probing deeper into participants' experiences, perspectives, and opinions, despite having prepared questions or topics. Allen, Karanja, Tlhajoane, Tlhakenelo, Macleod and Bastawrous (2025) vow that face-to-face interviews are considered the most effective for collecting detailed phenomenological data because they allow for observation of visual cues and building rapport; while telephone interviews offer advantages such as increased social distance for discussing sensitive topics, removal of travel and safety issues, decreased visible power dynamics, and possible cost savings depending on the study's design and population.

This study preferred to use a face-to-face oral conversation between the researcher and the 12 selected key informants (actors in the implementation of records and archives management programmes). Qualitative studies use semi-structured interviews for data collection, providing deep understanding of the experiences, beliefs, and viewpoints of the topics through predetermined questions and follow-up discussions, allowing exploration and flexibility in inquiry (Khuzaiyah *et al* 2023). The interviewer used open-ended questions (*see Annexe I*) to gather information, while adhering to interview standards to ensure voluntary participation, participant access, power balance, open discussions, confidentiality, and avoidance of self-preconception influence. The researcher considered participant interview statements, consent forms, and interview protocols to achieve research goals (Okhawere & Isibor 2021).

As tabled by Okhawere and Isibor (2021), the researcher of this study considered the following interview protocol:

- A. *Preparing for the interview:* The researcher had to set up a convenient time and location for the interview, supply a consent form, and guarantee a quiet environment and a working recording device with enough battery life.
- B. *Prior to the interview:* The researcher expressed gratitude to the individual for deciding to take part. The researcher informed the participant that the interview is scheduled to begin at a certain time and that it was to be recorded. The researcher verified that the participant had enough time. The researcher reiterated that the interview would be kept confidential and that fictitious names would be used. The researcher let the participant know that they could request to have the recording altered or stopped. Additionally, the participant was informed when the interviewer ended and resumed recording. Interviewees were informed that notes were taken throughout the session. The researcher reinterpreted that the participant might choose not to participate at any point up until the thesis's final draft, and they might choose not to answer any questions or remove any information they might have provided during the interview. The researcher had to confirm the participant's comfort and ask if they had any questions. Before beginning the interview, the researcher requested that the participant sign the consent form.
- C. *After the interview:* Once more, the interviewer thanked the participants for choosing to take part in the interview and for their time. The interviewer inquired if the participant had any questions, and assured them that confidentiality and privacy would be maintained and inquired if the participant may be reached later if there would be any more questions. The interviewer made sure the entire interview was recorded on tape, tested the recorder shortly after the session, and noted down the observations regarding the interview and filled in any blanks in the interview.

Thorough planning is necessary for individual-based qualitative research to guarantee effective data gathering. While controlling potential interruptions is impossible, proactively addressing disruptions and identifying alternative activities can help. The

goal is not pessimism but ensuring the study's progress remains as planned (Khuzaiyah *et al* 2023).

3.4.3.2 Focus group discussions

A focus group, also known as a group interview, enables the researcher or interviewer to ask a series of questions to several people simultaneously (Babbie 2016). Focus group discussion offers a significant advantage in that detailed information, descriptions, and examples can be gathered while considering participants' concerns and language (Leavy 2017). In a focus group, five to 15 individuals are gathered in a private, comfortable setting to participate in a guided discussion of the subject (Babbie 2016). This study intended to utilise the advantages of this instrument by conducting two focus group discussions involving at least six participants for each group, as determined by the researcher from among the six targeted public organisations, depending on the consent by the participants themselves. The researcher involved a total of 15 participants in two focus group discussions: six participants (Archivists and Records Management Officers) from PO-RAMD, and nine participants (Office Supervisor, Records Management Officers and Records Management Assistants) from the Ministry of Finance.

Focus groups offer cost-effectiveness compared to depth interviews and are particularly effective for socially significant or spontaneous issues (Ernest *et al* 2020). Focus groups are a cost-effective, practical method for gathering information in various fields, either in person or online, allowing for virtual interaction and communication. The methodological strategy encourages reflection and discussion on a theme, enabling group interaction. It identifies analytical perspectives and explores factual expression through diverse group responses. It is possible to hold group sessions in any setting that encourages social interaction, privacy, and hospitality. However, the internet's growing usage has led to the use of virtual data collection in research, demonstrating the ease of dissemination through user networks (Alves, Braga, Souza, Pereira, Mendonça, Oliveira, Costa & Sousa 2023).

Focus group discussions (FGDs) offer authentic environments, group interaction, and synergy for participants. They are preferred for limited data collection opportunities and are used to collect high-quality data in social contexts. However, proper definition and understanding are crucial (Tümen-Akyıldız & Ahmed 2021). Focus group discussions are a method of data collection that involves two-way communication between participants to understand concepts and issues. Originating in the 1940s, these semi-structured interviews aim to increase participation and draw on participants' experiences and expertise (Yayeh 2021). When conducting focus group discussions (FGDs), researchers should follow certain guidelines. The moderator should listen to participants, ask general questions, and make them feel confident. They should also be sympathetic and avoid asking yes-no questions, dismissing opinions, or denying them. Respectful communication is essential to ensure everyone expresses his or her perspectives. Additionally, shaking the head or raising eyebrows is not allowed (Tümen-Akyıldız & Ahmed 2021).

Focus group discussions are designed and implemented using a set of steps. These include selecting a team to facilitate, identifying groups and participants, deciding on the timing and location, developing a set of questions or discussion guide (see *Annexe II*), conducting and recording discussions, and analysing the data. At least two people from similar backgrounds, allowing for open and respectful discussions, should conduct the discussion. The data should be analysed in two stages to identify key themes and common trends (Yayeh 2021). For administering focus group discussions, the researchers gather participants to discuss a common topic. The moderator initiates the debate, and participants with experience in the target topic are selected. The group typically lasts one to two hours, and data collection involves note-taking, recording, preparing, and storing information for analysis (Tümen-Akyıldız & Ahmed 2021).

The logistics of focus group discussions are a crucial aspect of the field, as highlighted by Yayeh (2021) and Tümen-Akyıldız and Ahmed (2021). These include the following:

- a. *Time*: Focus group discussions should be 1-2 hours long, based on topic complexity, questions, and participants. Younger participants may experience

- fatigue due to shorter attention spans, as they may lose focus and interest quickly.
- b. *The number of panellists:* Focus group discussions, varying in size from four to six, are used to generate data, test theoretical ideas, and compare research topics based on complexity and type.
 - c. *The equipment utilised during discussion:* Focus group discussions use various equipment, including tape recorders, microphones, and quiet rooms, as well as props such as flashcards and leaflets, photocopier access, paper sheets, scissors, and tape or glue.
 - d. *Moderator (facilitator):* Focus group discussions involve a facilitator and assistant, with the moderator guiding, observing, documenting, and raising issues to ensure quality results, while the assistant observes non-verbal interactions.
 - e. *Note-taker roles:* The assistant moderator must accurately record focus group discussions using note-taking and audio/video recordings, ensuring neutrality and confidentiality to avoid surprises or worry among participants.

During the focus group session, the researcher followed the commonly used steps, which include a succinct introduction and explanation of the goal of the study that preceded the discussion, guaranteeing confidentiality to all participants and requesting them to honour one another's viewpoints. In addition, the participants were encouraged to share their opinions and were informed that there was no correct or incorrect answer. Then, the discussions during focus group interviews were held while participants were seated around a table in a circle. The moderator facilitated the focus group discussion and employed the audio recorder as a tool for audio recording. The moderator applied the prearranged list of inquiries and recorded the participant responses for every question. Pareek, Waingankar and Tawade (2023) applied these steps to conduct two focus group discussions in their study about accredited social health activists' perceptions and knowledge of breastfeeding and supplemental feeding techniques.

3.4.3.3 Documentary reviews

One data collection technique for qualitative research is document analysis which interprets documents to provide meaning and context around an assessment topic. Like transcripts from focus groups or interviews, it entails categorising content into themes. Sources include public records, personal documents, and physical evidence (Ernest *et al* 2020). If the researcher is doing exploratory research on a topic that is under-researched, the researcher might still be able to find a lot of related literature that will help to plan the project and then place it in the context of the larger research landscape (Leavy 2017). The researcher may collect qualitative internal publications from participants intended for researchers, which include relevant and available published data on the observed topic (Dewi 2021).

The increasing use of secondary data, including documentary review, in research offers numerous benefits, including saving time, internet accessibility, cost reduction, and broadening research focus. It can reduce respondent burden and provide a detachment that primary studies may struggle with. It also minimises stress for interviewees and interviewers, aligning with the ethical obligation of reducing harm (Cheong *et al* 2023). Therefore, the implementation of records and archives management programmes from various parts of the world, including Tanzania, was examined through documentary review. For analysis, this study utilised documentary review such as Records and Archives Management Act No. 3 of 2002, the National Records and Archives Management Policy of 2011 and the Registry Procedures Manual of 2007. These sources helped to reveal the situational analysis and the responsibilities for public records and archives in Tanzania.

Document analysis has limitations, including insufficient detail, poor retrievability, blocked accessibility, and biased selectivity (Kutsyuruba 2023). Context influences interpretation, suggesting meanings are not independent but subject to various interpretations. To address these limitations, the researcher combined document analysis with qualitative methods like interviews and focus group discussions to enhance the study's credibility and comprehensiveness.

3.4.4 Trustworthiness of data

Qualitative researchers assess project quality, methodology rigour, and confidence in findings among readers, ensuring trustworthiness and credibility of data and interpretation (Leavy 2017). In the early 1980s, scholars critiqued the application of quantitative standards to qualitative research, proposing "trustworthiness" as a suitable measure of rigour (Mayan 2023). Trustworthiness in qualitative research depends on transparency, which is crucial for credibility (Adler 2022). The quality of qualitative research studies can be assessed using several criteria, including the method used, the assumptions used, and the measures taken to prevent subjective ratings. To maintain these criteria, strategies such as member checks, thick description, and triangulation are recommended, as well as the use of a reflexive journal to enhance the research process (Mayan 2023). Other criteria include sufficient evidence in raw data, clear and explicit questions, the linkage with previous studies, all evidence presented, availability of raw data for other researchers, quality check methods, benefits for participants, and the holistic nature of the study (Djafar, Yunus, Pomalato & Rasid 2021). These criteria apply across various paradigms and weights, ensuring that the research is well researched, accurate, and contributes to the understanding of the phenomenon under study. Researchers should also ensure that their findings are clear, answer questions clearly, and are linked to the larger context of the study (Djafar *et al* 2021). This study employed the following tactics in addition to the researcher's role (discussed in section 3.4.5).

3.4.4.1 Data triangulation

Triangulation is a research method that uses multiple data sources to validate and enhance understanding of a phenomenon, aiming to minimise biases and increase the study's generalisability (Donkoh & Mensah 2023). This study employed interviews, focus groups, and documentary reviews to study the strategies for enhancing changes on the implementation of records management programmes. Data collected through interviews was validated by triangulating it with information obtained from focus group discussions and document analysis. In the study of social phenomena, triangulation entails examining a single point from various independent sources (Donkoh & Mensah

2023). Triangulation assists with countering dangers to reliability, such as reactivity and bias from both the researcher and respondents (Lyaruu 2021).

3.4.4.2 Purposive sampling

Purposive sampling is used to better align the sample with the research goals and objectives, increasing the study's rigour and the trustworthiness of the data and results (Campbell, et al. 2020; Memon *et al* 2025). The researcher in this study ensured that only the right participants and respondents were engaged in data collection to obtain precise information. Researchers are encouraged to consider replicating their findings with the help of purposeful sampling of units based on their experiences (Lyaruu 2021).

3.4.4.3 Using structured codebook

Codebooks may be used in the qualitative study to sort, organise, and create useful schemas for understanding the data (Lyaruu 2021). Researchers are bound to gain more credibility if they start with a codebook, but they may gain greater representativeness if they wait and create the field-tested codebook (Franklin, Cody & Ballan 2019). This study had to wait and create the field-tested codebook, and then continued to modify it during data interpretation and analysis by using the Atlas.ti (version 24.1.1.30813) software. The researcher used Atlas.ti software to read and re-read the data, look for recurring patterns, ideas, or concepts, consider relationships between codes, review codes for similarities and differences, create code groups in ATLAS.ti 24, and develop a hierarchical structure of codes and themes. Finally, the themes were networked to determine their relationship.

3.4.4.4 Peer debriefing

According to Francois, Sisler and Mowat (2018) and Sahlan (2025), peer debriefing involves finding an individual to review and question a qualitative study, allowing the account to be comprehensible to an audience beyond the researcher. This process fosters reflection on weaknesses, boosts satisfaction, and promotes open communication among peers, thereby facilitating peer-assisted learning. In this study,

peer de-briefers from Mzumbe University and PO-RAMD participated as experienced practitioners of records and archives management.

3.4.5 Role of the researcher

According to Landi (2023), the role of the researcher refers to the position of the researcher and his/her assessment of epistemology and ontology, and the ability to navigate ethical situations during the research process. Unlike in quantitative studies, where adherence to scientific principles is assumed, qualitative researchers are the primary instruments of their research, making trust in them essential. Without this trust, research validity can be questioned (Adler 2022). As the primary tool in qualitative inquiry, the researcher navigates ontological and epistemological assumptions, affecting ethics and ethical situations. The roles range from 'insider' to 'outsider' depending on philosophical assumptions. Zhu, Rahmanita, Asmaniati, Oesman and Rachman (2022) explain that an insider is a native researcher with shared cultural beliefs and experiences, while an outsider is directed towards outside observers with exotic social backgrounds who may need to use surrogates, clientele, or agents. Leckie (2008) and Lyaruu (2021) emphasise the need for researchers to reflect on their roles and relationships with study participants, considering epistemological assumptions, theoretical frameworks, and personal values. This includes considering how researchers' position themselves and participants. The roles are categorised into tacit roles and interactionist roles.

3.4.5.1 Tacit roles

This study's researcher fulfilled tacit roles as an expert, informed ideas person, research administrator, manager, and research ethicist, ensuring research followed the established guidelines (Leckie 2008). When acting as experts, researchers should clearly communicate their worldviews and the ways they influenced their research while presenting findings. This can be done through a brief description in a methods section or by being vocal during presentation (Patel 2020). The researchers play a crucial role in conceptualising a study, proposing a coherent project with clear research questions. Their duties include staying current with academic writing, identifying issues for further

investigation, understanding qualitative research parameters, managing the project successfully, adhering to strategic and moral norms, securing funding, and ensuring the research contributes significantly to the field and society (Leckie 2008). Thus, the researcher in this study continued to play the role of an expert (a person of ideas) throughout the study.

The researcher served as a research administrator and manager, ensuring the project's success by preparing instruments, organising transportation, purchasing equipment, and completing paperwork. The researcher made decisions about research location, timing, participant access, and data analysis. The researcher's role was crucial to avoid issues such as drifting from study objectives, errors in procedure, or ethical violations, which could negatively affect the study's credibility (Leckie 2008).

The researcher acted as a research ethicist, ensuring participant protection, understanding ethical issues, and following approved protocols from relevant institutions throughout the research process (Leckie 2008). Researchers conducting research involving human subjects need to consider ethical issues at every turn, including before, during, and after data collection, analysis, and dissemination. They should be aware of Ethical Review Board applications, procedures, and required documents, including project details, safeguards, protocols, and interview guides. They should also be familiar with risk classifications and preventive measures to avoid ethical concerns (Patel 2020). The researcher considered authorship and investigator roles to avoid ethical issues during dissemination and acknowledge borrowed content (Patel 2020).

3.4.5.2 Interactionist roles

Leckie (2008) asserts that the researcher's roles are intertwined with their interactions with study participants and their own reflections on these interactions. The researcher took on the roles of an outside observer and a reflexive researcher in this study. According to Khuzaiyah *et al* (2023), reflexivity is a self-awareness approach that involves active engagement in the study process, providing candid explanations and articulating one's stance, and examining how subjectivity and context affect research procedures. During focus group discussions, the researcher assumed the role of

moderator by assisting participants in establishing rapport and producing rich data (Babbie 2016). During interviews, the researcher played an outside viewer (more of an objective viewer) by asking probing questions, then listening, reflecting on, and then asking more insightful questions to move the conversation along (Lyaruu 2021).

3.4.6 Data analysis and interpretation

Grass (2024) avers that data collection is crucial in interview research design, involving both overt and latent content analysis. Overt content can be analysed for recurring themes, issues, and relationships. Qualitative content analysis, using software like NVIVO or Atlas.ti, helps researchers understand the world as respondents recount it. Latent content is information not directly articulated, serving as metadata. It is important for researchers to be cautious while collecting "hidden" data because some subjects might be kept secret on purpose. According to Ernest *et al* (2020) qualitative data can be analysed manually or using computer software, but manual analysis is the most accurate due to its focus on non-verbal communication.

Qualitative research outlines the process of analysing text and image data, focusing on specific aspects and aggregating them into themes for a comprehensive understanding, unlike quantitative research, which preserves all data and reconstructs missing information (Creswell & Creswell 2018). Thus, finding themes and patterns in a dataset is possible using thematic analysis, which can be divided into theoretical and thematic coding. The former is used to develop grounded theories, while the latter transforms data into categories and themes. The goal is to generate thematic domains (Ngulube 2015).

This study evaluated the qualitative data using thematic analysis. Shonhe and Grand (2018) also used this technique to learn the initiatives Botswana Land Boards have taken to improve service delivery. Thematic analysis is a popular method for analysing qualitative data, but it lacks a distinct heritage or techniques. It can be applied in various approaches such as qualitative content analysis, critical discourse analysis, narrative analysis, and grounded theory. The theme can be a code or a group of codes (Bryman 2012). Thematic analysis examines the meanings within a large data set by grouping it

based on similarities or themes, aiding researchers in understanding and deriving meaning (Ernest *et al* 2020). A theme is a group that has been discovered through data and is based on codes found in transcripts or field notes. It is related to the research subject and provides a theoretical understanding of the data (Bryman 2012).

The analysis process involves several steps, such as identifying and creating categories, collating codes, creating sub-categories, and using themes to explain data relationships and building theory (Ngulube 2015). Data analysis and interpretation are crucial processes for understanding and interpreting data. They involve summarising and organising data, finding meaning, and making sense of it. The process can be recursive, with phases including data preparation, initial immersion, coding, categorising, and interpretation. Understanding these phases is essential for gaining valuable insights (Leavy 2017). This study used the following procedures to analyse data from focus groups and interviews:

- a. Familiarisation of the data: Thematic analysis resulted in word-processed texts. The researcher needed to read and re-read complex and non-standardised texts to understand emerging themes and identify differences and similarities, with the aim of gaining the underlining meaning.
- b. Grouping/categorising the texts: The process involved categorising data, identifying meanings, condensing findings, fitting relationships, and conducting literature reviews, and comparing notes to participants' ideas to assess consistency and quality.
- c. Coding the grouped texts: The researcher used responses to the research questions to code the grouped texts and determine the main themes. The researcher matched responses to grouped texts, labelling them as codes. The researcher used the codes to express the findings of the analysis.
- d. The analysis of documentary data: The researcher utilised thematic analysis to analyse documentary data. The researcher chose documents that contained details pertaining to the objectives of the study, extracted relevant information, and organised it into themes, quotations, and discussion notes, enabling data analysis and discussion.

- e. The analysis and interpretation: The researcher used computer software (Atlas.ti 24) to analyse data from various sources, including documents, focus group discussions, and interviews.

The researcher employed Atlas.ti 24 software to analyse the data by identifying recurring patterns and concepts, assessing relationships among codes, and refining codes to highlight similarities and differences. During the data analysis process utilising Atlas.ti, 27 transcripts (comprising 15 from focus group discussions and 12 from interviews) were coded through inductive coding, which entailed simultaneous coding and analysis of the data. This process yielded a total of 261 codes, organised into 61 code groups. This led to the identification of 22 themes (memos) that aligned with the study's objectives. The themes identified include allocation of adequate resources, clear programme objectives, continuous training, determining programme's desired results, effects of registry structure, effects of the actions taken by top management, efforts by PO-RAMD in fostering supportive environment, general recommendations, inputs required, legal framework, mechanisms for resources availability, monitoring and evaluation, outreach programmes, placement within agency's organisation structure, regular interval evaluation and monitoring, review of policies, laws and guidelines, setting the targets, staffing, strategies for continuous assessment, sustainable records management programme, top management support, and well defined responsibilities and authorities.

Atlas.ti proved beneficial to this study because of its capability to consolidate comparable codes across multiple documents, thereby supporting integrative results and enabling triangulation (Matangira 2016). The researcher compared and interpreted the data, and produced a report, illustrating strategies for effective records management. The researcher drew conclusions based on uniformities, relationships, and meaning (Leavy 2017; Linje 2022).

3.5 Ethical considerations

Ethics is a moral system that guides individuals in determining right or wrong actions, and it is crucial for researchers to take ethics seriously (Orabah & Bijani 2023). Key

ethical considerations include data management, responsible resource use, respect for human rights, treatment of subjects, social responsibility, honesty, integrity, and research dissemination (Miteu 2024). Research ethics aim to hold researchers accountable, build public support, promote moral and social values such as respect, fairness, responsibility, human rights, and law compliance (Linje 2022). Researchers must keep ethical considerations in mind when studying human subjects, as powerful individuals may prefer not to disclose information, and less strong actors can be afraid of the consequences (Grass 2024). Ethical considerations are considered from the beginning when the researcher chooses a subject for research because the topic selection is guided by values, an understanding of the issues that require investigation, and the potential impact of the investigation (Leavy 2017). The interpretive paradigm emphasises ethics by incorporating participants' values and personal views, often addressing sensitive matters (Orabah & Bijani 2023). This study considered the following issues.

3.5.1 Voluntary participation

Orabah and Bijani (2023) posit that, for an interview (including focus group discussion), the researcher should get in touch with the primarily opted participants, giving an explanation about the aims of the interview or focus group discussion and emphasising confidentiality, anonymity and the voluntary nature of the research. The researcher should involve only those who will consent. The researcher should write the consent form in a language that is understandable to the subject and reviewed by an individual from the sample population before use. Mirza, Bellalem and Mirza (2023) add that, before collecting data, researchers must get participants' voluntary informed consent. This includes a consent letter that details the goals, ethics, confidentiality, and anonymity of the study as well as the conditions of the researcher-participant agreement. As observed by Newman, Guta and Black (2021), for study subjects to participate ethically, they must provide informed consent, requiring them to be informed about all relevant aspects and potential risks. Debates exist on what constitutes adequate information, who can provide consent, and how consent should be obtained and assessed.

Newman, Guta and Black (2021) attribute that, conducting interviews or focus groups under private settings may require adjusting expectations. Researchers should expect interruptions and develop an exit plan, but participants should be encouraged to find a private area. Depending on the subject and the environment, focus group participants and others in the room should be alerted about potential disturbances. Many individuals lack access to private rooms, especially during job and wage loss.

In this study, the researcher informed participants that they were entitled not to participate or to withdraw at any time from this study. In addition, during data analysis, the researcher had to hide the participants' names to prevent the inclusion of identifiable information. This research used pseudonyms to protect participants' identities and privacy by replacing their real names with other names, ensuring anonymity even for the researcher, as suggested by Orabah and Bijani (2023). Confidentiality was maintained through anonymity, alphabetical codes for one-on-one interviews, and pseudo names (numerical codes) for focus group interviews, as it was used by Shonhe and Grand (2018) to maintain anonymity of participants in their study aimed to investigate the initiatives taken by Botswana's Land Boards to enhance their records management programmes for better service delivery. In addition, the respondents were informed that this research was required for the University of South Africa's Doctor of Philosophy (in Information Science) degree. Linje (2022) posits that interviews must be conducted in an agreed-upon time and place, with participants assured of confidentiality and privacy. The researcher must ensure no harm occurs to participants and should be sensitive to participants' emotions, allowing withdrawal if needed.

3.5.2 Plagiarism

According to Wajdi, Sumartana and Hudiananingsih (2018), plagiarism involves stealing ideas or methods from others without attribution, claiming them as self-creation. It can also occur from one's own work, known as self-plagiarism. Text recycling involves using a small portion of a published manuscript, while redundant or duplicate publication involves the majority. As put clearly by Pun (2021), the researcher in this study never permitted plagiarism: first, by paraphrasing and citing sources to present information in the researcher's own words; second, by summarising content while properly citing the

original source; third, by quoting exact texts with appropriate citation techniques; fourth, by citing the researcher's previous work to prevent self-plagiarism; fifth, by following established academic formatting styles, (*in this case a Havard style*), for proper citation; and sixth, by utilising plagiarism detection software (Turnitin) to aid in identifying potential issues. As recommended by Wajdi, Sumartana and Hudiananingsih (2018), the researcher used plagiarism software like "Plagiarism Checker" (Turnitin), which helped to check for plagiarism.

According to Pun (2021), information not regarded as common knowledge must always be cited to avoid plagiarism. This includes factual data sourced from specific researchers, which becomes their intellectual property. Proper acknowledgment of such information – like tables, graphics, or pictures – is essential to prevent plagiarism. Furthermore, Wajdi, Sumartana and Hudiananingsih (2018) add that ethical misconduct in scientific publications is commonly linked to data fabrication, multiple submissions, plagiarism, and authorship misuse.

3.5.3 Ethical clearance

Cheong *et al* (2023) affirm that, prior to data collection, scholars should consider ethical and legal aspects due to their moral obligation and the need to submit ethical approval applications to research institutions. In this case, the Research Ethics Committee of the Department of Information Science (UNISA) approved and provided clearance for the instruments for collecting data (such as guides for focus groups and interviews (see *Annexe III*). Additionally, the researcher requested for research permits from the sampled institutions (Ministry of Finance, Public Service Social Security Fund, PO-RAMD, The City Council of Dodoma, Tabora Municipal Council and Manyoni District Council) to comply with ethical requirements (see *Annexe V*), as Lyaruu (2021) used it to gather data on Tanzania Extractive Industries (TEITI) and its incorporation of records management. Lyaruu (2021) requested for research permit from the Tanzania Extractive Industries Committee, TEITI Secretariat, and PO-RAMD. Moreover, this study sought ethical clearance from the Tanzania Commission for Science and Technology (COSTECH), which is responsible for documenting research activities for

sustainable development in Tanzania, ensuring coordination, promotion, and prioritisation (see *Annexe IV*).

3.6 Summary

This chapter details the study's methods, strategies, philosophical perspectives, research paradigm, methodology, design, population, sampling methods, data collection techniques, analysis, and ethical considerations. A methodology is essential for high-quality field research, guiding aspects such as sampling, data collection, analysis, and findings presentation. The study aimed to create strategies for enhancing records and archives management in Tanzania. It examined how inputs such as resources and management frameworks influence the long-term implementation of records management, alongside the roles of monitoring activities and evaluation tactics in improving management programmes. An interpretative paradigm was adopted to align with the research phenomenon, focusing on qualitative inquiry through an in-depth case study of six public organisations. Purposive sampling was used to select 27 participants, with data collected through interviews, documentary reviews, and focus groups. Trustworthiness was ensured via data triangulation and rigorous analysis through thematic methods, while ethical considerations were maintained throughout the process. The findings from in-depth interviews, focus groups and document analysis are presented in the next chapter.

CHAPTER FOUR

PRESENTATION OF THE FINDINGS OF THE STUDY

4.1 Introduction

The purpose of this study was to develop strategies for enhancing changes in the implementation of records and archives management programmes in Tanzania and eventually develop a framework for those strategies. The previous chapter discussed the philosophical perspective, research paradigm, methodology, design, population, sampling methods, data collection techniques, analysis and ethical considerations of the study. As Kumar (2024) explains, research goes beyond problem-solving. It also involves effectively communicating the proposed solution to stakeholders. This chapter presents the results of the study, which were collected through focus groups, in-depth interviews, and document analysis.

4.2 Participants' profiles

Participants in this study were selected from six public organisations. The researcher selected one (1) from the City Council of Dodoma, two (2) from Tabora Municipal Council, three (3) from Manyoni District Council, eight (8) from PO-RAMD, nine (9) from the Ministry of Finance, and four (4) from the Public Service Social Security Fund. The researcher targeted only informants with relevant expertise who were willing to engage, so ensuring the collection of targeted information. The participants were selected purposively based on their positions and responsibilities in the implementation of records management programmes. The inclusion criteria required the participant to be a supervisor/coordinator of records management programmes, a member of the top management team and/or an individual knowledgeable with records management activities in the organisation. The researcher included only individuals who signed the consent agreement form. The participants' list, institutional affiliation, allocated anonymous identification, and data gathering techniques are shown in Table 4.1.

Table 4.1: Participants' profiles

SN	Participants	Institution	Number of participants	Assigned identifier	Method used
1	Directors	PO-RAMD	2	Participant F Participant G	In-depth interview
2	Archivists and Records Management Officers	PO-RAMD	6	Participant 1 Participant 2 Participant 3 Participant 4 Participant 5 Participant 6	Focus group discussion
3	Records Management Officers	Public Service Social Security Fund - PSSSF	4	Participant A Participant B Participant C Participant E	In-depth interview
4	Records management Assistant, Office Supervisor	The City of Council of Dodoma	1	Participant D	In-depth interview
5	Office Supervisor, Records Management Officers and Records Management Assistants	Ministry of Finance	9	Participant 7 Participant 8 Participant 9 Participant 10 Participant 11 Participant 12 Participant 13 Participant 14 Participant 15	Focus group discussion
6	Office Supervisor, and Records Management Assistants	Manyoni District Council	3	Participant H Participant J Participant K	In-depth interview
7	Records Management Assistants	Tabora Municipal Council	2	Participant L Participant M	In-depth interview
Total participants			27		

Source: Field data, 2024

4.3. Data presentation

The study presents results through written descriptions and quotations, aligning with the research objectives outlined in Chapter One. The purpose of this study was to develop strategies for enhancing changes in the implementation of records and archives management programmes in Tanzania. The research findings are presented in the order that corresponds to the specific research objectives as follows:

- The effects of the inputs (availability of resources and records management frameworks) in enhancing sustainable implementation of records management programmes.
- The effects of monitoring the activities performed to transform inputs into outputs towards realising sustainable implementation of the records management programmes.
- The evaluation tactics employed by public organisations in realising the expected outputs and outcomes of the records management programmes.

4.3.1 The effects of the inputs towards the implementation of records management programmes

In this section, the findings related to the first objective of the study are presented. The first objective aimed to determine the effects of the inputs (availability of resources and records management frameworks) in enhancing the sustainable implementation of records management programmes. The study identified and determined eleven inputs (essential components) as well as their effects in enhancing the implementation of records management programmes. This study considers them as inputs because they require special attention and should be included in the organisation's corporate strategic plan for regular reporting on their implementation. The inputs include top management support; clear programme objectives; well-defined responsibilities and authorities; legal framework; staffing; continuous training; allocation of adequate resources; placement of records management units in the organisation structure; regular interval monitoring and evaluations; review of laws, policies and guidelines; and outreach programmes.

When asked about the role of the inputs towards the implementation of records management programmes, participants of interviews and focus group discussions were of the view that the inputs play a great role in facilitating the implementation of records management programmes. The participants had the following views:

Participant M, through an interview at Tabora Municipal Council, said:

The presence of these basic needs increases work morale; it enables you to make follow-up of your work and do well. Even if you are ordered by the supervisor, you go with your heart. But, the absence of these basic things lowers the work morale, that is, you are working so that if you come to work, you are working, eh! For example, here at our institution, almost all these things are missing, which leads to discouragement of registry staff.

Participant 5, through focus group discussion at PO-RAMD, said:

What I understand is that if these inputs are available, it means we are going to implement activities easily. Thus, as I see it, the availability of these needs has a positive impact, and their unavailability has a negative impact... If we have a shortage of staff, these records management activities are going to be hard to implement since they need human resources to implement them.

After a brief discussion on the role of the inputs, participants were asked, *“How does the availability or unavailability of inputs (resources such as budgets and staff, top management support, records management frameworks) affect sustainable implementation of records management activities?”* The findings on the availability and effects of each input are presented hereunder.

4.3.1.1 Top management support

The study sought to determine the ways on which the availability or unavailability of top management support affects the sustainable implementation of records management activities. The study findings were obtained through interviews and focus groups

discussions of participants from the selected organisations. Participants discussed this input in terms of its effects, the status and challenges to its availability in support of records management activities. The findings of the study on this input are presented hereunder.

4.3.1.1.1 Effects of top management support

Concerning the effects of top management support, the participants during interviews and focus group discussions discussed various effects of top management supports on records management activities. Top management support plays a great role in enhancing the implementation of records management activities, as presented below.

Top management support facilitates the implementation of records management activities. The study findings revealed that top management is very important for anything to be well organised. Management support enables everything to go as expected. Thus, top management support is an essential area that deserves attention in terms of the way records are managed in various institutions. During an interview with one of the Directors at PO-RAMD, Participant G said:

To me, top management support is very important for anything to be well organised. As you know, in other areas, if there is no management support, do not expect anything to go in the way that you would like. So, top management is very crucial especially in terms of awareness about records management issues, in terms of budget – to set aside certain amount of fund every year, undertaking records management initiatives or activities in our organisations, and issues of training. Top management decides; is everything. This area, to me, is the topmost area to be dealt with in terms of the way we manage records; the way we want our records to be managed in various institutions.

Participant A, through an interview at PSSSF, said:

Well, for the environment we have, the support of top management is important because I always see if the directive starts from the top and goes down, the

instructions that are given become easy to implement. It is different from starting from the bottom.

Participant D, through an interview at the City Council of Dodoma, said:

If we start with the issue of top management support, if there is no top management support, even the performance becomes difficult to achieve the goals. You may find that you need something done but lack that support. For example, you have issued files, and they have been on the Action Officers' desks for a long time, and you do not have the power to ask the superiors to return the files; it becomes a challenge - you cannot. You can request to be given the necessary registry requirements; you get it, but not on time.

Participant E, through an interview at PSSSF, said *"In terms of top management support, it is easy to do your daily work easily."*

The study findings revealed further that top management support facilitates the availability of all necessary resources for carrying out records management activities effectively. These include staff, budget allocation, and others. The presence of cooperation or the support of top management helps the registry staff in simplifying the records management activities because the resources they need will be easily available. The participants had the following views:

During a focus group discussion at PO-RAMD, Participant 5 said:

When we talk about cooperation from top management, we mean that management is there to facilitate the availability of necessary resources, such as staff, budget allocation, and others. Therefore, the top management needs to enhance these activities to be performed easily.

Through an interview at Manyoni District Council, Participant J said:

Cooperation or the support of top management helps us in simplifying the records management activities because the resources we need will be easily

available. But its absence can hinder the records management practices as the necessary resources will not be readily available.

Participant K, through an interview at Manyoni District Council, said:

The cooperation or support of top management will bring efficiency in records management as it will generate sufficient budget to buy all the necessary resources, such as files, shelves, pins, and others. Support from top management helps in records management and endangers the security of documents, as the budget and tools are lacking or procured too late after requesting them. We must request from top management when some equipment has run out because the records office does not have a budget. For that reason, we do not have anywhere to speak; we must ask the top management.

4.3.1.1.2 Current status on the availability of top management support

To determine the status of the availability of top management support, participants were asked, *“Does the top management offer the required support?”* The responses were divided into two: those who perceived the availability of adequate top management support, and those who perceived that the available support from top management was not adequately facilitating the implementation of records management activities.

As for the availability/presence of top management support, participants pointed out that the management provides good support in their organisations because the cooperation they get from the management helps them in the implementation of their responsibilities. The following were the responses of the participants:

Participant 10, through a focus group discussion at the Ministry of Finance said:

If we start from the top management support, on our side, it is good because the cooperation we get is great and helps us in the implementation of our responsibilities.

Through an interview at PSSSF, Participant C said:

If we start with top management support, we usually get their cooperation because when we write to tell them about our challenges; they largely support us. That is, they will tell us to either do it or make the necessary changes before doing it.

Moreover, Participant E, through an interview at PSSSF, said:

For us at PSSSF, we have top management support on records issues and in our objectives; usually, they say strategic plan, there is one of the objectives where they must focus on records management.

According to Participant E, PSSSF offers support to records management issues because of the conditions imposed by the International Organisation of Standardisation. In this area, Participant E said:

The management at PSSSF pays attention to records management issues because they want to qualify for ISO certification. Experts from the International Standards Organisation (ISO) insist on proper records management for whatever they are evaluating for certification. So, the manager is always asking us about our needs, and what we are supposed to do.

During an interview with one of the Directors at PO-RAMD, Participant F said:

If you talk about management support, (yes), we always get the management support from the higher levels; for example, from the policymakers, respective ministers, Members of Parliament, the Parliamentary Committee responsible for Constitution, Legal and Administration, which supervises issues regarding records management specifically. The Committee regularly scrutinises our budget estimates before final submission to the Parliament and they always visit our department to verify allocated/budgeted expenditures for records management and how far they have been used to support records management in our institution. And, even the Chief Secretary, the Minister and other higher-level leaders sometimes visit our department to see the implementation of the

records management functionality as supported by the government funds or donors. For example, currently, we have the construction of the administration block (a five-floor building), which you can see (I have seen it, yes), costing 13 billion point something, supported by the government (funds from the Prime Minister's Office). So, there is high support from the top management.

Through an interview at Manyoni District Council, Participant J said:

In my experience here, I find that the management helps us a lot in making sure that we fulfil our records management duties without any problems. For example, we had a challenge of the shortage of folders/files and shelves to store files, but now they have been addressed. The room where we work had no shelves, but we are thankful that our management helped, and now we have shelves there. Therefore, the support is available at our institution.

On the other hand, some participants reported that there was not enough support at their organisations. The study findings revealed that in most institutions, there is no tradition of setting aside enough budgets for records management activities and issues of training. It was revealed that it is possible in some district offices to find unqualified staff in registries or staff with some kind of good or bad behaviour. The views of the participants are presented below:

During an interview, Participant D from the City Council of Dodoma, said, "The top management support at our office is not enough but we are trying to educate them."

Responding to the question, *"As per your experience, how do you see the support from the management in different organisations, starting from central to local governments? Do they offer the required support?"* one of the Directors at the PO-RAMD, that is, Participant G, said:

No, they do not. For example, most institutions do not set aside enough budgets for records management activities, and training. For example, if you go to some district offices, you will find unqualified staff in the registries, or staff with some

kind of good or bad behaviour. We see them when we go to undertake records management surveys. So, there is still a big problem with top management support. They do not set a budget, they do not train people, and even in some cases they do not value the profession itself.

The study findings revealed that some departments provide support to records management activities, but some departments do not provide the required support. For example, during an interview conducted at Manyoni District Council, Participant H said:

There are some departments that support us, but some departments do not cooperate. The support we get is not the support we should get. For example, you may request for something, but you get it much later, outside the time you needed it or in a different manner. In terms of listening, our top management always listens to us. When we involve them during the hour of need, they always help us. If we are transparent, we are helped but if we are not transparent, we are not helped.

Also, Participant L from Tabora Municipal Council said:

In fact, there is a great challenge in the management support. For example, as we say, they do not pay much attention to records management issues, and even when we write to request supplies, it takes a long time for them to respond. It will take a long time before you get the assistance you asked for. For example, here we use an old system; we do not use keyword system. We just wrote a request to the management, but they told us to wait until they include our request in the budget; there is no budget right now. Every year it is the same, every budget that is prepared does not have a registry section.

Therefore, there is no cooperation, even after repeatedly requesting support. The good news is that people from PO-RAMD visit us. Once they visit us, they summon the top management in a meeting which is largely attended by Human Resource Officers, where they always remind them of the fact that this registry has no status, it is below standard, and it is not secure; that is, the room is not

secure enough because they come to check and see. Therefore, their visits encourage the management to sit and discuss registry issues. At least it helps to some extent, but still, cooperation is very limited.

Participant C, through an interview at PSSSF, said “The top management provides support but only when you push hard.”

Sometimes, the top management support is influenced by managers who are not experts on records management. This was revealed through an interview with Participant E from PSSSF, who said, “The managers are not experts on records management, but they learn from us. They are ready to support us.”

During an interview with one of the Directors at the PO-RAMD, the researcher asked, “*Now, it seems at PO-RAMD you get very good support. Do the Records Management Units at lower levels or in public organisations get the same support from the top management?*” The response revealed that the supports vary depending on the nature of the organisations and the ways through which the records management programmes are placed in the corporate strategic plans as Participant F said:

Yeah, we always make some sort of baseline survey to see the implementation of records management activities at the Local Government or Central Government. For example, some institutions receive funds from the respective programme (Local Government Reform Programme). In this programme, records management is a sub-component. Also, in a financial sector, there is the financial sector reform programme. In this programme, there are various sub-components, one of which is records management. They support various things such as ICT equipment, financial management systems and so on. In the Local Government, in the past, they had the Local Government Reform Programme, where the records management sub-component was also present. They used to ask for our support, technical support, to support reform in the Local Government. So, they were getting some technical staff from here, but they had their own fund.

Furthermore, Participant F said:

In the judiciary, there is a Legal Sector Reform Programme where records management is the sub-component. Support in records management includes automation of legal records to support quick access to case files required during legal sessions in court. Also, there is support for the construction of legal registries, records centres, and procurement of ICT facilities (heavy-duty digital scanners) to support records management. The PO-RAMD also supports the Judiciary on technical issues such as the scanning of some legal documents.

The study findings revealed further that there are several reasons why the top management is not supporting records management activities adequately. During interviews and focus group discussions, participants had negative views on the top management's support for records management activities for several reasons.

One reason is that top management is reported to lack awareness of records management matters. Even when the registry staff present something to the top management, they often have a hard time convincing the management. During a focus group discussion at PO-RAMD, Participant 2 said "You know many leaders in the institution do not know this records management profession and do not know how sensitive it is in the institution."

During the focus group discussion at the Ministry of Finance, Participant 12 said:

The top management largely does not have awareness about records management matters.... So, even when you go to present something, it often gives you a hard time convincing them. Also, even records offices have small spaces because the top management is not aware of what the records office should look like; they do not have that in mind.

Through an interview at PSSSF, Participant C said:

The biggest challenge in this is the understanding of how leaders treat the records management staff. It is common to find members of top management with the view that records are not an issue; they see them as something not

important. That is, even if you tell them something, they remain wondering what it means. So, you must sit with them and explain to them until they understand you. When they understand you, they say Ooh, there is this thing, and it's good.

The study findings revealed further that the top management in many organisations does not value and trust the registry staff. Top management officials see Records Management Assistants (RMAs) as low-cadre staff. The responses from the participants justify this as shown below:

Participant B, through an interview at PSSSF, said:

Higher levels of management tend not to value and trust registry staff. So, even if we go for training somewhere and bring a report that certain things need to be done according to national, professional or international standards, it is very difficult for our leaders to understand us and work on them. Leaders cannot receive and act on the report because the registry staff are unappreciated because they have low education. It reaches a point where people can say bluntly, 'what am I going to talk to a person from the registry?' Even for matters related to the profession of records management, the registry staff with the profession and expertise are unappreciated and not even given the opportunity to present anything concerning them to the leaders or to the people outside the institution.

Participant E from PSSSF also said, "Previously, they were taking records management as an area dealing with files alone, not a profession like other professions."

Participant L from Tabora Municipal Council said:

But you find other institutions valuing the Records Management Section, and you will like the job in the way they are and the status they are given. That's why someone said let me change my specialty and study other things. The challenge you find is only caused by the environment they work in; the environment

becomes difficult until it makes them give up. But we must not give up; we must fight to let the management understand and work with us, eh!

Additionally, Participant M from Tabora Municipal Council said:

As for us, few leaders tend to cooperate, perhaps to see that we deserve something, or we deserve to be assisted with equipment, or first to know the importance of records management; they see us Records Management Assistants (RMAs) as low cadre staff. When we are not available, they realise our importance, but when we are available, they neglect us, thinking that our job can be done by anyone.

Moreover, the study findings revealed further that top management in some organisations does not accord training on records management its due importance. Participant 2, through a focus group discussion at PO-RAMD, said:

Therefore, even training is not given its due importance. For example, there is an institution X I went to, where other cadres are training outside the institution, but this cadre is training inside the institution.

It was also revealed that the top management does not enforce the legal framework to be implemented in the respective organisation. This hinders the smooth implementation of records management activities. During a focus group discussion at PO-RAMD, Participant 2 said:

For example, our 2011 records and archives management policy clearly states that each head of the institution must appoint a manager of the Records Management Unit, who will be known by PO-RAMD, but many institutions have not done so.

Furthermore, the study revealed that there is a delay in the top management support whenever needed by the registry staff. When the registry staff seek the top

management support, it takes a long time for them to be supported and sometimes, they are not supported at all. The participants had the following views:

During an interview at PSSSF, Participant A said:

But now you may be given a responsibility, which you may undoubtedly carry out, but there are others who would still need support or encouragement. Now, if you ask for support, it is not offered. We are stuck here. We are assigned responsibilities, but we have no capacity to carry out such duties. You must face the top management yourself to seek help for whatever you need. And nothing happens until we get the support, which may sometimes come and other times it might not come at all, or if it does, it might be too late.

Participant K from Manyoni District Council said:

For example, we can channel our requests to the Human Resource Officer, but he/she must wait until he or she allocates a budget. So, you can see that until he/she allocates the budget, you find the records have been affected.

4.3.1.2 Clear programme objectives

The study findings in this section address the ways in which the availability or unavailability of clear records management programme objectives affects sustainable implementation of records management activities. The section covers the effects of programme objectives, and the availability of clear programme objectives.

4.3.1.2.1 Effects of clear programme objectives

As for the effects of clear programme objectives, the study findings highlighted several effects of clear programme objectives towards the sustainable implementation of records management programmes. Firstly, programme objectives affect the expected outcomes; if programme objectives are clearly stated and known by stakeholders, realising the expected outcomes becomes easy, as they will be known and understood by those who implement the programme. If the programme objectives are not clear and

understood by stakeholders, the implementation process is determined by individuals themselves sometimes leading to working habitually and failing to reach the targets and even leading to the destruction of records. During an interview at PSSSF, Participant A said, "... the ways in which the plans are accorded weight by others become a challenge. Therefore, it leads to not reaching the levels that are expected."

In the interviews with the Directors of PO-RAMD, Participant F said:

The implementation depends on how the programme was prepared or organised. For example, if you prepare the programme which involves various stakeholders such as, records users, custodians and the public, then it is easy for such goals and responsibilities to be known to everyone. But if the programme does not involve these people, it is difficult. Of course it depends on how the programme was set.

Participant J from Manyoni District Council said:

The existence of goals is very helpful in making effective records management. For example, if we succeed in shifting from paper to the electronic system, it will greatly improve records management.

Participant K from Manyoni District Council also said:

With clear goals, the implementation of tasks becomes effective in achieving. But lack of goals leads to habitual work and failure to reach the targets, and even leads to the destruction of documents.

Clear programme objectives help to set key performance indicators (KPIs). An individual can plan the goals of the activities if the goals of the whole programme are clearly stated and known to him/her. In contrast, it is difficult to set key performance indicators if the tasks and goals are not clearly stated and assigned to individual actors. As for the effects of clear programme objectives during a focus group discussion, Participant 1, at PO-RAMD, said:

As for clear goals, you cannot set key performance indicators if you have not given someone tasks to do. What I understand is that if a person is not given his/her responsibilities, he/she cannot plan the work goals. Thus, when they are hired, they are given their responsibilities and when planning goals, they should be planned according to those responsibilities.

Also, the programme objectives guide stakeholders in knowing their targets and who will manage them. Participant A from PSSSF said:

If these objectives exist, they help us because they guide us to know that we have several targets to be reached and who will manage them. For example, I can propose a work plan to a manager, that with the environment we are in through these plans, we will be able to achieve the targets.

If the programme objectives are not clear, it becomes difficult to perform properly since employees may be doing similar tasks. In this regard, Participant C from PSSSF said:

Not having clear goals makes employees disorganised because they find themselves doing similar tasks regardless of their seniority. In terms of registries, clear programme objectives are still a challenge because you find people duplicating things. Despite starting PEPMIS, the objectives are still the same for all.

4.3.1.2.2 Current status on availability of clear programme objectives

Study findings on the availability or unavailability of clear programme objectives in public organisations revealed that this aspect is perceived differently by various participants as explained below.

According to the study findings, clear goals and objectives exist in few organisations. The goals are made clear in each financial year. During a focus group discussion at the Ministry of Finance, Participant 10 said:

In relation to clear programme objectives, our goals are clear because when we start the financial year, we have goals for the year in question. For example, for the year 2024/2025, we have goals to achieve by the end of that fiscal year.

The findings also revealed that some organisations do prepare clear records management programme objectives, but those expected to implement the programme activities are not familiar with the same. Sometimes, the programme objectives are understood by few employees since most employees are not involved during the preparation of those goals/objectives.

4.3.1.3 Well-defined responsibilities and authorities

The study sought to determine how the availability or unavailability of well-defined responsibilities and authorities affect sustainable implementation of records management activities. This section presents the findings in two parts namely the availability of well-defined responsibilities and authorities, as well as the status and effects of well-defined or unclear responsibilities and authorities.

4.3.1.3.1 Availability of well-defined responsibilities and authorities

This part presents the findings of the study aimed to determine the provision of well-defined responsibilities and authorities to actors in records management programmes in Tanzania. The study utilised interviews and documentary review such as Records and Archives Management Act No. 3 of 2002, the National Records and Archives Management Policy of 2011 and the Registry Procedures Manual of 2007. These sources revealed that the responsibilities for public records and archives are defined.

Part III of the Records and Archives Management Act of 2002 defines the responsibilities of Heads of Public and Parastatal offices in Sections 9 and 10; the responsibility of the Director for Records and Archives in Sections 11, 12 and 13; and the responsibility for the records of Local Authorities, which is covered in Section 14. The responsibility of determining the places of deposit for public records of permanent value is covered in Section 15 (United Republic of Tanzania 2002).

As stipulated in Section 9 of the Records and Archives Management Act of 2002, the Heads of Public and Parastatal offices are tasked with maintaining proper documentation of their offices' functions and activities through effective records management practices by doing the following:

- Managing current records.
- Drafting retention and disposal schedules for each public office.
- Implementing these schedules.
- Transferring semi-current records to the Director of PO-RAMD; and
- Appointing a qualified officer to coordinate records management activities within the department or ministry (United Republic of Tanzania 2002).

Section 10 of the Records and Archives Management Act of 2002 mandates Heads of Public and Parastatal offices to manage semi-current records in collaboration with the Director of PO-RAMD. This includes maintaining the integrity of temporarily returned records, approving access by third parties, maintaining semi-current records in similar conditions to those in records centres, implementing retention and disposal schedules, and transferring records of enduring value within 20 years of their creation (United Republic of Tanzania 2002).

The responsibility of the Director for Records and Archives is stated in Section 11 of the Records and Archives Management Act of 2002. The Director is responsible for managing records in public offices and parastatal organisations through:

- Providing professional advice on filing systems.
- Ensuring compliance with standards.
- Training records staff.
- Drafting retention and disposal schedules.
- Agreeing with Heads of Public offices on the retention and disposal schedules.
- Implementing provisions of retention and disposal schedules.
- Authorising disposal of records; and
- Reviewing schedules periodically (United Republic of Tanzania 2002).

Section 12 of the Records and Archives Management Act of 2002 assigns the Director to take custody of semi-current records scheduled for further retention. The Director must maintain these records in a Records Centre, provide secure storage, and allow consultation by authorised Public Office Officers. The Director must also temporarily return semi-current records to the public office, implement retention and disposal schedules, appraise and dispose of the semi-current records, arrange the transfer of enduring values, and advise the Minister on suitable premises. Section 13 of the Act mandates the Director to be responsible for preserving public records of enduring value, except those deferred under paragraph (d) of section 10 or held in a designated deposit place. The Director must take charge of the National Archives, provide suitable conditions for preservation, arrange and describe holdings, provide guides, lists, indexes, and finding aids, ensure facilities for public inspection and access, and ensure facilities for authorised officers (United Republic of Tanzania 2002).

Section 14 of the Records and Archives Management Act of 2002 mandates the Director of PO-RAMD to establish branch offices in regions of the United Republic, with each head of local authority responsible for implementing government policies on public records. The Heads of Local Authority and Department branch offices have the responsibility for public records. Records centres and archival repositories are under the Director's control. If no archival repository is established, archives can be transferred to another repository (United Republic of Tanzania 2002).

The National Records and Archives Management Policy's institutional framework, outlined in section 5.2, states the roles of various actors in implementing the policy as follows:

- The President's Office, Public Service Management (PO-PSM), currently referred to as the President's Office – Public Service Management and Good Governance – PO-PSM&GG, is responsible for maintaining clear and dynamic policies, meeting goals, and providing financial resources for infrastructure improvement. PO-PSM coordinates records and archives management efforts, fostering a culture of valuing and protecting historical records in the private sector and civil

society. They oversee standard procedures for maintaining archives, prompt destruction, preservation, and transfer of long-term records.

- The Records and Archives Management Advisory Board provides advice to the Minister responsible for managing Tanzania's public archives and records.
- Public Offices are responsible for implementing policies, standards, and guidelines, developing staff in records and archives management, and fostering an environment centred on these aspects.
- Records Management Coordinators ensure compliance with standards and procedures in their offices, while also coordinating with the PO-PSM on all records and archives management-related issues.
- The Revolutionary Government of Zanzibar is responsible for managing the public records and archives of Union Matters, adhering to national and international standards.
- Stakeholders, including researchers, educational institutions, individuals, and the public, are expected to assist the government in managing archives and promoting written heritage and knowledge (United Republic of Tanzania 2011).

The Registry Procedures Manual of 2007 states the responsibilities of registries, staff, and users, with Section 1.3 outlining specific duties as follows:

- The President's Office – Public Service Management (PO-PSM) and Ministries, Departments and Agencies (MDAs) share responsibility for managing the registry, with PO-PSM handling professional and technical aspects and MDAs handling welfare and staff training.
- The Public Service Management (PO-PSM) is responsible for developing Registry policy and implementing it in consultation with senior management in ministries and departments. This includes ensuring staff training, staffing, providing advice, addressing disciplinary matters, conducting regular inspections, and providing guidance on record management to staff and users.
- Ministries are responsible to the Director of Records and Archives Management Division in overseeing the management of individual Registries, including

providing necessary training, monitoring attendance standards, ensuring staff welfare, career development, and annual leave arrangements, and handling non-specialist administrative matters.

- The Registry Head is responsible for daily control, staff management, workflow monitoring, and system efficiency. He/she reports to line managers and work with DRAM for technical records management and procedural matters (United Republic of Tanzania 2007).

The Registry Procedures Manual of 2007 outlines the responsibilities of registry staff towards users, emphasising courtesy, cooperation, and prompt response to complaints. It encourages suggestions for improvement and actively implements them to ensure efficient records use (United Republic of Tanzania 2007).

Section 1.5 of the Registry Procedures Manual of 2007 outlines the responsibilities of users in a well-run Registry. Users are expected to handle files promptly, use the Bring-Up system, keep files free of unnecessary material, include relevant references in correspondence, provide clear guidance on indexed mail, provide a completed file movement slip, and cooperate with record checks (United Republic of Tanzania 2007).

When asked about the availability of well-defined responsibilities and authorities towards records management activities across the public service, Directors at the PO-RAMD, as Participant F and Participant G, said each institution is required by the law to ensure that records management responsibilities are clearly stipulated and known to every employee. The Directors stated explicitly that the Heads of the Institutions, with the support of Human Resource Officers and the registry personnel are supposed to ensure that responsibilities are known to all employees. However, the main responsibility lies with the Head of the institution. Participant F and Participant G had this to say:

Participant G said:

The Head of the institutions, with the support of Human Resource (HR) people and the Registry personnel are supposed to ensure that the responsibilities are

known to all employees. But the main responsibility lies with the Head of the Institution.

Participant F said:

Yes, in all public institutions, records management is the responsibility of the Head of the Administration and Human Resource Management. Also, there is a supporting section that is the ICT unit for the case of electronic records. And these are well stated and clear. Also, there are institutional records management policies that are also shared by the ICT unit.

4.3.1.3.2 Current status and effects of responsibilities and authorities

This study identified the status and challenges to the availability of clear programme objectives and their effects on the implementation of records management activities in the selected public organisations. The paragraphs below, present the study findings

The study findings revealed that the responsibilities for records management are not clearly understood by users. It seems that many users of records do not understand how the minute sheet is used, responsibilities are easily forgotten, and sometimes staff write in a letter instead of using the minute sheet. Even at the transit ladder, often the files are returned unsigned, and sometimes even letters are not replied to, but Action Officers claim to have already worked on it. The improper use of the file transit ladder and minute sheet damages the existing series of documents as well as the communication that takes place in dealing with the letters placed in the relevant cover. These challenges are mostly experienced by newly hired staff as they do not have training on the importance of records management, especially using file covers. In this aspect, the participants had these views:

Through a focus group discussion at the Ministry of Finance, Participant 10 said:

There are challenges on the part of users whereby when they forget their responsibilities, they present us with challenges. For example, maybe you have

received a letter and put it in the relevant file, it has been processed but when the Officer responds to the letter, he/she quotes a different file, leading to confusion as the reply letter returns with a quotation from different file. That is one of the challenges we find in responsibility.

Participant D at the City Council of Dodoma said, “Regarding the members of the management team, there are those who know their responsibility in relation to records management and others who do not.”

Participant M at Tabora Municipal Council said:

As for users or other employees, these do not work as they should, and others do not know how to use the minute sheet. For example, you find someone writing in a letter instead of using the minute sheet. Even at the transit ladder, you send someone a file, and you find that the register has been returned unsigned or there is not even any letter of reply. But if you ask him/her where you have worked, why there is no reply letter, and you have not signed on the transit ladder, he or she tells you he or she has already worked on it.

Participant 8, through focus group discussion at the Ministry of Finance, said:

Maybe I should contribute to the issue of understanding regarding the use of the minute sheet... Officers, particularly newly hired staff, have a limited understanding of how to properly use the minute sheet, leading to significant confusion. Their incorrect usage not only disrupts existing document sequences but also negatively impacts communication on the cover sheet. Additionally, some staff mistakenly write on the minute sheet as if it were an inter-office memo, indicating a misunderstanding of its intended purpose.

Participant H, through an interview at Manyoni District Council, said:

In the scenario regarding the use of minute sheets, issues arise when individuals either do not follow the instructions provided or misunderstand the documents

involved. Instead of working according to the minute sheet, some focus solely on a letter attached, leading to confusion and incorrect actions. This problem is compounded when they lack an understanding of terminologies such as 'folio,' necessitating further explanation. Overall, the effective use of the minute sheet and related documents presents significant challenges due to miscommunication and lack of adherence to directives.

Participant K from Manyoni District Council said:

There are others; you can send a letter to them to deal with, but the result is drawn or written on it.

Participant 7 from the Ministry of Finance said:

Another thing is about the covers; they do not know how to minute on the files, especially these newly hired staff. I think they need a little training on how to use these covers.

During an interview with one of the Directors at PO-RAMD, Participant G said:

I agree that there are some who know and some who do not know about records management. But I am sure most of them know.

Participant H from Manyoni District Council said:

These responsibilities and powers are known to the people in the registry, even though others, including the management, know about them. This is because, when we come out of the training, we write a report for them, we send it to our Head of Department, who is the Human Resource Officer, and we discuss with him/her and agree on what should be done. To convey a message to others, we may write a letter or make a copy of our report and give it to them. Others tend to adjust themselves for a short time and then repeat their habitual state again.

Participant L said:

A significant number of users are unaware of operational procedures, despite on-going communication with Human Resource Officers about these processes. Heads of Department often lack understanding of tools such as the transit ladder and minute sheets, leading to improper documentation practices. Mismanagement occurs when responses are written directly on letters, contaminating them. Although Human Resource Officers are tasked with relaying information to management, this often fails as instructions are easily forgotten, perpetuating existing challenges.

Responding to the question, *“Concerning the responsibility of users to protect the security of files, how do they protect the security and leakage of secrets when they are on their desk? Are you not blamed for leaking the secret?”* Participant L from Tabora Municipal Council said:

In other words, here the blame always falls on us who manage records, but you largely find that they are the same actors who use them. When giving out files, we are always careful, so we make sure we write down when they come out and which office they are in.

Action Officers tend to over-stay with the files, and some of these officers over-stay with the files for about three months, hence affecting the movement of the files and their security. Confirming the prevalence of this trend, Participant D from the City Council of Dodoma said:

Managers generally retain files for extended periods; complicating records management as files frequently remains unreturned to the registry. Understaffing and the organisation's wide reach – 19 departments, 41 wards and more than 200 streets – make this problem worse. As a result, the volume of correspondence, including letters and briefs, makes it difficult to maintain records effectively, which results in employees performing their jobs below par.

Participant L from Tabora Municipal Council said:

Therefore, if we decide to make a morning list, if we see that the file has been there for many days, we carry it back until he/she needs it again. If he/she misses it, he/she calls us to ask why the file was here and is not visible? We tell him/her that it stayed with you for more than a week.

Moreover, the knowledge about the e-office system to many Action Officers is a challenge. Many officers do not know how to use the e-office system; they prefer the hard file covers, but they do not work and return them in a timely manner. This results in unnecessary accumulation of documents pending the unreturned file covers to be filed in. As a result, the filing process becomes a problem. Even the series of communications that took place to reach the decision on the matter presented in a file is broken. Therefore, to compile them in the e-office system as well as in the hard file cover becomes a bit of a problem, especially when it happens that someone might want to refer to such communication later, as these participants indicate:

Participant 7 from the Ministry of Finance said:

Many officers do not know how to use this e-office system... We are using the e-office system now; we are asking for the files to settle down right now so that we can put our hard copies. But you find someone who does not use the system, he/she wants a hard file cover. And if he/she takes the cover, he/she does not work and return it on time, he/she stays with it...

Similarly, Participant 8 from the Ministry of Finance said:

Also, we use the e-office system where we scan the mails and enter them into the system which has the same field as in the file for communication on the matter that needs to be worked on. You find people who still think that there is not enough in the system and therefore call for a cover. Now, a series of communications to reach the decision presented is broken. Therefore, to compile them in the e-office system as well as in the hard file cover becomes a bit of a problem...

The study findings also revealed that employees who are assigned tasks and responsibilities sometimes do not have enough authority to do certain things, such as ordering equipment or facilities. Often, the ones with the authority to order equipment/facilities are the Human Resource Officers or administrators. This makes those with responsibilities use more efforts to express themselves to the top management to seek help for whatever they need. Until they get the support, it is too late; sometimes the support may not come at all, or middle managers may stay with it. In this respect, Participant A from PSSSF said:

But now the challenge may come if you are given the responsibility and carry it out, but others need support or encouragement. Now if you ask for support, is it offered? We are stuck here. Responsibilities exist but the authority is not enough to carry out the duties. Authority is until you express yourself to the top management to seek help for whatever you need. Now until it comes down, either it may not come at all, or middle managers may stay with it, and sometimes even if it comes down, it is too late.

Participant C from PSSSF said:

In terms of responsibilities and authority, we have responsibilities, but we do not have the authority to do certain things, such as ordering equipment or facilities; often human resource officers are the ones doing the work. We request the facilities in writing and make follow up until we are supplied with what we requested.

Furthermore, there is a lack of proper documentation of some of the responsibilities including educating and awareness rising on the care and use of records and documents. The registry staff are not given enough authority to fulfil this responsibility, and it is not properly documented in their job descriptions. As a result, they fail to implement this crucial task of making all employees, especially the newly hired staff, aware of proper care and use of records. A good example of the response on this issue is the one from Participant K from Manyoni District Council who said:

For them to be educated, programmes should be prepared so that the registry staff can provide education on the care and use of records and documents, something that has not been done here.

Additionally, there is a lack of training or induction on proper records management to employees and especially the newly employed ones. Some employees think that records management is for the registry staff only. Thus, it is necessary to train them at least to know what the registry means because sometimes they say that records issues are for the registry staff only. The participants had the view that users need to be highly educated. Thus, training programmes should be prepared such that the registry staff can provide education on care and use of records and documents, something that has not been done. Participants had these views as quoted below:

This was said by Participant 7 from the Ministry of Finance:

As for us registry people, we have never given them training (induction) upon hiring. So, if we give them training and instruct them on how to use the transit ladder and minutes sheet, it would be easier for us to work... So, this means, they do not make proper referencing.

Participant 11 from the Ministry of Finance had this remark:

New employees may not know anything about the registry. Therefore, it is good that they themselves should be trained to at least know what the registry means that sometimes they use to say that records issues are for the registry staff; leave them alone. In fact, we just wish that this thing will not continue to exist; they should see the registry staff as a fellow officer.

Moreover, Participant K from Manyoni District Council remarked:

Programmes should be prepared for the registry staff to provide education on care and use of records and documents, something that has not been done here.

We are trying to convince them to prepare a training programme and increase awareness and facilitate the use of records.

The study findings also revealed that Records Management Officers (registry staff) find it difficult to guide and educate their superiors as they become aggressive whenever they are guided. This prohibits registry staff from fulfilling their responsibilities, especially those of ensuring that users comply with the best practices and standards in handling records. Even when the officer makes a mistake in handling records, the registry staff cannot approach him or her. This issue is confirmed by Participant H from Manyoni District Council who said:

When attempting to guide other officers on proper record handling, they often respond aggressively, asserting that they are not open to teaching as they are superiors; they cannot do anything wrong in handling records... It reaches another stage; if you send a letter to another office in a file, say if it is a purchase or something that needs to be worked on with the original letter, what the action officers do is pulling out the folio without leaving any copy in the file. If you try to direct them, they tell you that 'you do not know the job; we are the ones directing you'. They will tell you, "When you bring the letter, you must provide two copies, one to keep in the file and the other to be pulled out" ...

When asked about the availability of well-defined responsibilities and authorities, several participants, through interviews and focus group discussions, said that the well-defined responsibilities are available at their organisations as confirmed by the following participants:

Participant 10, through focus group at the Ministry of Finance, said:

About responsibilities, everyone in the registry knows his/her responsibility - it is very well explained.

Through an interview at PSSSF, Participant A said:

In terms of responsibilities and authorities, here we have this. There are things to do, and who should do this and who should do that, and at the end of the day, we expect you to bring inputs with what we have given you.

As for whether or not responsibilities are known to all employees, only one participant was of the view that the responsibilities are known to all employees. Through an interview at Manyoni District Council, Participant J said:

There were obligatory challenges in the beginning but now they have decreased. Everyone understands the responsibility, and we who keep records understand our responsibility and when we explain to the staff of other departments about records management, they have been listening to us and appreciated our efforts because they know we have studied those things and have expertise in them.

However, in some organisations, records management responsibilities and authorities are known and implemented by the registry staff only, because other employees have not been educated about records management, as confirmed by Participant D from the City Council of Dodoma:

In terms of knowing responsibilities, I can say that everyone at the registry knows.

Another remark came from Participant E from PSSSF:

As for responsibilities and authority, for the time being, records management seems to be the responsibility of the registry staff only. We (registry staff) are the ones who are responsible. Other employees just think about members' contributions...

Furthermore, Participant K from Manyoni District Council said:

As far as I can see, the duty of records management is only for the registry staff; this is because, some employees have not been trained on records management

responsibility. Therefore, they still feel that we are the only ones responsible for records management.

4.3.1.4 Legal framework

The study sought to determine ways on how legal framework affects sustainable implementation of records management activities. The question asked to participants was, *“How does the existing legal framework affect the implementation of records management programmes?”* to engage them on the discussions about the effects of the existing legal framework. The study findings on this issue are presented hereunder.

4.3.1.4.1 Effects of the legal framework

The study findings revealed that the legal framework plays a great role in governing the way things are done. It guides records management practitioners on what to do and how to do a particular task and helps them to perform the task easily. Once they read and understand the guidelines provided through the legal framework, it becomes easier for them to follow all the procedures and know how to solve the emerging challenges as these participants confirm.

During the focus group discussion at PO-RAMD, Participant 1 had this to say:

As we know, legal frameworks guide us on what to do and how to do it. These guidelines greatly help to establish procedures, which should be followed by record-keepers in performing their duties. Thus, when they are available, it is easier for us to follow them in performing our day-to-day records management activities.

During the focus group discussion at PO-RAMD, Participant 4, said, “If they read the guidelines, it will help them know all the procedures and be able to solve the challenges that emerge.” A similar observation is made by Participant 5 who said, “Internal guidelines help to perform the task easily.”

However, the lack of legal framework affects the entire process of implementing records management activities, as it makes the registry staff to use a lot of energy searching for guidelines on the internet or sometimes ending up perform activities based on their own intuitions. Even records users with no knowledge of records management find it difficult to handle records without any guidelines as these participants confirm.

Participant K from Manyoni District Council had this to say;

Lack of guidelines affects us a lot because we use a lot of energy searching for it on the internet. Also, guidelines help the registry staff but not to people in other departments and who have no knowledge of records management.

Participant C from PSSSF had this to say:

This is a big challenge for us, it means we have come to a point where we wanted to destroy records, but we could not because we did not have a policy. We had to use national policies when the staff from the National Archives arrived as we had to work together to execute the exercise.

Moreover, the lack of a legal framework leads to misconducts among registry staff and users of records, as there is nothing enforcing them to do what they are supposed to do. Sometimes, even with guidelines, some things are not considered because of a lack of working facilities or resources, as these participants observed.

Participant 1 from PO-RAMD had this to say:

The lack of a legal framework may lead to misconduct because nothing enforces us to do what we are supposed to do. The lack of guidelines can lead us to misconduct or malpractice in the execution of our daily duties.

Participant 2 from PO-RAMD also observed:

There are many frameworks, but some institutions do not have some of these guidelines, including those for retention and disposal schedules. Therefore,

guidelines should be made available and followed by every institution. These guidelines are available in some institutions, but they are not followed.

Participant K from Manyoni District Council said:

Even if there are guidelines, some things are not considered. For example, when folios reach 99, the file must be closed. But the lack of budget to buy new files can lead to the failure of closing those files.

4.3.1.4.2 Current status of the existing legal framework

When responding to the question, *“Is the legal framework adequately facilitating the implementation of records management activities?”* the Directors who were interviewed at the PO-RAMD reported that the legal framework was adequate to a certain extent because there were a lot of guiding documents, such as the policy, the guidelines, the standards, and the Acts. In short, there is almost everything. According to the view of the Directors, there are a lot to guide the implementation of records management activities; though other countries have more than what is available in Tanzania. Other countries have the Freedom of Information Act, something which is not available in Tanzania. According to the Directors, there are still some problems, but there are a lot to guide us. The problem with the legal framework is the implementation by the heads of institutions, as these participants affirm. Participant F had the following to say:

First, there is the National Records Management Policy, and currently, we are drafting institutional records and archive policies. For example, if you go to the National Examinations Council of Tanzania (NECTA), you will find an institutional policy, which provides guidelines on how to handle examinations, how to dispose of examinations after marking, security, and other activities. Also, we have the Records and Archives Management Act, the Founder of the Nations Act, we have the Presidential Instrument for managing leaders’ records, and we have the legal service framework for handling legal, financial, and other documents.

Similarly, Participant G had this to say:

The legal framework is adequate to a certain extent because we have a lot, such as the policy, guidelines, standards, and Acts. We have almost everything. To me, these are adequate, though other countries have more than what we have such as the Freedom of Information Act, something which we do not have. We still have some problems, but we have a lot to guide us. The problem with the legal framework is implementation by the heads of the institutions.

The above responses are supported by Participant 7, during a focus group discussion at the Ministry of Finance, who said, “As for the existing guidelines, they are self-sufficient.”

However, according to the study findings, the existing legal framework is out-dated and needs to be reviewed to match with the current situation as many things have changed and are changing every day in the field of records management. During the focus group discussion at PO-RAMD, Participant 1 said:

No, the existing guidelines are not sufficient because they are out-dated and need to be revised to match the current situation, as many things are changing every day in this field.

Moreover, it was revealed that many organisations lack the necessary records management guidelines. Some organisations have the national guidelines only, which may not meet their needs; they have not developed the internal guidelines. Some organisations have only the Registry Procedures Manual of 2007, which guides them on doing their duties. In these organisations, the registry staff use the knowledge gained from schools to carry out their daily activities. As a result, the lack of necessary guidelines affects the way they achieve the standards of doing work. Sometimes, they must use more time to seek advice from PO-RAMD before executing the activities that are not adequately covered by the available guidelines, as affirmed by these participants. Participant A from PSSSF had this to say:

With guidelines, we still have challenges because, until now, we have not developed internal guidelines. We use the national ones, which may not meet our

needs. The management is in the process of developing internal guidelines starting with policies. The lack of guidelines affects our standards; for example, last year, documents were required to be disposed of, but after the merger of Social Security Funds, there was no policy to guide us on this matter. We had to involve PO-RAMD, who asked us what our policy says. Thus, the decisions were made late because we did not have guidelines.

In another point, Participant B from PSSSF said:

I have not seen any guidelines or policies that guide records management in our own institution. If there are any, then they are unclear and undefined. For example, the lack of guidelines for handling and disposing of short-term and long-term documents leads to the accumulation of unnecessary documents.

Participant D from the City Council of Dodoma said:

There are national guidelines that help to some extent. Of course, it is not easy to have all the guidelines; so, it remains a challenge. We have tried to follow up on the disposition of documents, and we involved the PO-RAMD because they are nearby, but they told us to wait while we move to the keyword and e-office systems, then we will deal with the destruction of unnecessary files.

Participant H from Manyoni District Council said:

In our institution there are really no guidelines. Thus, if you have, maybe written a letter and made a mistake, then you are called and instructed to do this and that without guidelines. Those provided with many guidelines, for example, writing letters are Personal Secretaries. Thus, there may be guidelines, but these are not available in our registry.

Participant K from Manyoni District Council said, "In our institution, guidelines do not exist at all."

Participant L from Tabora Municipal Council said:

We do not have many other guides except a Registry Procedures Manual, which has no laws. Even the ones available at the national level cannot guide us, they need improvements. Guidelines are not self-sufficient; for example, the e-office system is not regulated.

Concerning the knowledge of staff, the findings revealed that some of the registry staff and users do not know anything about the available guidelines because they do not read them. This was revealed during the focus group discussion with the staff (Participant 4) from PO-RAMD who said:

Many staff in the registry do not know the guidelines because they do not read them. For example, there is an institution X, which I once visited, when I asked the registry staff about the guidelines, they said they did not even know them and had never seen them.

4.3.1.5 Staffing

The study findings presented in this section determine the ways in which staffing affects the sustainable implementation of records management activities. To determine the effects of staffing, the researcher asked: *“How does staffing affect the implementation of records management programmes?”* This question helped the researcher to determine the staffing status of the registries and the challenges in staffing, and their effects on the implementation of records management programmes. The findings of the study on this section are presented hereunder.

4.3.1.5.1 Current status on staffing

To know the staffing status, the researcher conducted interviews with the Directors at PO-RAMD, as they are responsible for the supervision of records management matters in the public service. The researcher wanted to know the efforts made in addressing staffing in the registries in Tanzania. The study findings revealed that staffing of registries in the public organisations is guided by the Scheme of Service that specifies the educational levels of the required staff as well as the expertise they should have.

When asked, *“Are the registries adequately staffed with employees with the required skills?”* Participant F said:

In public institutions, there is a Scheme of Service that specifies the number and educational levels of the required staff and the type of expertise they should have. It also specifies how to conduct staff assessment based on their educational levels and what they do. There is also a continuous assessment using the so-called performance agreement, it was OPRAS, now it is PEPMIS.

To determine the staffing levels in the selected organisations, the findings revealed that there are several organisations with presumably adequate number of registry staff. During interview, Participant E from PSSSF said, “For the time being, on staffing, the management makes sure that every region has the Records Officer.” Similarly, Participant J from Manyoni District Council said, “For us, I can say that the number of registry staff is self-sufficient.” Moreover, Participant M from Tabora Municipal Council said, “Regarding the number, the eleven (11) of us here are enough. All of us have a records management professional except one.”

The benefits of adequate staffing on the implementation of records and archives management programmes were determined by the participants. When asked about the effects of staffing in the implementation of records management programmes, the responses show that adequate staffing facilitates sharing of the responsibilities fairly among the staff, thus facilitating the implementation of activities. Some of the responses were as follows:

Participant J, through an interview at Manyoni District Council, said:

Our number helps us in sharing or dividing the responsibilities because we are five (5) and we are enough to serve all departments.

Participant 5, through focus group discussion at PO-RAMD, said:

If we have enough staff who are well trained, it means they are going to employ their knowledge and skills to help us implement records management activities.

4.3.1.5.2 Challenges in staffing

The study findings revealed that many organisations experience several challenges in staffing, including a lack of the right personnel, a shortage of registry staff, and a lack of confidence among registry staff, and delay of the release of employment permit for registry staff. The study findings on these challenges are presented below.

The study revealed that having the right personnel in registries seems to be a challenge in many organisations. Many problems associated with poor functioning of the registries are the result of lacking the right people in the right positions at the right time. In some organisations, Standard Seven leavers and Security Officers work in the registries. Sometimes, the registries are considered as a place for punishing disobedient employees. If a person from other specialty commits a mistake, he/she is sent to the registry office as a punishment. As a result, something that is supposed to end up in the records office is leaked out because the people working on records management do not have the required skills. Even issues of monitoring and registry structure would have not posed significant challenges had there been the right personnel in the registries. The responses from participants are as presented below:

Through interview at the PO-RAM with one of the Directors, Participant G said:

I think monitoring and structure is not a big problem because with monitoring, you either go there with your questions or by observing or visiting the storage area, whatever. Then you say something as to advise them what they should do to make things better. But the problem is not having the right personnel in registries. In some areas they have Standard Seven, some have Security Officers.

Participant C, through interview at PSSSF, said:

In terms of staffing and continuous training, the challenge is the staff referred to as Records Officers while they do not have that professional qualification. Another thing that discourages records management professionals is bringing someone who does not know anything about records, you teach him or her the ABC and then you seem like nothing anymore. The one you taught seems to be better than you. In that way, a person lacks the heart to work; they go to the office just to rest, letting the days go by. You can train them and go along with them but in the end, they do not have professional competence; it is still difficult.

There was a period when they said they should prepare guidelines including policies and disposition guidelines but surprisingly, as I said, having a Unit under another department is a challenge; the staff who formed the team were those who do not even know what records are. This means that even when they go back, we asked them to produce the policy draft that they prepared before approving it for us to see, but we have never seen anything to date. It was last year or the year before but until today it has not been approved.

Also, Participant E from PSSSF said:

In terms of skilled workers, it is still a problem because, from the beginning, it seems anyone could work in the Records Office.

Participant H from Manyoni District Council said:

Department Heads and office staff with no records management profession placed in the Records Office contribute to the mix up of responsibilities. What happen is something that is supposed to be within the confines of Records Office is leaked out to other places. Also, considering the registry section as part of punishment is another challenge. For example, you find an Accountant sent to the registry as punishment for the wrongdoing they have committed. So, since they do not have that profession, they mix things up. And even when directed, they forget.

Also, Participant K from Manyoni District Council said, “For local governments, the issue of having unprofessional individuals in the Registry Office still persists.”

The study findings also revealed that many organisations have shortage of registry staff, thus affecting the implementation of activities due to the overload of responsibilities among the available registry staff. When asked, “*Is the number of staff responsible for records management sufficient?*” the responses were as follows:

Participant 5, through the focus group discussion at PO-RAMD, said:

If the staff are lacking or not enough, it is hard to implement these activities.

Participant A, through an interview at PSSSF, said:

With the responsibilities we have, the number of employees may not be sufficient. For example, we asked the management to consider this; that, the number should increase, but they do not see it as a problem because the work is going on. But, for the work to be done, it means that someone is overloaded, he or she toils to the extreme. So, you cannot say that I should stop working so that they see that there is a shortage of employees; we must work. The question is who represents us in decision-making sessions to ensure that priority is given to our needs. The staff are not enough.

Participant D, through an interview at the City Council of Dodoma, said:

In terms of staffing, we have a big deficit, which means you see here, we are only three instead of six. And two are already on vacation; one on maternity leave and the other on annual leave. I have the whole month on my own with the help of two Office Attendants who need close supervision.

When asked through an interview at Manyoni District Council concerning the sufficiency of staff, Participant H said:

In the beginning, there was a huge shortage of registry staff, but since last year, they have hired some, so there is an improvement, even though the need is still there. In the beginning, there was only one person with a records management profession, and the rest were staff with no profession qualifications.

From Tabora Municipal Council, Participant L said:

No, the number is not enough, we have about seven people, but some of our offices are far away. For example, the district hospital and other hospitals are far away, and there are Secondary and Primary Education Departments, so the distance between the workplaces forces the record keepers to divide themselves to attend all departments. However, some departments lack Record Keepers.

Moreover, the study findings revealed that a lack of confidence among registry staff affects their performance on professional tasks. It was revealed that the registry people themselves do not have confidence in the profession to observe guidelines and implement mandatory duties. During a focus group discussion at PO-RAMD, Participant 4 said:

The registry people have no confidence in their profession to observe guidelines and implement their duties. Therefore, even if the leaders are wrong, you can educate them if you are confident enough, show them the guidelines and ask them to be involved in planning the budget and teaching others about the importance of records management.

The study findings revealed further that the employment permit for registry staff is not issued in a timely manner. This issue is from the central ministry – the President's Office – Public Service Management and Good Governance (PO-PSM&GG), which is responsible for providing employment permits across the public sector. As a result, the shortage of registry staff takes a long time to be addressed in public organisations. Through an interview with one of the Directors at the PO-RAMD, Participant G said:

The second problem is the issue of the central ministry – The President’s Office – Good Governance and Public Service Management, to provide the employment permits at the right time according to the needs of the institutions, so that they can employ a sufficient number of registry personnel.

4.3.1.6 Continuous training

In this section, the study sought to determine how continuous training affects the sustainable implementation of records management activities. The study findings address three areas, namely, the availability of training opportunities to records management practitioners in public organisations, the benefits or effects of training, as well as the status and challenges regarding training of records management practitioners. These areas are presented hereunder.

4.3.1.6.1 Availability of training opportunities

To establish the effects of training on the implementation of records management programmes, the researcher sought to determine the availability of training opportunities to registry staff and users. The researcher asked, “*Are there training opportunities that you receive to improve your performance?*” The responses showed that training opportunities are provided to registry staff in all organisations covered by this study, although not often. The following were the responses:

Participant 10 from the Ministry of Finance said:

It is good that we get it, and it is sufficient for us; it is satisfying because we see responsibilities have no gap in our performance. We go for training every financial year, and we even do internal training.

Participant A from PSSSF said:

Training is always provided. Our institution has many staff who cannot attend training at the same time. The management arranges for us to go for training in

phases. Thus, the training is done in phases. Even the staff we have here have the necessary skills.

Participant C from PSSSF said, “Regarding training, we go every year, and everyone goes.”

Similarly, Participant D from the City Council of Dodoma said:

Regarding training, we usually go, although not often, it may be once per year. We always go for training organised by the Tanzania Records and Archives Management Professionals Association (TRAMPA).

Participant E from PSSSF said:

Regarding the training, it is not that bad, they are given, but there is still a problem with people's understanding of records management. Training is provided at least once per year. Everyone who attends training must write a report, and the supervisor evaluates the trainees depending on what they wrote in the report.

When asked, *“Do registry staff receive continuous training to improve their skills?”*

Participant F from PO-RAMD said:

In the first place, every public institution is supposed to have a three-year Training Plan. Before preparing this plan, it is necessary to look at the existing skill gaps among employees. For example, if we want to change archives management from paper-based to electronic, the institution looks at whether its employees have that expertise and whether the resources are available. What differs in institutions is the readiness of the institution's leadership to facilitate the required training. Some rely on funds from external donors or the government because they do not have their own funds.

Participant G from PO-RAMD said:

With the case of training nowadays, we have introduced records management syllabi starting from certificate level, diploma, and degree up to masters. So, in the case of training we have a lot. But the issue is with the top management of the institutions to decide to send their people for training. All these depend on the awareness we have.

Participant H from Manyoni District Council said:

Regarding training, we usually get it from the association of archivists, that is, the Tanzania Records and Archives Management Professionals Association (TRAMPA), and we all attend. Although from now on, they have said that we will be attending in groups so that others can stay in the office. Training is self-sufficient.

Participant L from Tabora Municipal Council said:

We get training. In the past, we did not get it; they said they had no budget for training. But now, we attend training; we do it in phases.

4.3.1.6.2 Effects of training

The study participants were of the view that training helps to remember forgotten knowledge. It helps to remind registry staff and users of the things they have forgotten. If training opportunities are not available, it means that if they forget something, they forget everything and remain working on routine basis and guesswork. Participants had the following responses:

Participant C from PSSSF said:

This matter helps us to remember the things we forgot in the performance of work. Once we are brushed in the training sessions, we remember what we tend to forget and when we come here, we change practice. And if you attended a different training from that your fellow staff attended, we always share knowledge

because you cannot find everyone going to the same training at the same time. When we share the knowledge, things keep going well.

Participant D from the City Council of Dodoma said:

If there is training, it helps to remind yourself of things you have forgotten. If they are not there, it means that if you forget something, you forget the whole thing; you will remain working out of routine practice and guesswork.

Moreover, training helps record practitioners to be updated on the existing changes in the field. During the focus group discussion held at PO-RAMD, Participant 3 said, “Staff are updated to align with the existing changes so that their work goes well.”

Nevertheless, training allows records management staff and users to change their attitudes about records management. Participant J from Manyoni District Council said, “Training allows us to change some things and attitudes about records management.”

Training opportunities help records management staff and users gain a better understanding of records management issues. Participant 3 from PO-RAMD said, “When they receive training, they gain more understanding.”

Additionally, training opportunities help records practitioners in the implementation of records management activities. Training improves efficiency and effectiveness in performing records management activities. Participants had the following responses on this aspect:

Participant 5 from PO-RAMD said:

If we have enough staff who are well trained it means they will employ their knowledge and skills to help us implement records management activities.

Participant L from Tabora Municipal Council said:

They teach us how to increase efficiency, solve the challenge of how to talk to our superiors and how to use and maintain documents.

4.3.1.6.3 Current status and challenges in training

Concerning the status and challenges of training, the study findings revealed that inadequate budget restricts training opportunities to records management staff and users. The responses in this area were as follows:

Participant 5 from PO-RAMD said:

For example, in the case of archivists and records professionals, training is provided by the Tanzania Records and Archives Management Professionals Association (TRAMPA) every year, but many institutions do not send participants, or they send their people with great difficulty due to not having enough budget.

Participant 4 from PO-RAMD said:

Also, the lack of a budget prevents them from attending training and gaining new knowledge about the implementation of their work.

Lack of training affects the performance of staff in the implementation of records management activities as they fail to follow the guidelines. Participant 3 from PO-RAMD said, "This makes them fail to follow guidelines."

In most organisations, no attention is paid to the training reports. Records management staff usually write and submit training reports to their offices, but very few officers work on them. It happens that someone has understood the report submitted and works on it once or twice and then continues to work habitually. Participant H from Manyoni District Council said:

Training is self-sufficient, but when we write the reports and bring them to the office, there are a few who work on them. It happens that maybe someone has

understood the report we submitted or the letters we wrote to them and continues to work on it, but others work on it one or two times, and after that they start working habitually.

There are no training opportunities provided to other users who are not registry staff. It is believed that a lack of budget usually leads to the postponement and non-provision of training opportunities on records management issues to other staff. Participant K from Manyoni District Council said:

Training for other staff members who are not part of the records management staff is almost non-existent. We can advise the Human Resource Officer to provide this training to other employees, but the lack of budget usually leads to the postponement and non-performance of this training.

Furthermore, the study findings revealed that records management staff do rarely get the training or sometimes do not receive the necessary training compared to other fields. The responses were as follows:

Participant 3 from PO-RAMD said:

In some institutions, staff do not receive the necessary training, unlike in other fields.

Participant M from Tabora Municipal Council said:

As for continuous training, we rarely get it, maybe once a year and we go very rarely. Out of the eleven (11) staff we have, three of us could be sent for training.

4.3.1.7 Allocation of adequate resources

Under this section, the study sought to determine how the adequacy or inadequacy of resources affects the sustainable implementation of records management activities. The findings cover the effects of resources, the current situation on the availability of resources, and the challenges to resources.

4.3.1.7.1 Effects of resources

It was revealed that resources are needed to facilitate the implementation of records management activities easily. Resources such as staff, files, cupboards, and computers are needed to enable the implementation of records management activities. During the focus group discussion at PO-RAMD, Participant 5 said:

In records management activities, we need some resources to perform the activities easily. We need staff, we need resources such as files, cupboards, and computers to facilitate and enable records management activities.

The effects of insufficient budget or resources can be experienced in all areas of the implementation process, including monitoring and evaluation, as well as outreach programmes. In this regard, the participants had the following views:

Participant 4 from PO-RAMD said:

We are unable to do regular monitoring due to the lack of a budget. We wish to go through many registries to monitor the implementation, but we are hindered by the budget. Unavailability of adequate resources leads the registry staff to do their work lazily or dishonestly.

Participant 5 from PO-RAMD said:

We always do this monitoring and evaluation but according to the budget. In a year, we visit at least ten (10) institutions to follow up on anything, leaving aside the issue of communication with institutions that we have contact with or we send delegates to follow up.

Many institutions do not send the registry staff to training, or they send their people with great difficulty due to not having enough budget.

Moreover, Participant K from Manyoni District Council said:

We have never organised any programme due to a lack of budget. We always recommend doing these programmes to the Human Resource Officer, but no budget is allocated for these programmes.

Participant 2 from PO-RAMD said:

There are times when we need to do regular monitoring and evaluations, but we get stuck due to a lack of sufficient budget. Also, in the budget, there are institutions that fail to prepare guidelines due to lack of budget. So, the lack of budget is very hindering.

Participant D from the City Council of Dodoma said:

Since we are not in the budget, you find that we are still using the old system; it has failed for a long time to move from the alphabetical system to keyword and e-office systems. We have planned a lot to move to the keyword but when it comes to the budget, we are stuck for more than two years because we are not involved when preparing the budget. By the fiscal year 2024/2025, we have been promised a budget allocation. It means that this has happened with a great effort to monitor things for more than two to five years before succeeding. So, this is also a problem.

4.3.1.7.2 Current status on availability of resources in public organisations

On the availability of adequate resources for records management activities in public organisations, the study findings revealed that resources allocated depend on the financial capabilities of each institution and the availability of support from external stakeholders such as donors. When asked about the allocation of adequate resources in public organisations, Participant F from PO-RAMD said:

This depends on the financial capabilities of the institution and whether you have the support from donor funded project or from any other professional bodies. For example, our office gets resources from the central government, donors, and

cooperate diplomatic missions. For example, we have digital scanners supported by the government. One scanner costs about 50 million. Also, we cooperate with various countries such as Oman and Algeria, which provide us with various assistances. We also receive support from professional associations such as the International Council on Archives (ICA), where our institution is a member, and the Eastern and Southern Africa Regional Branch of the International Council on Archives (ESARBICA).

When responding to the question, *“How does the allocation of resources affect the implementation of records management activities?”* participants had different views. Some participants reported having adequate resources. Others reported having the resources, though insufficient to work smoothly. The participants had the following responses:

Participant 10 from the Ministry of Finance said:

As for the allocation of adequate resources, as you can see, we have computers. One of the challenges is that one of the computers is not working. We always get resources, and when we ask for them, they are worked on.

Participant C from PSSSF said:

We do not have a problem with the budget and work equipment, because the budget is always set. Before preparing the budget for a particular financial year, they consult us, they ask us maybe next year what will be required, and then someone will report what is needed to have it accommodated in the budget.

Similarly, Participant E from PSSSF said:

The resources, such as space, computers, storage, and others, are well available here at PSSSF. The management makes sure that every staff has a scanner for scanning the records. On the budget side, we have budgets for visiting the regions to educate workers in those areas. Since other zones do not have space

for storing members' files, they have budgets for bringing files to the headquarters.

4.3.1.7.3 Challenges on resource availability

The study findings revealed that registries are not provided with adequate resources. In many organisations, there is no specific budget for registries, but their budgets are included in the budgets of Human Resource Departments. The Head of Department decides how to allocate the budget to the registry. In other institutions, the registries do not even have computers, scanners, and other devices that enable systems such as e-office to be implemented effectively. You may find these devices in other offices that are far away, causing them to leak confidential information, delay processes, or even neglect to do some things because the registry people get tired of carrying out their duties. The responses from participants on the challenges were as follows:

Participant G from PO-RAMD said:

As I said earlier, most of them do not set aside a budget for records management activities. Even for buying storage facilities, working tools for records are affected by the problem of budget allocation. Sometimes, they allocate a budget, but the availability of fund may be an issue.

Also, as for storage; some registries are very small to accommodate the personnel and files. In some areas, records are just dumped on the floor.

Participant 3 from PO-RAMD said:

As for the allocation of enabling resources, various institutions do not provide enough resources for records management units and their staff.

Participant 5 from PO-RAMD said:

In other institutions, the registries do not even have computers, scanners, and other devices that enable systems like e-office to be implemented effectively.

You may find these devices in other offices located far away, causing leakages of confidential information, delayed processes, or even neglect of carrying certain duties because the registry people get tired of following up.

Participant A from PSSSF said:

On the budget side, the challenge is that it does not come from the top; we are the ones requesting the budget. Even if the budget is set, it may be inadequate because those at the top do not see the seriousness of registry plans.

Participant H from Manyoni District Council said:

There is a challenge, because there are times when the budget is available and other times when it is not available. Another thing is that you may have requested various resources, which you have written through an inter-office memo; there are other resources that may come on time, but the files and others are delayed. If you ask why, they tell you that the bidder for the files says that he/she has already packed the requested files, but cannot supply the files without payment... As for the special budget for registry needs, I have never seen it. Perhaps it is the internal budget of the HR Department that always helps us. If we run out of things, we must go to the Human Resource Officer, who checks the budget to see if there is any money left.

Participant J from Manyoni District Council said:

In terms of tools, they are there, but they are not one hundred per cent (100%) self-sufficient. So, there are times when we need to do something, but we fail due to the lack of tools. Regarding the budget, as far as I understand there is no budget for the registry, but it is included in the budget of the Human Resource Department. The Head of Department decides how to allocate the budget to the units under him/her.

Participant L from Tabora Municipal Council said:

In fact, this depends on the budget allocated. But even after the budget is set, the working tools are delivered very late; we do not get them often. Therefore, you find that the tools are lacking. In the budget, I have never seen a specific section of the registry.

Participant 7 from the Ministry of Finance said:

We have working resources and tools, but they are not sufficient. For example, there are ten staff here in this office, but there are four (4) working on computers; and others sitting idle. When you start capturing letters, that is, there are many letters as you know that this is a big ministry. The tools are still not enough.

Participant M from Tabora Municipal Council said:

As for equipment, there is absolutely none, we work in a very difficult environment. You can even look at our chairs and tables that we use hey! We do not have a computer... As for storage space for our files, this is not large enough; the files cannot be accommodated there because even most of the closed ones are kept where we stay. We do not have a records centre. Even common devices such as envelopes become challenges if we order them; it takes forever before getting them.

Participant D from the City Council of Dodoma said:

On the budget side, there is no budget for the registry as such. This becomes a challenge, as you can see here, the place is very small, and the space we have is not enough. We stay here and the files stay with us, something which is not right.

Through focus group discussion, Participant 4 from PO-RAMD said, "They are not allocated their budget." Similarly, during the interview, Participant K from Manyoni District Council said, "There are not enough budgets for our unit."

The study revealed further that an inadequate budget for records management activities affects training of registry staff to a large extent. As a result, they fail to gain new knowledge about the implementation of their work. On this issue, Participant 4 from PO-RAMD said, “The lack of a budget prevents them from attending training and gaining new knowledge about the implementation of their work.”

Sometimes, the budget allocated for records management activities is not used as planned. Participant C, through an interview at PSSSF, said, “The challenge is that the budget may be available but used by others, but sometimes it is used as it was set.”

In many organisations, the needs and ideas provided by the registry staff are not given priority or emphasis. The issue here is who represents the registries in decision-making sessions, with the priority given to their needs. Alternatively, their needs are accommodated through Other Charges (OC) if Heads of Departments decide to include them. So, the challenge here is that they may need many items, but they end up getting little. In relation to this issue, participants had the following responses:

Participant 3 from PO-RAMD said:

Their needs and professional ideas are still not emphasised. Even if they give their thoughts on the registry budget, they are not considered. Thus, in the budget they are not given priority according to what is required and thus hindering the implementation.

Participant A from PSSSF said:

The issue here remains who represents us in decision-making sessions, with the priority given to our needs.

Furthermore, Participant 4 from PO-RAMD said:

In planning the budget, the registry staff are not involved at all. Even if the registry staff present their needs, they are not considered at all, although we always educate them.

Participant K from Manyoni District Council said:

If there was a budget, then everything we ask for would be easy to get. If you ask today, it takes more than two months to get it. Most of the time, we depend on the funds brought by the government for Other Charges (OC), and we take a little for the needs of the registry. If there was a budget it would be easy.

Participant L from Tabora Municipal Council said:

Every year it is the same, every budget that is prepared does not have a registry section. Although we always give them our needs, they still say the budget is not allocated for our needs. Alternatively, our needs are accommodated through OC (other charges) if they decide to remember us. So, the challenge here is that you may need many items, but you end up getting little; you settle down again.

Some registries have poor-quality facilities or out-dated resources and facilities, which do not contribute to the sustainable maintenance of records. The registries are expected to be striving to use modern systems and resources that can enable effective preservation of the records for the benefits of future generations. The participants had the following views on this issue:

Participant 1 from PO-RAMD said:

That is the whole meaning of sustainability; for example, most of the resources used in our registries of governmental institutions, are out-dated and cannot contribute to the sustainable maintenance of our documents and records. For example, here, we strive to use modern systems and modern resources to be able to preserve records for the benefit of future generations.

Also, Participant 3 from PO-RAMD said, “The file storage facilities are not of the desired quality.”

4.3.1.8 Placement of Records Management Unit in the organisation structure

The study findings in this section are meant to determine how the placement of Records Management Units or Registries in the organisation structure affects the sustainable implementation of records management activities.

4.3.1.8.1 Channels of communication

Channels of communication are used by registry staff to convey their needs to the top management, the theme that emerged during interviews and focus group discussions. Tanzania's registries are managed by the Human Resources and Administration Department. The communication chain begins with the Registry (Office) Supervisor and continues to the Human Resource Officer, who then forwards it to the Assistant Director and Director. The study findings revealed that the main challenge the registry staff encounter is that the inputs provided to improve the environment of registries or records management usually starts from the bottom. Now, starting from the bottom until reaching the top, there are obstacles on the way. Even the process of conveying their inputs passes through many intermediaries, who sometimes do not convey the messages with the same weight through all levels up to the top management. It was revealed that it is difficult for the registry staff to go directly to the Director (top management) without going through an intermediary - Human Resource Officer. If it happens that the Officer is not interested in what was sent to him or her, they will not be able to see the Director or convey the matter to the Director (top management). The participants had the following views on this aspect:

Participant 10 from the Ministry of Finance said:

Therefore, our case comes from the Registry Supervisor; it goes to the Human Resource Officer who conveys it to the Assistant Director and the Director. Regarding conveying the message with the same weight to all those levels, it depends on, for example, maybe our leader has conveyed it to the Human Resources Officer, and our leader also has a chance to speak with the leaders.

Participant A from PSSSF said:

Therefore, the challenge is that the inputs we provide to improve the environment of registries or records management usually start from the bottom. Now, starting from the bottom until reaching the top, there are many obstacles along the way.

Take an example of our structure; we start with the Administration Manager, who also must go to his Director. Meaning, the weight I gave to the Manager is not what the Manager will give to the Director. This means, until it reaches the Director General, if it is the weight, it will have already decreased. Even if the management can be responsive, but the issue is the channel of communication it takes to reach the destination. Therefore, there is top management support, but the issue is there is a gap.

Similarly, Participant C from PSSSF said:

Thus, if something starts from the bottom with us, the inspiration is not fast; until it reaches the top there is a long chain. It has never been a matter of starting from above. And if we start it, there must be a channel; it cannot just come from us and fly up; it must go to the supervisor (Human Resources Officer), from there it will go to the Head of Department, and then it will go up. But there are times when the Head of Department understands our concerns.

During a challenging period, we bypassed the supervisor level and addressed issues directly with the manager responsible for records. When we wanted to conduct training to staff working in the regions offices, to be honest, we skipped the supervisors. After detailing the issues to the manager, our report was accepted by upper management without contest.

Participant D from the City Council of Dodoma said:

In terms of educating them, it depends on the person to whom you can advise something, and you have sent it, but you cannot get answers. And if there is no

response, you cannot improve anything, you will just get stuck. It is difficult to go directly to the Director; you must go through an intermediary - Human Resource Officer. And if he/she is not interested in what you sent him/her, you will not be able to see the Director or convey the matter to the Director. You must wait until that opportunity presents itself, which may take a whole year before you succeed.

Participant E from PSSSF said:

For example, here at PSSSF, every directorate holds working session meetings where they invite staff from other directorates, but they never consider registry staff. It is only this year (2024) when they invited one registry staff to attend the work session meeting because we told them we are part of you. Why are you leaving us behind while we, as registry staff, have some issues to be discussed in those work session meetings?

4.3.1.8.2 Placement of the registry in the organisational structure

When the Directors at the PO-RAMD were asked, *“How does the structure of the registry being under the Human Resources and Administration Department help or hinder the implementation of records management duties?”* Participant F said:

At the top level, the Records Management Department is under the President's Office, so it is very powerful. Therefore, that power trickles down there. The reason we advised the Records Management Unit to be under the HR Department is that the Human Resources and Administration Office manages the security of the organisation, and uses the records the most, I mean Staff Records, Financial Records, and Administrative Records. This placement is under the law, and it is not the question of just guessing.

When asked, *“Don't you think that placing the Records Management Unit under the Human Resource and Administration Department reduces its power and deserved status? Why shouldn't it be independent?”* Participant F said:

It depends on the type of institution. In the judiciary, Records and Archives Management is a separate department because of the functionality and sensitivity of the records holds, such as case files. Again, the department is busy and bigger than the other departments in the judiciary. Even in the military, this is a separate department. In Local Governments, records management is not a very big function, and it is a new function, so you cannot make it separate. It needs to be supported by somebody.

When asked, *“Is the structure facilitating smooth operation of the registries?”* Participant G said:

In most cases, registries are under Human Resource (HR) Department. Yeah, for me, if possible, I would prefer records management to stand as a department itself. Or, if not, it should be under HR, but a section with Assistant Director who will have a voice at the management level.

The participants of interviews and focus group discussions were asked, *“How does the structure of the registry being under the Human Resources and Administration Department help or hinder the implementation of records management duties?”* The responses were as follows:

Participant E from PSSSF said:

Regarding the structure, for us the structure is divided into two main parts: the records staff who deal with member records – they are under the Directorate of Operation; and records staff who deal with administrative records, they are under the Administrative Manager.

The current structure does not provide adequate autonomy in doing the work and lacks authority in it. There is a time we send reports, but it takes time to make decisions. This is because they are just thinking of files, not the profession.

Participant J from Manyoni District Council said:

Since we are under the Human Resource Department, it always makes it easier for us because the Head of Department helps us to deliver it to the appropriate standards. As for valuing our jobs, I cannot say they do that a hundred per cent, but he or she values our registry unit a lot because it is a very important unit in ensuring that the daily activities of the institution move forward. In terms of institutions, the registry is still not given the importance it deserves, although there are some departments, especially the top management, that value the registry.

Participant M from Tabora Municipal Council said:

As for organisational structure, we are trying to tell them we should have our own independent department and not be under the Human Resource Officer. This is because our Office Supervisor (OS) does not even enter the decision-making forums, except for the Human Resource Officer, who cannot report our affairs in the way we want them to be reported.

4.3.1.9 Regular interval monitoring and evaluations

This section presents study findings on the efforts to determine the ways regular interval monitoring and evaluations affect the sustainable implementation of records management activities. The participants were asked: *“How do regular interval monitoring and evaluations affect the implementation process? Are they done or not done and how do they affect implementation?”* The study findings are organised into three parts: necessity for monitoring and evaluations, ways used for monitoring and evaluations, and the challenges of monitoring and evaluations. These parts are covered hereunder.

4.3.1.9.1 Necessity for monitoring and evaluations

When asked about the necessity for monitoring and evaluations, the participants said that monitoring and evaluations are very important because they help to know the various issues of the registries. Some institutions have set guidelines, but do not follow

them. Therefore, if regular and timely monitoring and evaluation are done, it can help to ensure that the guidelines are followed. The responses from the participants were as follows:

Participant 1 from PO-RAMD said:

I would like to say that monitoring and evaluation are very important because they help to know the various issues of the registries.

Participant 5 from PO-RAMD said:

Regarding the storage and disposal of documents, some institutions have set guidelines but do not follow them. Therefore, if regular and timely monitoring and evaluation are done, it can help.

Participant 6 from PO-RAMD also said:

I will talk about monitoring and evaluation. If there was good monitoring, as is the case in other units or sections, there would be positive changes. But it seems that a registry does not have a good monitoring system.

4.3.1.9.2 The ways used for monitoring and evaluations

During interviews and focus group discussions, the study revealed the following ways that are used by the organisations and registry staff to monitor and evaluate the records management activities.

The PO-RAMD uses the Evaluation and Monitoring Unit to coordinate the monitoring and evaluation activities. However, the lack of budget is a big challenge which affects monitoring and evaluations. In this regard, Participant F said:

Public service institutions are big entities, so we cannot conduct monitoring within a short period like a month. For example, at the headquarters, we have an Evaluation and Monitoring Unit, and there is a department where technical issues

on records management evaluation and monitoring are handled. The only challenge is the lack of budget. But if the funds are available, we could do it annually.

It was revealed that evaluations and monitoring are always carried out by PO-RAMD, and the reports are written and sent back with recommendations. Also, the PO-RAMD plans what should be done to improve records management. However, the problem is the implementation of what PO-RAMD advises. Some implement immediately, but some take a very long time. The problem is the lack of funds, and they do not give priority and commitment on improving records management. In this respect, Participant G said:

Evaluation and monitoring are our responsibility. We always do evaluations and monitoring; we write reports; we send back the reports with recommendations, and plan what should be done to improve records management. But the problem is the implementation of what we recommend. Some implement it immediately, but some take a very long time. The problem is funds. Even at the top, we do not have funds.

But to me, the lack of funds is not a great issue here; the issue is to do with priority and commitment. They do not see records management as a priority, while it is a very important aspect for any management in any institution. If you do not have proper records, then do not expect to have a good performance... If you do not have proper records management, you lack a living memory, which may eventually lead to the lack of accountability, openness, and rule of law, misuse of funds and facilities in government bodies, and improper planning. In fact, records management is the mirror to make you see the current and future situations.

It was revealed further that in some organisations, monitoring and evaluation are carried out monthly or after two to three months, and not on a daily basis. In this respect, participants had the following views:

Participant E from PSSSF said:

For us here at PSSSF, we may do it after three months, when the Administrative Manager is asked about records management during the meetings, then he or she can ask the registry staff about the issue. But evaluation is not carried out daily. Now, after the start of the Public Employees Performance Management Information System (PEPMIS), we do evaluation at the end of every month. But it is still not happening as it should be.

Participant H from Manyoni District Council said:

On the institution's side, I do not know if there is any procedure, but on our registry side, we always do a monthly evaluation of our activities. We only call each other, maybe after work or before work, and we sit and give each other instructions and guidelines. Also, if the Human Resource Officer sees that maybe something bad has happened, he or she can call us and have a meeting to guide us. This is until something wrong happens.

Also, Participant J from Manyoni District Council said:

In terms of registry performance, we usually hold meetings, for example, once or twice a month, depending on the period or the situation that arises, and share challenges and correct each other. We rarely sit with our leader, who is a Human Resource Officer, so that he or she knows our challenges. For example, it has been eight months since I arrived here, and we have only held a departmental meeting once.

Participant L from Tabora Municipal Council said:

Yes, we tend to sit once a month. But there are emergency sessions in case of any challenges. Also, there is a practice of visiting each office every day for the morning list and file census.

The study also revealed that some activities are monitored after several days, maybe three days or weekly. This means that there is no set order for doing monitoring and

evaluation at all. The registry staff give themselves some days to see if Action Officers work on the files before going to pick the files back to the registry as they may be needed by other officers. The participants had the following to say:

Participant J from Manyoni District Council said:

To ensure that something is being worked on, once we send the file to the action officer, we usually give ourselves only three days. After that, if the file has not been processed, we go to pick it up because you may find it is needed by another officer.

Also, Participant K from Manyoni District Council said:

There is no set order at all. We only assess ourselves by looking at the availability of files and the use of books in the registry. We do an assessment every week and check if all the files are in the office. Because the file should only stay three (3) days in someone's office, and if nothing has been done on it after three days, we retrieve it and return it to the registry.

4.3.1.9.3 Challenges in monitoring and evaluations

The study revealed that organisations lack regular and consistent monitoring of regulations and plans. They lack mechanisms for verifying whether regulations are observed and plans are implemented accordingly. In most cases, there is no regular verifications on correctness of the budget and whether it is used as planned; no verification on whether the employees in records management are experts in the field; and no verification on whether they are given frequent and sustainable training. On these challenges, participants had the following to say:

Participant B from PSSSF said:

In these things we discussed, they are the goals that institutions or people set for themselves as their daily tasks or goals. I see that all these things are largely often carried out, but there is a weakness in the lack of close monitoring of these

regulations or plans. This is what leads to failure to achieve goals. For example, in the past, there were inspectors who used to visit schools and check the teaching and implementation of various tasks in the school; this helped a lot to make regular reviews and improvements.

On the part of us registry staff, there is a lack of this monitoring. Who verifies these things; for example, to check if the budget is correct and used properly; are the employees in this department experts in this area? Are they given frequent and sustainable training?

It is common that, when there is any training abroad where records management professionals are supposed to attend, the institution sometimes sends people who are not experts in records management to attend the training. The training may be assigned to engineers or administrators instead of records management professionals. At the end of the day, the information of the institution may show that some records management professionals went to some training held in some countries, but it is not true. The important issue here is who makes sure that those who attended the training are professionals.

Participant C from PSSSF said:

I have never seen a special arrangement for tracking what is done, maybe in a certain quarter. Honestly speaking, it does not happen. But I think there will be something like this in the next financial year. Right now, I have never seen anything happening in the registry. No one asks, maybe in a quarter of a year, what have you done or please evaluate what the shortcomings are, what is there, and what, hmm (not done).

Participant D from the City Council of Dodoma said:

That does not exist at all, maybe until a problem arises. If a problem occurs, you can be called; you will be yelled at first, and then you will be told what has happened and what should be done to prevent it from happening again.

Participant 5 from PO-RAMD said:

For example, here, we have tried to maybe set up a camera or carry files in a certain style, but mistakes are made, and no action is taken, or monitoring is not done. We may have installed tools to help us ensure safety, but we do not pay attention to them. So, maybe every servant should not be silent if he or she sees something wrong happening.

Participant M from Tabora Municipal Council said:

There is no evaluation or monitoring of any kind on the implementation of our responsibilities and the achievement of our goals. The Office Supervisor (OS) always tries to make a follow-up, or we speak to the Human Resources Officer about what we need and whether he or she can always implement it for us. As for monitoring how we are working, he or she always visits us to see what we have done wrong, he or she always says or tells the OS.

Moreover, the study revealed that feedback is not provided at the right time once monitoring and evaluations are complete. It is always delayed and thus failing to help Records Management Practitioners to improve or rectify where they are not doing well. In this regard, Participant A from PSSSF said, “In terms of monitoring and evaluation, we do not always get feedback in time, it is always delayed.”

4.3.1.10 Review of laws, policies and guidelines

This section sought to determine how regular reviews of laws, policies, and guidelines affect the sustainable implementation of records management activities. When asked, *“How frequently are the existing laws, policies and guidelines reviewed to make them up to date?”* participants had different views. Participants’ responses are presented in two parts: the efforts for reviewing the legal framework, and the negative views on the review process. These parts are presented below.

4.3.1.10.1 Efforts for reviews of the legal framework

The study findings revealed that the efforts of reviewing the legal framework are affected by the government directives. Recently, the government reviewed the institutional structure, which has led to various changes at the PO-RAMD. Therefore, even policies, laws, and guidelines wait for the government directives to be reviewed and improved to align with the existing changes. The reviews depend on emerging challenges. For example, currently, PO-RAMD has been instructed by the President's Office to conduct a review. When asked, *“Do you have any initiative to review the existing out-dated legal framework as stated in the National Records and Archives Management Policy of 2011?”* the Directors from the PO-RAMD, during interviews, said the following:

Participant F said:

The review of the legal framework has been affected by the government directives. Currently, we are reviewing our institutional structure, which has led to various changes. Therefore, even policies, laws, and guidelines will be reviewed and improved to align with the existing changes. Reviews depend on emerging challenges. For example, currently, we have been instructed by the President's Office to conduct a review.

Participant G said:

Currently, we have not yet started. But it is very important to reframe the legal framework.

When asked, *“How frequently are the existing laws, policies and guidelines reviewed to make them up to date?”* Participant G said:

We have not reviewed them recently. For example, the former Act of 1965 was reviewed and now we have the current Act of 2002. For the case of reviewing the Act, we reviewed the Act only once.

During interviews and focus group discussions participants, were asked if there is a need to review the existing legal framework. Their responses were as follows:

Participant K from Manyoni District Council said:

They need to be reviewed and improved, but this never happened. For example, the 2002 Law, the 2011 Policy, and all the existing guidelines are still based on the maintenance of paper documents, so they must be improved and based on electronic records management.

Participant M from Tabora Municipal Council said:

The national guidelines need to be reviewed and improved. We have never been involved in reviewing and updating these guidelines or frameworks.

It was further revealed that, for reviews to take place, the PO-RAMD should initiate the process. However, the PO-RAMD staff have been promising to start the review process every time the issue is raised during meetings held by the Tanzania Records and Archives Management Professionals Association (TRAMPA). It is not certain whether the reviews have been initiated. The reviews are not needed for the legal framework only but even for issues regarding the registry structures and salary structure to differentiate payments for degree holders as opposed to diploma holders. In this regard, Participant B from PSSSF said:

The PO-RAMD can adjust. When we hold our TRAMPA meetings, PO-RAMD management staff also attend and have been promising to make changes, although I do not know if the changes always happen. For example, they promised to address the issue of structure, especially payment of salaries, where a person with a degree should not be paid the same salary as a diploma holder, although I do not know if they have amended it.

Furthermore, it was revealed that the Tanzania Records and Archives Management Professional Association (TRAMPA) holds meetings every year to discuss various

issues associated with records and archives management, including a review of the legal framework. However, TRAMPA cannot initiate the review as it is only a professional association. In relation to this issue, Participant B from PSSSF said:

We have a Tanzania Records and Archives Management Professionals Association (TRAMPA) meeting held every year. And I see that, for two or three years, this issue has been raised during the meetings. However, TRAMPA is only a professional association.

4.3.1.10.2 Negative views on reviews of the legal framework

The findings also revealed that many participants are not aware of any initiative taken to review the existing legal framework in Tanzania. Since they do not have their own internal guidelines, they cannot review something they do not have. But with the national guidelines, participants were of the view that the review process takes a long time. It was revealed that there are long-term guidelines, but throughout that period, there are many changes that are not covered by such guidelines. Therefore, the existing guidelines are still not sufficient to match the time we have. Concerning this issue, participants had the following views:

Participant A from PSSSF said:

For this, because we still do not have internal guidelines, even making reviews is not feasible. But with the national guidelines, I think it takes a long time to review. We have long-term guidelines, but throughout that period, there are many changes, which are not covered by the guidelines. Therefore, the existing guidelines are still not sufficient to match the time we have.

Participant C from PSSSF said:

We do not even have the guidelines at all. What are we reviewing now? All policies and guidelines are based on the national level.

Participant D from the City Council of Dodoma said:

This has never been done because we use national guidelines. We have never been involved in its preparation at the national level. We have found them, and we continue to use them as they are. There are other areas where guidelines have gaps, but we do not know where to start.

Participant E from PSSSF said:

There are no guidelines to be reviewed at the organisation level. However, at the national level, I think the laws must be reviewed to adequately address issues of the electronic records management system.

During the interview, Participant H from Manyoni District Council said, “Actually, I do not know.” Similarly, during focus group discussions at the PO-RAMD, all participants reported not being aware of the review process.

4.3.1.11 Outreach programmes

In this section, the study sought to determine how outreach programmes affect sustainable implementation of records management activities. Participants were asked, *“How does the availability or unavailability of outreach programmes affect the implementation of records management activities?”* The study findings are presented in two parts: the efforts made on outreach programmes, and the status and challenges on outreach programmes.

4.3.1.11.1 The efforts on outreach programmes and awareness rising

The study sought to determine the efforts made by public organisations on educating the public on records management issues. Participants were asked, *“Concerning the issue of outreach programmes and rising awareness, what initiatives do you undertake?”* The study findings revealed that PO-RAMD strives to make efforts to spread education on records and archives management issues through various methods, including exhibitions, brochures, mini classes to students, and television programmes. Even participants from other selected organisations were of the view that there is a need for outreach programmes for raising awareness among the public

because the image of the records management profession is not good to the public. If anyone talks to people outside, the word registry has a negative connotation in the community, as if it is a dumping place, that is, a part with low quality, low status. Inside the organisation, Heads of Department in the institution should be educated on records management and registry in general. Once they understand, they will also direct the people under them to carry out their duties without hindering records management professionals from operating in the registry. In this respect, participants had the following to say:

Participant 4 from PO-RAMD said:

We have started doing outreach programmes during a public service week, which helps to bring people to our exhibition hall, where we educate them... The PO-RAMD makes efforts to spread education, which is why people from abroad and within the country come to learn. We also visit other institutions and see how they perform their duties, and they also come to us for learning.

Also, Participant 5 from PO-RAMD said:

Community service programmes and awareness rising are our responsibilities, which are very important. As for PO-RAMD, we always reach out to different groups, such as students, and the Director usually arranges programmes for the Tanzania Broadcasting Corporation (TBC), although not more than three times a year. Therefore, to some extent these programmes have positive results.

Basically, where we came from, the situation was worse, but currently we continue to reach out to the community quickly and get returns. We always do monitoring and evaluation, but according to the budget. In a year, we visit at least ten (10) institutions to follow up on anything, leaving aside the issue of communication with institutions that we have contact with or we send delegates to follow up. We will continue to improve, but for now, this is what is happening.

Participant G from PO-RAMD said:

We do public awareness to students at primary and secondary schools. They usually come here to study what we have; we conduct mini classes for them. We also use media to make people understand and know the importance of records and archives management. Yeah! We participate in various exhibitions, prepare brochures, and distribute them to many people.

With regards to public awareness, we need to do more. According to my experience other countries in the world have what we call a records and archives management week or day, something like that. Even in schools' syllabi, they put something about records management, from the ground level. I think we need to do the same. We need to do our own exhibitions which could be structured at the village, ward, district, and national levels. We can invite the President or any other high-level leaders during the opening or closing ceremony of the exhibitions. The presence of these leaders will attract more attention from the public.

Furthermore, Participant G recommended that:

The appropriate mechanism for awareness is exhibitions... introducing the records and archives week from the ground level. Now, there are leaders who are appointed by top authorities, but they know nothing about records and archives management. If they could have learnt from the ground level, they could have better knowledge...

In 2004, I went to study at the University College of London, where I saw some good things. They have computerised the archives; there are a lot of children play games... They have archive shops; they sell a lot of some materials from the archives. You can buy a plate or clothes with a message from the archives. We can utilise this to increase awareness among the public.

Participant J from Manyoni District Council said:

Yes, there is a strategy that we have tried to do. For example, when we came out of the training, we prepared a report in which we recommended that all Heads of Department in the institution should be educated on records management and registry in general. Once they understand, they will also direct people under them to carry out their duties without hindering us from operating in the registry.

Also, Participant K from Manyoni District Council said:

And if you really look at the fact that people do not have education, there should have been a programme to increase awareness. What we do now, when we see there is something wrong, we start to guide one by one on how to use files/records.

Commenting on the importance of outreach programmes, Participant 10 from the Ministry of Finance said:

This awareness raising needs to be carried out even to the public because when you are with the public the word registry to them connotes negativity in that the registry is a dumping place, something of poor quality or low value. Sometimes, even inside the organisation some people perceive registries as problematic. So, awareness raising should also involve people inside the organisation, especially the registries; they know, but most people, to a very large extent, do not know.

The findings also revealed that if the efforts are increased towards raising awareness on records management issues to the public, there is a big possibility for the registry to be an independent Department/Unit in the organisations. In response to this aspect, Participant 4 from PO-RAMD said, “I see the way we continue to provide education; in the future, the Registry Unit will change and become independent.”

4.3.1.11.2 Current status and challenges on outreach programmes

The study findings revealed that most organisations do not have outreach programmes for their employees and the community surrounding them. The findings revealed further

that education (outreach programmes) for the community or other workers on records management is not considered. Organisations do not have any debates, conferences, seminars or training aimed at increasing awareness of records management issues. Outreach services are rarely provided by registry staff, if they find the action officers doing something wrong. It is okay for the action officers who listen and change the habits; other officers do not listen to the registry staff, whom they consider inferior beings. When asked about the availability of outreach programmes in their organisations, participants had the following responses:

Participant 7 from the Ministry of Finance said, “Those programmes do not exist.”

Participant E from PSSSF said:

We do not usually raise awareness to the public, but the Public Relation section does it to its members but not as records management profession.

Participant H from Manyoni District Council said:

In fact, there is no such thing here. We tried to write a letter to request that we conduct training in records management for the employees of our institution, but we were told that there is no money. We said, then even at regular meetings, we should only have a short time to explain to people about their responsibility regarding records management, but we failed.

Participant L from Tabora Municipal Council said:

We have never been given the opportunity to speak with all the employees to provide awareness education about the importance of records management.

The training is not often offered because we do not reach the employees directly in their meetings until they come to the registry, when we get a chance to tell them that some law allows or does not allow certain practices. For example, when someone comes to ask for his/her employment letter, I cannot give it to

him/her because the law does not allow it; he/she must go and take his/her copy at home.

Also, Participant M from Tabora Municipal Council said:

Regarding education (outreach programmes) for the community or other workers pertaining to records management, we have never done it. We do not have any debates, conferences, seminars or training. If we find bosses doing something wrong, we tell them. If they listen it is okay; others do not listen to us because they see us as inferior beings.

The study findings revealed that the methods of reaching the community for awareness on records management issues are still not enough as some members of the community are in remote areas. In this regard, Participant 5 said, “In fact, our methods of reaching the community are still not enough, and some are in very remote areas.”

4.3.2 The effects of monitoring the implementation activities

This section presents the findings related to the second objective of the study, which aimed to explore the effects of monitoring the activities performed to transform inputs into outputs towards realising sustainable implementation of the records management programmes. The section covers four areas which are: the effects of the registry structure in monitoring records management activities; strategies used to conduct continuous assessment; mechanisms used in setting targets; and the effects of measures taken by top management to ensure that Key Performance Indicators (KPIs) are realised. The findings of the study on these areas are presented hereunder.

4.3.2.1 Effects of the registry structure in monitoring activities

The study sought to explore the effects of the registry structure on the monitoring of activities and ensuring the sustainable implementation of records management programmes. The study explored whether the available structure is suitable to facilitate the day-to-day monitoring of records management activities. The main question asked in this area was: *“How does the structure of registries affect sustainable implementation*

of records management programmes?” The study findings on the effects of the registry structure revealed that there are positive and negative effects as perceived by the participants.

During an interview, one of the Directors at PO-RAMD revealed that even though organisations place registries under the Administration and Human Resource Departments, they do not have complete monitoring. The problem emanates on how the monitoring tools are placed. What differentiates this department is how it handles and addresses records management issues. However, the Director admitted that where the records management unit is placed can also be a problem. On this regard, Participant F said:

It is not that they do not have complete monitoring. It is the placement of monitoring tools. For example, if you go to the Local Government Authorities, monitoring is under the Planning Department. What differentiates this department is how it handles and addresses records management issues. Therefore, where this unit is placed can also be a problem. For example, at lower levels, the issue of elections or exams is taken very seriously to the extent of even using budgets allocated for other things. So, that is where the problem is: prioritising the issues. Do they consider records management as one of the priorities? That is the problem.

When asked, *“How does the structure of registries affect sustainable implementation of the records management programmes?”* participants of interviews and focus group discussions said that the structure may have positive and negative effects. During a focus group discussion at PO-RAMD, Participant 1 said:

The structure affects the implementation of these programmes in a positive or negative way. A good structure brings morale and even gives work priorities. A bad structure does not give priority to some tasks and thus affects the implementation.

On positive effects, the study findings revealed that the current structure helps in ensuring that the registry fulfils its responsibilities effectively. When asked about the effects of the current structure in doing records management activities, during the interview held at Manyoni District Council, Participant J said:

Our structure largely, although not completely, helps in ensuring that we fulfil our responsibilities effectively. For example, when we left the training, we wrote a report and passed it to our Head of Department, who, in turn, delivered it to the Director, and then it was worked on.

On negative effects, the study findings revealed that a bad structure does not prioritise some tasks and thus affects the implementation. In terms of registries, since they are under the Administration and Human Resource Office, they have not been given priority in the structures of many institutions. If they were independent, they could be prioritised in the budgets and discussed with leaders. But, because they are under other departments, they are delayed, and not given priority, which thus affects the implementation of records management activities. Findings revealed that the structure created an environment that acts as a deadlock because the person who oversees the records management activities at the Department of Administration and Human Resources Management does not have records management expertise. As a result, there are no priorities on registry issues. On this issue, participants had the following views:

Participant 1 from PO-RAMD said:

The structure does not prioritise some tasks, thus affecting the implementation. In terms of registries, since they are under the Administration and Human Resources Office, they have not been given priority in the structures of many institutions. But if they were independent, they would have been prioritised in the budgets and discussed.

Many institutions do not value the Records Management Unit; that is why it is under the Administration and Human Resource Department and not

independent, as is the case with other units such as Information Technology (IT), Audit, and Accounting.

Participant 12 from the Ministry of Finance said:

The organisational structure is still not as good as my colleagues talked about. For example, here we have the Director of Administration who has assistants - one for administration and another one for human resources. Then, we should have found someone from the records, even if it is not in the directorship position, but there should be an assistant.

But, as far as we are concerned, the registry staff, and the records management office are a very big entity in the country. We are very important people in the nation, and these offices are very important offices in the nation. These old formats should change so that we continue to be the heart of the institution and important people. Now, old formats portray registries as a dumping place; we should change; let us not continue with that old concept.

Participant C from PSSSF said:

To be honest, the structure is a problem because once you send something to the Human Resources (HR) Officer (Supervisor), he/she may act on it tomorrow or next week, even if it is urgent. Asking someone to write something and letting another person take it to the top management is not appropriate; it is still a challenge. That's why sometimes we say it should be a unit to make everything work better. As it is, you must explain things to them, and it takes time before they understand the issue and write it to the Manager. Even when they decide to write, they include inputs, which might be misleading.

You see! In that sense, if it is an independent department, you will know your needs, unlike being under the Human Resources Section/Department. We are not saying that the work is not done but there are other decisions you cannot make mmm! There are times when you say thank God the day has gone by.

Similarly, Participant D from the City Council of Dodoma said:

Achieving organisational goals is possible, yet challenges arise when leadership stems from differing professional backgrounds. This misalignment of guidelines hampers progress, particularly when the HR department prioritises its own concerns, thereby limiting flexibility in budget preparation. To foster an independent department, it is crucial to elevate educational qualifications, such as obtaining bachelor's degrees, as current dependencies restrict intended advancements.

For us here, each department has its own allocation per month, and that allocation is put into a spending or expenditure plan. But someone else who has no interest in the registry sets the expenditure plan. At the end of the day, if you follow it up with an Accountant on Expenditure, you are told they do not see it in the plan; so, you find yourself stuck because you are not in the plan.

Also, Participant H from Manyoni District Council said:

Our structure is prohibitive because our institution has many departments that are in different places, and some are very far away. Once they need files urgently, we ask them to provide us with transport, but they deny and tell us we were not hired to use council transport; instead, we must rely on ourselves, and the documents arrive on time. They provide transportation when they see something is important to them.

Similarly, Participant K from Manyoni District Council said:

Being under the Human Resource Department often hinders the execution of our duties because we have nothing to say other than the Human Resources Officer. For example, when we have our needs, we must submit them to him or her, and it takes a long time to be implemented because it is not until he/she allocates the budget that it is implemented, thus leading to compromised documentation... Our

structure still hinders us because we are still under the Human Resources Department; so, if we had an independent structure, it would help a lot.

Participant L from Tabora Municipal Council said:

Our structure does not enable us to carry out our duties properly. That is, first, this registry is a unit but just say it is under the human resources office; it was absolutely required to be a department due to its importance. I say so because, in the implementation of our duties, for example, when we have problems, we are stuck with the human resources officer. It means that the Office Supervisor (OS) gives the information, but the implementation becomes difficult, and we do not know if the human resources officer always conveys our problems to the relevant authority.

Similarly, Participant M from Tabora Municipal Council said:

Our structure still hinders us because we are still under the Human Resources Department; so, if we had an independent structure, it would help a lot. Our strength is the Office Supervisor (OS), who is the monitor of all things like inter-office communications, but even then, it is not strong, and we do not even know if our registry budget exists or not.

Participant 10 from the Ministry of Finance said

On the organisational structure, we were supposed to have the Director or an Assistant Director in the records unit. But here, we are managed by an officer, that is, we are under the Human Resource Officer.

Participant A from PSSSF said:

Even in terms of structure, being under Human Resources Officers is not right. In my opinion, there is an environment that creates a deadlock because the person in charge does not have records management expertise. We report to the Administration Manager, whose specialisation is Human Resource Management.

If there is a registry issue, you must sit with him or her and explain it in detail. Even the priority on registry issues is not there because it is not something he or she works on himself/herself.

The way our structure is delays the implementation of duties because the Registry Administrator does not carry out our needs with the required weight. For example, the budget may be allocated, but when it comes to the implementation of the tasks, it does not happen with the urgency we expect. You can initiate one thing, and it takes time to implement; you come to initiate another, and it meets the initial one which is also incomplete. Therefore, it is possible that the one who manages or supervises us does not carry it with due weight. Sometimes we give the supervisors basic registry requirements, but if they go to the top management and get challenged a little bit, they easily give it up. Therefore, the structure does not support it, the result is not positive to that extent.

Participant 6 from PO-RAMD said:

The administration of the registries does not adequately address budget requirements, either due to a lack of knowledge about actual priorities or disregard for them, resulting in a decline in their performance... Since the registry is not independent, even if the human resources officers do not have the morale to participate in records management, whether they like it or not, they must participate until it becomes independent.

Participant 2 from PO-RAMD said:

Human Resource Officers are very helpful if they participate fully; we have given them permission to access various documents online in the system. But they do not have the morale to participate, and they tend to avoid it because I think it is not their area of expertise.

Moreover, the study findings revealed that poor structure affects even the fringe benefits of registry staff. These are not considered at an institutional level as there is no one who

ensures that the registry staff are given priorities like other employees working in other units or sections. In connection to this, Participant D from the City Council of Dodoma said:

Even if there are some fringe benefits in the institution, they do not consider the registry staff; you will only see your colleagues benefiting...

The study further revealed that the current structure of the registry makes the registry staff undervalued, and their work is not respected. It was revealed that even the naming of the unit as “Registry” makes the people working in the registry feel inferior, people with a low level of education. It seems that the registry staff are despised; they are not given priority in every matter. The participants had the following views on this issue:

Participant 12 from the Ministry of Finance said:

The more the word registry is used, the more it makes the people working in the registry feel inferior and have a low education level.

Participant 4 from PO-RAMD said, “The other thing is that the registry staff are despised, they are not given priority in every matter.”

Participant 10 from the Ministry of Finance said:

In local governments, there are challenges, that is, they are in a bad situation in terms of records management. First, the issue of being despised starts there; it is bigger than here in the central government and in other institutions. In the council, there is also mistreatment. I do not know if you have visited even one council, but you will find contempt and every kind of disrespect; it is where they start. Also, even their leadership, for example HR Officers, are the biggest source of oppression of the registry staff. Here we have no oppression.

Also, Participant H from Manyoni District Council said:

The structure affects us because you find our Heads of Department not having the expertise in records management, and if they have, it is too little, hence causing challenges in the implementation of daily tasks. In addition, because he or she is the in charge of the department, the HR may want to take a copy of the letter with the institution's seal out of the file and give it to someone who might have misplaced his or her copy. The HR pulls it out and passes it to him, something that is not allowed. Now, when you tell the HR that this is not allowed, he or she tells you that I am your supervisor, how do you teach me to work? You tell him or her that it is against the rules, if it is a copy, maybe we should make it within the institution; but people are difficult.

Moreover, the study findings revealed that unsuitable structure leaves registry staff with no voice at all in all decision-making organs of a particular organisation. Now, many of the sessions they attend they are denied the opportunity to express their thoughts since they are under another department. It is common to find issues on records management being discussed by top management while registry staff do not even know. Concerning this issue, the participants had the following views:

Participant H from Manyoni District Council said:

In fact, we have no voice at all, and we do not participate in any decisions. When we have a problem, we always tell the Human Resource Officer who goes to talk to the management. Now, if he or she says it in a correct or incorrect way, we really do not know. And decisions are sometimes made by him or her and not the top management.

Participant 5 from PO-RAMD said:

Now, in many of the sessions in the offices, registry staff are denied the opportunities to express their thoughts since they are under another department. They fail to express their ideas widely because they do not get enough time, this would be different if they were in an independent department.

Participant 12 from the Ministry of Finance said:

It would be nice when designing the building to involve our office supervisor or someone who understands that our office should be big, it should be like this. That person should cooperate with the management on those plans. But sometimes you find in the plans no one has this understanding that our office should be big, the management does not know that. So, when you are allocated the office, you are told that your office will be this, even if you say that it is small, you will be told that is what is available.

Participant A from PSSSF said:

Regarding participation during the preparation of the budget, in the beginning it caused problems because it was not known what we were doing. It was like we were eating a share of others; it's like you meet people who are busy eating while there is no share for you, then you start looking for the one who served him/herself with a large portion so that he/she can also give some of it to you. Later, we explained to our managers that we have important needs for our work. So, they started to allocate a budget for us, even though it is not sufficient, but at least it was something, and they involved us to explain to them the things we wanted.

Participant C from PSSSF said:

On the registry structure, as other stakeholders said, having a department or an independent unit would be better. But being under the administrator is not bad, because that is what we do; even though we are not involved in many decisions.

Participant D from the City Council of Dodoma said:

In terms of the budget, we are not involved; the registry issues are not in the budget, and that is why if you need tools, you are told there is no money. For instance, when we send letters to request for 50 envelopes, you are given two

bundles because the budget is not enough. You may need things and not get them at the right time because they are not included in the budget.

If we want something, we can monitor it, the problem comes when the budget is insufficient because we are not considered in the budget; therefore, the budget is inadequate and is a constraint to us. This means you will be asked if you are in the budget, did you put it in the budget, which sub-vote is it in?

Participant B from PSSSF said:

The structure of the registry does not enable the registry staff to have a voice and be appreciated. But if you say that this is an Accountant who is going to present his or her matter, people are not as surprised as would have been the case if it were someone from the registry.

Participant L from Tabora Municipal Council said:

Therefore, the implementation has been difficult. If the Office Supervisor were representing the registry in decision-making sessions, he or she would be defending us; he/she would be answering questions during the decision sessions. If they say that the registry needs are like this and that, he/she would stand up to defend the matters.

The study revealed further that the current structure considers records management as a lower cadre. As a result, records management professionals feel worthless. It even compromises accountability. The participants had the following views on this:

Participant 9 from the Ministry of Finance said, "In the records management cadre, we seem like doing something that is not important while in fact it is something of great importance in institutions."

Participant H from Manyoni District Council said:

Until now, we (registry staff) have been called people of the lower cadre. Also, other departments know that the registry staff are Office Attendants. Thus, if their office or hall is dirty, they come to ask us to clean it. We do not refuse to do such tasks, but even the way the message is delivered to us is sometimes not in a good language to ask for a service from someone. For another reason, they just come and tell us that we do not know our responsibility that is why the hall is dirty. They order us to go and clean it up. Sometimes, the action officer may come to our registry and say, 'don't you know that my office is dirty?' Go to clean my office. Until we got to this point, there was a day when we had an argument with a certain lady (action officer) and we told her no, those are not our responsibilities; our duties are one two three. Sometimes, we tend to do maybe just to help but not taking it directly as our responsibilities. Even if she finds us cleaning the registry, she says when you are done, come to my office; If you tell her, it is not my responsibility, she does not understand, you must go and do it.

Participant 2 from PO-RAMD said, "This makes records management professionals feel worthless. It even compromises accountability."

4.3.2.2 Strategies used to conduct continuous assessment

The study sought to explore the effects of the strategies used to conduct continuous assessment of the records management activities while focusing on the inputs and outputs in relation to agreed schedules. The participants were asked: "*What strategies does the organisation use to conduct continuous assessment of the implementation of records management activities by focusing on the inputs and outputs in relation to agreed schedules?*" The study findings on this aspect are presented into two parts: the strategies used for continuous assessment, and the challenges to the strategies used by the organisations to conduct continuous assessment.

4.3.2.2.1 Strategies used for continuous assessment

As for the strategies, the study findings revealed that the Heads of Department check how the registries carry out their responsibilities and determine if there is something

they have done wrong. The Heads of Department just look at how the registry staff attend work. The participants from Tabora Municipal Council had the following responses on this aspect:

Participant L said:

The supervisor, that is, the Human Resource Officer, always comes to check how we carry out the work responsibilities, and if there is something we have done wrong, he or she points it out. He or she always comes, but only when there is a problem.

Participant M said:

The method they use is probably just checking on how we work, that is, how this person works or how the person attends work; that is the way. There is no other way that I know of, maybe if it is secret.

Moreover, the study findings revealed that PO-RAMD uses the installed systems, such as e-office and e-feedback systems, to monitor records management activities in various institutions. On this regard, participants had the following responses:

Participant 2 from PO-RAMD said, "In this case, monitoring is usually done at institutions where we have installed systems."

Participant 1 from PO-RAMD also said:

Where we are heading it is most obvious that it will help us get feedback very easily. For example, we have launched an e-feedback service, which will help us a lot to do monitoring and evaluation in a faster and more transparent way.

The study revealed further that sometimes, weekly, monthly, and quarterly reporting is used to monitor the progress of records management activities in various institutions. This is done through writing and submitting the reports to relevant authorities on weekly,

monthly or quarterly basis. Participants had the following views during a focus group held at PO-RAMD and the interview at PSSSF:

Participant B said, “We always give a report on the implementation of our responsibilities to our managers weekly with evidence attached.”

Participant 2 said, “Every two or three months we call and get feedback.”

Participant 6 said, “There are other institutions that write a report maybe every three or four months.”

Likewise, the study findings revealed that monitoring is done through the Public Employees Performance Management Information System (PEPMIS) where each employee reports the implementation of activities daily, weekly or monthly. During an interview at PSSSF, Participant E said, “For a time being, after the introduction of the PEPMIS system, it is done monthly.” Also, one of the Directors at PO-RAMD said the PEPMIS is talking about staff performance where each employee must set the objectives, targets and performance indicators which are to be reported in the system to show the status of implementation. Thus, Participant F said:

PEPMIS is talking about staff performance. So, you have the objectives, targets, you have the performance indicators, and you have the status of implementation. It is measured, so you are promoted if they see that your performance in the system is a verified.

Equally, the study findings revealed further that the office supervisor (OS) reports to the Head of Department whatever goes wrong, including the staff who are not fulfilling their duties as expected. Then, the Head of Department takes the appropriate steps to address the issues. This was revealed during an interview at Manyoni District Council where Participant J said:

From my understanding, first, in our Division, there is our leader (office supervisor) who, if something goes wrong, say for example, someone is not

fulfilling his/her duties as expected, he/she conveys that information to the Head of Department. After that, other steps would usually follow.

In addition, follow-up of the reports written after the audit to the institutions is another strategy used by PO-RAMD to monitor the implementation of recommendations provided in the reports. This may take a whole year for some institutions. In this aspect, Participant 2 said, “Regarding the follow-up of the reports we write to the institutions after the audit, it may take a whole year for some institutions.”

It was further revealed that PO-RAMD issues instructions on how to do continuous assessment in some institutions. On this aspect, Participant 3 from PO-RAMD said, “As far as I know, when we go to a certain institution, we instruct them on how to do continuous assessment.”

Correspondingly, the study revealed that the PO-RAMD visits some institutions for monitoring and evaluation every year according to the existing budget. During a focus group discussion, Participant 3 said, “After some time, every year, according to the existing budget, we go to monitor and evaluate.”

Also, it was revealed that some organisations rely on meetings to get feedback on what is going on concerning the implementation of records and archives management programmes. The organisations hold meetings, although not regularly, for the registry staff to give feedback on what they are accused of doing wrong and what they are complimented for doing right. The participants had the following responses on this issue:

Participant A, through an interview at PSSSF, said:

At the headquarters, we always hold meetings, although not regularly, to give feedback on what we are accused of doing wrong and what we are praised for doing well. That feedback helps us to know areas where we have not done very well. The meetings are not held regularly, but there are meetings that assemble all the staff and can be held twice a year.

Similarly, Participant B from PSSSF said, “Most of the evaluations and monitoring are done through meetings only and not visits to the relevant sites.”

Respectively, it was revealed that the strategic plan is used as a tool for monitoring and evaluation. The strategic plan states when the organisation must conduct monitoring and evaluation. This was revealed during an interview with one of the Directors at PO-RAMD. In that regard, Participant F said:

In the first place, we must have the so-called strategic plan. You cannot implement activities that are out of the strategic plan. So, even the monitoring and evaluation strategy is in the strategic plan. It states when to conduct monitoring and evaluation. For example, at local governments or for a newly established organisation, the strategic plan should specify when you are expecting to conduct monitoring and evaluation. The same should say something about when you expect to conduct monitoring and evaluation at the central government. Therefore, the strategic plan is the main tool that directs us on how to carry out these activities.

Furthermore, the study findings revealed that the organisations that have regional offices or branches tend to visit regional offices or branches to see if they are complying with records management standards. At the end of the visit, the management requires that a report be prepared showing the work done at the regional offices/branches, along with their challenges, so that they can be worked on. This visit can be done quarterly. This was revealed during an interview held at PSSSF where Participant A said:

Here we always go to our regional offices to see if they are complying with records management standards. Monitoring compliance with records management standards at regional offices is a key responsibility, requiring quarterly evaluations to assess completed work and challenges faced. Management mandates the preparation of reports based on these visits. Staff are instructed on required tasks during visits, but follow-up visits are scheduled over the years to ensure implementation of instructions.

4.3.2.2.2 Challenges on strategies used to conduct continuous assessment

During interviews and focus groups discussions, the study revealed that some institutions have no specific strategies on monitoring and evaluations. They do not have any system to evaluate their records management activities until a problem occurs. In relation to this concern, participants had the following views:

During a focus group discussion held at the Ministry of Finance, Participant 7 said:

There is no specific strategy to evaluate, but one day the Director asked me how many letters I had received in a week. I just failed to tell him that in the e-office, there is a section dealing with records of how many letters are received in a day and how many were received the previous day. Thus, there is no such thing as a strategy; that is why we say if we had a Head of Records Management Department, it would have been easier, but now until departmental meetings are held before the evaluation of records takes place.

In another focus group discussion at PO-RAMD, Participant 5 said:

Monitoring of the effectiveness of programmes has not been done, although we see a positive response from the community because there are people such as students, employees, researchers who always come to learn here.

Participant C, through an interview at PSSSF, said:

Hmmm, this thing does not really exist. Assessment! I feel that this issue will happen the next year. But right now, you cannot say how many letters have been received and captured into the system; there is no such thing.

Participant D, through an interview at the City Council of Dodoma, said:

We do not have a system for evaluating ourselves until a problem occurs. But if nothing wrong happens, you continue working. First, it means that, according to the scarcity of employees and the abundance of work, I do not think that the

assessment time is available. Can't you see that until now (around 4:15 PM) here, the working time is over, but people are still coming; and if you stay here, you can find yourself receiving customers until six o'clock (6:00 PM).

Participant H, through an interview at Manyoni District Council, said:

I really do not know if there is any way of doing it. They only know that we perform better if documents are sent promptly and we perform poorly if documents are delayed, regardless of the circumstances, such as distance, lack of transportation, or anything. As I said, maybe if something is far away and is needed at that time, but if there is no transport, or you must walk, if you are late, you have already ruined everything. Or maybe you have hired a motorbike at your expense, you go and come back early, they say you have done well regardless of how much you have spent. Maybe it just happens that if there is a car, you will just have to ask for a lift.

Also, Participant K, through an interview at Manyoni District Council, said:

For our council, I have never seen any strategies. Also, even in the management meetings, we have never attended as registry staff. The one who attends is a Human Resources Officer, who is our supervisor, and must remember the registry issues so that he or she can present them, something which is difficult.

In addition, the study revealed that the strategies used by the public institutions to conduct continuous assessment of records management activities are inadequate to facilitate smooth implementation of the activities. Sometimes, they introduce the systems to assist them in monitoring the registry activities, but they do not take any actions even when there are mistakes. This was revealed through focus group discussion at PO-RAMD where Participant 5 said:

We have strategies although they are not adequate. For example, on the issue of security and confidentiality of documents, we should have more effective methods to monitor this. For example, we have tried to set up a camera or carry

files in a certain style, but mistakes happen, and no action is taken, nor is monitoring done. We may have installed tools to help us ensure safety, but we do not pay attention to them. So, maybe every servant should not keep quiet even when he or she sees something wrong happening.

The study findings revealed further that the lack of budget for monitoring and evaluations is a challenge in conducting continuous assessment. Registries depend on Other Charges (OC) to facilitate their activities. This was revealed by Participant G, through interviews with the Directors of PO-RAMD, who said:

With the assessment, there is a problem here; sometimes, we lack a budget. We use Other Charges (OC) to facilitate the activities.

4.3.2.3 Mechanisms used in setting the targets

The study sought to explore the effects of mechanisms used by the organisations in setting targets for measuring key performance indicators (KPIs) of each activity. Participants were asked: *“How does the organisation set the targets (anticipated level of performance) for measuring the KPIs of each activity by particular dates?”* The study findings are presented into two parts: mechanisms used to set targets, and the challenges the organisations are facing in setting targets for each records management activity.

4.3.2.3.1 Mechanisms used to set targets

The study findings revealed that, in some organisations, the process of setting the targets is participatory during the preparation of the budget. Employees discuss and agree on the targets through departmental or sectional meetings. This starts from the bottom, then moves upwards, and then they come down for feedback, by sharing. This was revealed during interviews with the Directors of PO-RAMD and other participants at PSSSF. Participant B from PSSSF said, “In my case, this tends to be a participatory or collaborative exercise. We always agree together.” Also, Participant E from PSSSF

said: “For PSSSF, it is participatory, as for example, now it is June, in July, we will be asked to propose our plan for the year 2024/2025 budget.”

Participant F from PO-RAMD said:

If it is one-way traffic, it is difficult to get output. There must be participatory initiatives. We always have departmental or sectional meetings. This starts from the bottom, then they go up, and then they come down for feedback, by sharing. If you do not do that, you cannot achieve.

Participant G from PO-RAMD said:

The targets are participatory during the preparation of the budget. We discuss together and agree on the targets.

The study revealed further that some organisations set targets through the Public Employees Performance Management Information System (PEPMIS). This is done during the time of setting plans and targets to be appraised into PEPMIS where everyone sets his or her own goals. In some organisations, the registry staff fill their targets according to what is planned by the office supervisor (OS). The activities they do are what give them the goals/targets. The participants had the following responses on this aspect:

Participant A, through an interview at PSSSF, said:

Often in this area, it is done during the time of setting plans and targets to be appraised into the Public Employee Performance Management Information System (PEPMIS) where everyone sets his or her own goals.

Participant J, through an interview at Manyoni District Council, said:

Now, there is a PEPMIS system in which we fill our targets according to what was planned by our office supervisor (OS). The activities we do are what give us goals. Our main goal is to ensure that the documents are kept as long as

possible and are used as much as they are needed to be used in the institution. To achieve this goal, there are tasks that we must do, which include managing files, changing files, and others.

In addition, it was revealed that the registry staff set the targets for themselves in consultation with their colleagues. After setting their own targets, they send them to the Human Resources Officer who, if he or she does not understand them, can tell the registry staff to change the targets and put what he or she wants. In this regard, Participant H from Manyoni District Council said:

We only set goals for ourselves in consultation with our colleagues. After setting them, we usually send them to the Human Resources Officer who, if he or she does not understand them, can tell us to change them and put what he or she wants... So, it becomes a challenge. Even if you look at many OPRAS (Open Performance Review and Appraisal System) for many employees, they are just written but I do not know if they are real.

4.3.2.3.2 Challenges on setting the targets

Even though some registry staff set targets through either participatory methods or individually in PEPMIS and other platforms, the study identified several challenges regarding the mechanisms of setting targets. Some organisations do not have a specific approach for setting targets. Registry staff have never seen any initiative for setting goals. The objectives they fill in PEPMIS are based on routine work.

Participant C from PSSSF said, “For here, we do not have any; I have never seen it, maybe it happened while I was not there.”

Participant K from Manyoni District Council said:

Personally, I have never seen such goals. The objectives that we fill in the already abandoned Open Performance Review and Appraisal System (OPRAS), and the current system (PEPMIS) are based on the work we do here.

Similarly, Participant M from Tabora Municipal Council said:

Personally, I have never seen such goals. When we sit with the administration or Human Resources Officer, they just tell us that there are certain areas we need to improve or fix.

Moreover, it was revealed that there are cases where targets are set but there is no follow-up on the implementation. In some organisations, the registry staff set targets and submit to the Human Resources Officer, but no implementation afterward. Through an interview held at the Tabora Municipal Council, Participant L said:

We always prepare goals for submission to the Human Resources Officer. We write goals, but there is no implementation. Later, they would tell us to wait and that is all.

According to the study findings, in some organisations, the process of setting the targets is not participatory. Targets are brought to the registry staff while they are already prepared. This was revealed during an interview session held at the City Council of Dodoma where Participant D said, “But, when setting goals, they are not participatory, they are brought already prepared.”

The study findings revealed further that there is a possibility that registries in Tanzania do not have any assigned Key Performance Indicators (KPIs). If there was a registry with the assigned KPIs that would probably be a newly established one. The issue of setting KPIs seems to have started recently; it is not familiar to registry staff. On this regard, Participant C, during an interview held at PSSSF, said:

I truly believe that there are no registries here in Tanzania with the assigned KPIs; if there is one, it will probably have been established this year. I mean, I am sure. And this continuous assessment has probably started right now. You know, let me tell you something, a large percentage of people in the registries work out of routine (business as usual) because the work is the same every day; in that sense, there is nothing like giving a report. It is very rare to find yourself giving a

report, maybe if you were told to do a special task, so that at the end you will give a report. But for our work, I do not remember the last time I wrote a report. Maybe the newly introduced performance assessment system (PEPMIS) will help us to have KPIs and continuous assessment.

4.3.2.4 Effects of the actions taken by top management

This section presents the findings on the effects of measures taken by top management to ensure that the key performance indicators (KPIs) are realised. Participants were asked: *“How does the top management take actions to ensure that the KPIs are realised?”* The study findings revealed that measures taken by top management are acknowledged in some organisations by some employees and not by others. As for organisations where measures are taken, the top management uses different methods, including meetings, punishments, training and induction courses, regular reports, mobile phones, and employees’ performance management systems.

Organisations use meetings as a means of determining the progress of records management activities towards the realisation of key performance indicators. The departmental and institutional meetings deliberate on activities that need to be done in a particular period (within a week or a month) and get feedback on the status towards realising performance indicators. If in the previous meeting they agreed to do certain tasks, in the following meeting they need to get feedback on the performance status of such tasks. This was revealed through the interview with one of the Directors of PO-RAMD and the focus group discussion at the PO-RAMD. Participant F said:

In the first place, we have departmental meetings, and we have institutional meetings every week to assess what activities were supposed to be done in this week and what the status is; did we meet the performance indicators? For example, if in the previous meeting we agreed to collect some archival materials from five Local Government Authorities (LGAs), in the following meeting you need to give us the status. You were given resources, the staff were available, and you did not implement; then you will tell us why in writing.

Participant 5 said:

Meetings are held often within the institution involving all employees four times a year. Before the meetings, the Director always gets feedback from the institutions, and the Director explains to us, and we explain our challenges and agree on what to do next.

In addition, the study revealed that the organisations use punishments as a tool of ensuring that employees remain focused on the attainment of key performance indicators (KPIs). Once they fail to realise KPIs, they get punished. One of the punishments is denied promotion and this is implemented through the system (PEPMIS) where someone cannot cheat. Through the interview with one of the Directors at PO-RAMD and focus group at PO-RAMD, the participants had the following responses:

Participant F said:

There are punishments also; one is denied promotion, currently captured in the system (PEPMIS), where you cannot cheat.

Participant 5 said:

If you are sent to an institution and perform badly, you will be called to the Director to explain the challenges you encountered. Sometimes, employees who seem not to be doing well or not being able to do the job are placed under managers who are experienced to achieve the goals. You cannot be sent alone to conduct monitoring and evaluation to public organisations if the top management knows you are incompetent.

Similarly, Participant 4 said:

If the goals are not reached, we will give reasons for not reaching them and explain our challenges to our leadership and they will review and satisfy themselves. And if there is a deficiency, we must be held accountable.

The study also revealed that organisations use induction courses as a mechanism of ensuring that new employees know the expected outputs in their records management activities. New employees are also involved in the preparation of the budget and are encouraged to make sure they implement what they are supposed to do. During an interview with one of the Directors at PO-RAMD, Participant G said:

We have training. For example, for new employees we have induction courses about records management. Then, they participate in the preparation of the budget and undergo training. We encourage them during our discussion meetings to make sure that they implement what they are supposed to do.

Moreover, the PO-RAMD also uses quarterly, semi-annually and annually reporting to make follow-up on the progress of records and archives management activities. Each section at PO-RAMD prepares reports on the progress of the activities. In an interview with the Director at PO-RAMD, Participant G said, “We used to report quarterly, semi-annually, and annually.”

In connection to the above methods, the findings of the study revealed that the Public Employees Performance Management Information System (PEPMIS) is used for monitoring and evaluations where employees enter the progress of their tasks and supervisors check them and give marks for what they have done on weekly basis. Thus, the assessment is done in PEPMIS. The participants had the following responses on this area:

During focus group discussion at the Ministry of Finance, Participant 7, said:

On monitoring and evaluation, we have PEPMIS. Therefore, we enter our work progress into PEPMIS, they check it and give marks for what we have done for the week. The assessment is often done in PEPMIS, so it is not a problem.

During an interview at the City Council of Dodoma, Participant D, said:

For the first time the objectives were set in the Open Performance Review and Appraisal System (OPRAS) and now we are using PEPMIS, and those objectives have been specified by the institution.

Let us wait for this PEPMIS, which has just started, because we have not reached the end, so we know if there are any steps or not. The system that existed before did not have any steps until it discouraged other people from filling it. Right now, we do not know yet because we have not reached the end. But, as we look at this new PEPMIS system, at least there is hope because the system shows performance percentages.

During an interview at Manyoni District Council, Participant K, said:

This new PEPMIS system has helped in monitoring the goals we set for ourselves because if we do not fill it, we are seen by the supervisors, and the Human Resource Officer can come to monitor and encourage us.

Furthermore, the study findings revealed that the PO-RAMD staff use mobile phones to monitor and evaluate what they do for customers. This is mainly done to monitor and evaluate if the outreach services they provide to the public are yielding the expected outcomes. During the focus group discussion with the PO-RAMD staff, Participant 2 said:

Since the department is increasingly distinguishing itself, in evaluating and monitoring what we did during the public service week, we took mobile phone numbers of our customers, so we will call them to ask how they are doing.

Similarly, Participant 3 said, "Sometimes we use phone monitoring."

As not enough, the study findings revealed that the top management at PSSSF makes follow-up through the Registry Supervisor, who is sometimes asked by the top management about the complaints raised on records management activities. The supervisor then calls the registry staff to share what he or she was told by the top

management. The registry staff explain to the supervisor who then evaluates what was said by the top management and what was said by the registry staff to determine the truth. On this aspect, during an interview at PSSSF, Participant A said:

The Manager communicates employee complaints to top management and then provides feedback back and forth to ensure that KPIs are met. Regular meetings between the manager or supervisor and employees are held to discuss any unmet goals and explain their current status.

During an interview at Manyoni District Council, it was revealed that the top management devolves power to the Office Supervisor (OS) to do monitoring of daily activities in the Registry. The OS must monitor and report on the implementation of records management duties. On this aspect, Participant J said, "... they have devolved power to the Office Supervisor (OS) who monitors and reports on our implementation of records management duties."

Likewise, the study revealed that the Director of PO-RAMD usually contacts the Heads of public institutions once he or she receives the evaluation reports to inform them on what they are supposed to do to improve areas reported to have some problems. This was revealed during focus group discussions at PO-RAMD, where Participant 2 said:

Once we get the report, the Director of PO-RAMD usually contacts the Director of the relevant institution. So, we are not involved. Even the report is verified and signed by our Director.

Also, the study findings revealed that the PO-RAMD staff do self-evaluation of their activities. They must evaluate themselves and prepare a work plan according to the volume of their work. During a focus group discussion at PO-RAMD, Participant 4 said:

Here in our office, the work we do must be evaluated, so we sit among ourselves first and evaluate and prepare a work plan according to the size of the work, we prepare the budget together so that the work can be completed quickly, and then do the work.

On the other hand, the study revealed that the top management at PSSSF responds to the needs of the Registry Section to facilitate its operation towards realising key performance indicators (KPIs). In relation to this aspect, during an interview at PSSSF, Participant B said:

In my Member's Records Department, for example, when there were only two of us burdened with responsibilities and experienced inefficiency, we explained to the management who promised to bring us people; they brought practical training people, who were attached as interns that we have now.

However, there were some participants who believed that the top management was not taking any measures to ensure that Key Performance Indicators (KPIs) are realised in their organisations. These participants were of the views that even if they do something wrongly, they are just snored, but no one asks them why the KPIs have not been realised. They do not bother to know the reasons for failing to realise the KPIs. In connection to this issue, during interview at PSSSF, Participant C said:

Other departments and officers do monitor KPIs, but at the Registry there is no such arrangement. That is, even if you do something wrongly, perhaps the requested file has unfortunately not been seen, you will only be snored, but you cannot be asked why KPIs have not been reached; they do not bother to know the source of its loss. If the files are lost, all the blame is on the registry staff only, but Action Officers or Users are not questioned.

During an interview at the City Council of Dodoma, Participant D said:

By going through the old Open Performance Review and Appraisal System (OPRAS) there was nothing that was being taken.

During an interview at Manyoni District Council, Participant H said:

The goals themselves do not exist in the first place; they are the only ones that we tend to plan for ourselves. We always remind them that something needs to

be bought this financial year, but until now, nothing has been bought. They will tell you OKAY, let us look at the budget. As I said, the Head of Department will look at the budget, but he or she will still give priority to his or her department, and the Registry will come last. Therefore, even the implementation of the registry items, which are required on time, I really do not know if they are considered. It has never happened that the management called us to sit with them face-to-face to present our challenges.

During an interview at Tabora Municipal Council, Participant L said:

This does not exist. If we realise that the Human Resource Officer is stuck in solving our matter, then we go to the Director to tell him/her that there is one, two, or three, who then calls the Human Resource Officer so that something can be done quickly. For example, this filing system, I think, would have changed to keyword this year, but the Director who promised to change it got transferred to another place; we had completely agreed that we should prepare everything, and those responsible for documents (PO-RAMD) should come. So, we had already written about the equipment, but when he got transferred, it ended there. But, these PO-RAMD officials help us get things moving when they come to inspect; they call the Director and the Human Resource Officer to tell them what should be done on the records management, and they give instructions.

The study findings revealed that the top management at the Ministry of Finance does not give any penalty even when the registry staff delay in filling the PEPMIS system. If the employees delay filling in the system, the Director reminds them that they have not filled in PEPMIS, and they should enter the system and fill in the status. During the focus group discussion at the Ministry of Finance, Participant 7 said:

There is no penalty, but when we delay in filling in the PEPMIS system, we are reminded, because you may find another day that you are not there, you have a problem. Human beings have emergencies. Yes! If you have not come, the

Director reminds you that you have not filled in PEPMIS; you should enter the system and fill it. That is it!

Sometimes, the top management takes a long time to take action on the issues raised by records management staff. This was revealed during an interview at PSSSF, where the management takes four to five months to respond to the needs of the Registry, even if there is an emergency issue. In this regard, Participant E said:

For us, at PSSSF, it takes a long time. When I say long time, it is four to five months. If it is for emergency issues, they are very cooperative. For example, sometimes, when they say they need something from some years back, they even give you overtime, and if it is something dealing with investment, the investment person will be responsible for making sure that the file is retrieved and taken to the right place on time.

At Tabora Municipal Council, some of the registry staff are not aware of the measures taken by top management on issues relating to records management. The registry staff are not involved in measures taken by the top management on records management issues. During an interview, Participant M said, “They talk about them in their meetings maybe. But for us, we have never seen it because we are not involved either.”

4.3.3 The evaluation tactics employed by public organisations

In this section, the findings related to the third objective of the study are presented. The third objective aimed at exploring the evaluation tactics employed by public organisations in realising the expected outputs and outcomes of records management programmes. In order to address this objective, the study sought to know (i) the ways through which decision makers and programme administrators allocate their time and resources to determine whether the records management programmes are producing the desired results; and (ii) the ways through which the PO-RAMD ensures that public offices are responsible for fostering an environment that gives priority to records and archives management. The study findings on these aspects are presented hereunder.

4.3.3.1 Tactics used to determine the desired results

This section presents the findings related to the evaluation tactics used by decision-makers and Programme Administrators to allocate time and resources to determine whether records management programmes are producing the desired results. The question asked was, *“How do decision-makers and programme administrators allocate their time and resources to determine whether the records management programme is producing the desired result?”* The study findings are presented below.

During an interview with one of the Directors at the PO-RAMD, it was revealed that the PO-RAMD prepares the monitoring and evaluation plan to see if institutions allocate funds for records management, the amount allocated and the way it is used. For the activities that require collaborative efforts between the PO-RAMD and the public institutions, the PO-RAMD plans together with the respective institution so that they can accommodate such plans in the next year’s budget. In this aspect, Participant F said:

In the first place, we need to have a monitoring and evaluation plan to see if institutions allocate funds for records management, how much is allocated, and how it is used. For example, if the institution intends to have a new e-office, we need to sit and plan what activities are accompanied by an e-office; you must have proper management of paper records before implementing an e-office; you must procure file covers, ICT facilities; you must have Government Mailing System. Then, after that, you may request the next year’s budget, as I am now ready for an e-office to have training experts and other necessities. We sometimes plan together with the respective institution so that we can accommodate such plans in next year’s budget.

In many organisations, decision makers and programmes administrators use meetings to discuss the progress of records management programmes. The meetings are held in a regular interval where all employees are involved in providing feedback and discussing the successes and challenges in the implementation of records management activities. Meetings are used by leaders to know the progress of the implementation of various responsibilities, challenges, and successes, and at the end find the best way of

doing it in the future. The study findings on this aspect are reported from these participants below:

During a focus group discussion at PO-RAMD, Participant 1 said:

In our institution, we hold meetings every three months involving all employees, give feedback, and discuss the successes and challenges of all the things that we do. Thus, this could be the opportunity for leaders to know the status of the implementation of various responsibilities, challenges, and successes, and thus see the best way to do it in the future.

Also, Participant 3 from PO-RAMD said:

Every month, the registry staff sit and identify their challenges, and then the Office Supervisor (OS) takes them to the Human Resources Officer, who in turn sends them to the top, or sometimes the OS himself participates in the meetings.

During an interview at PSSSF, Participant A said:

Here we always have management and departmental meetings. We sit as a Human Resource Department where each employee presents challenges in his or her area. That's when the Director of Department gets a chance to listen to us directly. If there is anything they can resolve on the spot, they inform us directly by indicating the appropriate actions to ensure it remains correct. If there is something to carry forward, he/she takes it to the top management. Department meetings are held every month unless there is an emergency in which case they can skip a month.

In connection to the above view, during an interview at PSSSF, Participant C said, "We only use departmental forums." Similarly, Participant E from PSSSF said, "For us at PSSSF, it is on during the directorate meeting."

Participant L from Tabora Municipal Council said:

They always allocate time, as I told you. The Human Resource Officer always allocates time for the meeting sessions and sometimes the Director attends. It usually happens twice or once a year. After the sessions, there are positive results such as an improvement in the way we carry files (at first, we were carrying them in our hands, but now we carry them in bags after shouting). So, the forums really help us.

The study findings revealed further that in some organisations, the decision makers and programme administrators visit the registry to see what is going on. They pass by the registries and listen to the registry staff as well as asking about the challenges they are facing in the implementation of records management activities. The study findings revealed that the administrators in some organisations visit and cross-check if the registry staff are observing the standards of operation. The responses from the participants on this aspect were as follows:

Participant 12 from the Ministry of Finance said:

Sometimes, the Director may pass by; he comes and listens to us and asks what our challenges are. We tell him, eh. That is, it.

Participant E from PSSSF said:

Concerning visiting the registry, they can visit may be only once in three months, and it is not the administrators only, sometimes the Director General comes and cross-checks if we are observing the registry standards of operation. For example, the Director General was concerned about bringing food and drinks in the registry, which is the main problem with us here. The Director General insisted that the registry is not a store. That is why when you (the researcher) visited the registry it is very clean and smart.

Participant J from Manyoni District Council said:

In our case, they make frequent visits to check what needs to be added or improved.

Also, the study findings revealed that the decision makers and programme administrators sometimes provide training opportunities to registry staff to improve the staff capacity towards the implementation of records management programmes. This was revealed during an interview held at Manyoni District Council where Participant J said, “Also, they always make sure we attend records management training so that we can understand the best way to keep records.”

Moreover, the study revealed that in some organisations, decision-makers take reactive responses. When asked, *“How do decision-makers and programme administrators allocate their time and resources to determine whether the records management programme is producing the desired result?”* some participants were of the view that the decision-makers allocate time and resources once there is a problem in records management. In other words, the decision-makers and programme administrators take reactive responses (not proactive measures). In this regard, the participants had the following responses:

During focus group discussion at the Ministry of Finance, Participant 10, said:

The top management may call you to discuss challenges, allowing you to explain any issues you are facing. Such situations are infrequent but can occur after a long time. There is no rebuke; rather, you may be reminded of your responsibilities if a mistake is made, such as submitting an incorrect letter or attachment. These discussions sometimes stem from misunderstandings that need clarification.

During an interview at Tabora Municipal Council, Participant M, said:

No, they never do. Maybe if something or a certain challenge happens, then we hold departmental meetings and explain our challenges, and they tell us what we should improve or fix.

On the other hand, the study findings revealed that the registry staff take self-initiatives, whereas the decision-makers and programme administrators delay taking measures to address the challenges facing the implementation of records management activities. During an interview held at PSSSF, Participant E said, "But for us, sometimes we initiate issues ourselves."

Nonetheless, the study findings revealed that in some cases, the decision-makers and programme administrators do not have time to monitor and evaluate records management activities. Senior leaders in the organisations tend to avoid the issues related to records management activities as if those matters do not concern them. If everything is going on without complaints no one will monitor what is going on in the registry. When asked, "*How do decision-makers and programme administrators allocate their time and resources to determine whether the records management programme is producing the desired result?*" participants with negative concerns on this area had the following views:

During a focus group discussion at PO-RAMD, Participant 5 said:

For some registries, senior decision makers do not spend enough time to monitor what is happening in the registries. The senior ones do not see the importance and do not give themselves time even though they are among the ones who do not follow the guidelines in handling the records. Therefore, decision makers do not give themselves enough time and resources to monitor the implementation of registry duties.

Participant 2 from PO-RAMD said:

In fact, for public institutions, this issue is not given time or resources. Because even if we go to the inspection, if we say that senior leaders should also participate, they avoid it as if this matter does not concern them. Now, if they avoid training, will they be able to really monitor it?

Participant 4 from PO-RAMD said:

In many institutions I have visited with my supervisor, many Human Resources Officers do not give priority to records.

During an interview at PSSSF, Participant C said:

Hmm! It never happened. As for us, there was a time we had one Manager, a lady; we used to tell her that 'you have not visited us, please come... So, we sit with her, we start telling her what we have done, and where we are stuck, things like that... But to be honest, I have never seen similar things recently. Maybe because we have two registries, the other registry may be doing similar things: for us, no. There are times the administrators (supervisors) pass by and we joke with them, 'Come today so we can talk to you'. And if it happens that one of them comes round to talk to you, he or she leaves the issue behind at the registry because he or she does not write anywhere. It is like you are just telling a story; he or she does not take it seriously. May God perform a miracle?

During an interview at the City Council of Dodoma, Participant D said:

For us, if you work well and there are no complaints, no one will monitor what is going on in the registry. With the leadership that existed in the past, before the former Director left, he was very well; he would come by and ask how we were doing. But for these last two who passed through recently, they did not know the door of the registry. The first one who was here between the years 2017 to 2022, I really appreciated him; He could not stay two weeks without visiting the registry office to know how we were doing. But for these others, if their matters were okay, they would have no concern - they had no time to know there is someone in the registry.

During an interview at Manyoni District Council, Participant H said:

I do not know because we do not even participate in the decision-making forums, such as meetings. We have never been involved or asked anything. In short, there is nothing of that nature in this institution.

Participant K from Manyoni District Council said, “No, they never do; maybe ourselves, but not the management.”

Participant B from PSSSF said:

They never come at all and do not fulfil our needs until we complain a lot, and some harm has already occurred. If they had done it on time, the harm would not have happened. But they usually show cooperation to do something after the harm has happened (reactive responses). They usually solve something that has already caused harm, but if they had listened and resolved early (proactive responses) when we had told them about the challenge, consequences would have been avoided. Therefore, it has often been that way by seeing something.

In view of the above observations, when asked, *“Do decision-makers for example, at local governments and some institutions allocate time and resources to discuss issues on records management?”* the Director at the PO-RAMD said that in most cases, the decision makers do not discuss records management issues because the registries do not have representatives in the management meetings. In this aspect, Participant G said:

I do not think so. But some do discuss, some I am sure do not. As I have said, registries do not have representatives in the management meetings. Only the Director of Human Resources if he or she wishes to table the issue.

4.3.3.2 Efforts of the PO-RAMD in fostering supportive environment

This section presents the findings related to strategies used by the PO-RAMD in ensuring that public offices are responsible for fostering an environment that gives priority to records and archives management. The question asked was, *“How does PO-RAMD ensure that public offices are responsible for fostering an environment that places an emphasis on records and archives management?”* The study findings on this question are presented hereunder.

4.3.3.2.1 Efforts made by PO-RAMD

The study findings revealed that the PO-RAMD visits and advises the public offices on records and archives management issues. The officials from the PO-RAMD help to increase awareness among the top management once they visit public offices. During these visits, they check to see whether they comply with the national policy. If they see things are not right, they tell them to fix them up. If they see that everything is all right, they would commend them. Thus, they would also advice in case anything needs to be added or omitted. The responses on this aspect were as quoted below:

During an interview at PSSSF, Participant B said:

I do not know if they visit all government institutions, but last year they came here to our institution, met with the leadership and a few representatives, and visited the registry and its surroundings. They looked at how we live and how the storage facilities are; then, some representatives of registries listened to them while giving recommendations for the improvement of the records management environment. After that, a few things were addressed.

Also, Participant C from PSSSF said:

They come occasionally and check if we are complying with the national policy. If they see things are not right, they tell us to fix them up. If they see that all is okay, they give us compliments. So, that is how things are. To be honest, they come, they check us, and advice in case anything needs to be added or removed. We generally work with them.

Similarly, Participant E from PSSSF said:

At PSSSF, they have visited us twice and wrote reports. They are very concerned on why we are not using an e-office. They were told that in our case, we are not using e-office because of these members, as it is not suitable. Thus, we are using our own system which facilitates easy handling of members' claims

and payments. Once they (PO-RAMD) visit our office, it helps to increase awareness to the top management.

At Manyoni District Council, Participant H said:

They only came once, talked to the Human Resource Officer and me and explained what needed to be done. After that, we saw a little change because some Department Heads were called and instructed. But in the past, it was better to just let it go. They came this year and held a meeting with employees who got transferred to this institution recently or those who were hired since 2021; they called some Heads of Department, Managers, and Human Resource Officers. But, they were not people from the PO-RAMD; they were people from the National Security Office for vetting purposes. I personally never saw PO-RAMD people if they did come here.

Participant J from Manyoni District Council also said:

They usually visit institutions. For example, not many days ago they visited and looked at the state of the registry; then they held a meeting and advised the basic things to do to improve records management.

At Tabora Municipal Council, Participant M said:

Staff from PO-RAMD usually come once a year, they look at the environment and talk to the Human Resource Officer and advise them on what to do. And we also always insist that they tell our leaders the challenges we are experiencing and the improvements needed. There is always a little change after PO-RAMD comes.

In connection with the above efforts, the PO-RAMD also provides training to Records Management Practitioners in the public organisations. During the training sessions, the Heads of Department are required to attend. Thus, the training targets the management and all employees in the organisation. These findings were revealed during interviews

with one of the Directors and during a focus group discussion at the PO-RAMD. During an interview, Participant G said, “We provide training both theoretical and practical ones. We target the management and all employees in the organisation.” During the focus group discussion at PO-RAMD, Participant 1 said, “As we have said earlier, every Head of Department must attend the training.”

Moreover, the efforts of PO-RAMD are also seen in the outreach services provided to the community. The outreach services extend up to the private sector with the aim of attracting them to utilise the archival collection housed at the National Archives. These outreach services are provided through television programmes using the Tanzania Broadcasting Cooperation (TBC), exhibitions such as those provided during the public service week, mini classes for students, and visiting the institutions especially when they go to provide training. During a focus group discussion at PO-RAMD, Participant 1 said:

Through television services, we reach certain community members, but to broaden our impact, we conduct training at various institutions. Institutions like the Tanzania Broadcasting Cooperation (TBC) frequently seek training from us, alongside private sector individuals such as documentary writers, musicians, and producers, although the means by which they discover us remains unclear.

The study also revealed that the PO-RAMD has the role of monitoring and evaluating the implementation of records management programmes in public organisations. When asked, “*How does PO-RAMD ensure that public offices are responsible for fostering an environment that gives priority to records and archives management?*” during an interview with Directors at PO-RAMD, Participant G said, “We do this through monitoring and evaluation.”

Furthermore, after monitoring and evaluation, the PO-RAMD provides feedback to respective organisations. The management of the organisation is given feedback through a management meeting, and a copy of the feedback report is sent to the

Permanent Secretary of the Ministry responsible for that organisation. In the interviews with the Directors at PO-RAMD, Participant F said:

In the first place, after conducting monitoring and evaluation, we provide feedback to the management of the respective organisation. If it is the district, we call management meeting at that level, and a copy of the feedback report goes also to the Permanent Secretary of the Ministry responsible for Local Governments. Sometimes, they are reprimanded if the problems are extreme.

Another effort made by the PO-RAMD is to establish zone offices to facilitate access to the community. During a focus group discussion at the PO-RAMD, Participant 5 said:

Currently, the PO-RAMD zone offices have increased. For example, we have offices in Mwanza, Mbeya, and Arusha; but at first, they were not there. These make it easier to reach the community. In fact, we have not been very successful yet, but where we came from, it was very bad.

The study findings revealed further that the PO-RAMD collects the archival information from public offices, individual leaders, and through oral traditions such as those of the pre-colonial, colonial, and post-colonial eras. The PO-RAMD searches for the characters and record the conversations via audios or videos. During a focus group discussion with the PO-RAMD staff, Participant 1 said:

We even collect through oral narratives as well. For example, for very old information such as the colonial or pre-colonial era, PO-RAMD searches for the characters and records conversations or videotapes and keeps them.

There are books called 'District Books' that talk about many things including tribes, their habits, natural medicines, etc. It is very good that we have them here. You are welcome to read them. So, they are not borrowed; they are read here.

Participant 4 said:

We collect information from individual leaders such as retired presidents, chiefs, and some elders whom we always reach.

The PO-RAMD also prepares and distributes guidelines on records and archives management to public offices. This is done when the PO-RAMD staff visit public offices. During focus group discussions with PO-RAMD staff, Participant 4 said:

On guidelines, when we visit institutions, we always give them these guidelines and insist that those who do not have them should read them and work on them.

The PO-RAMD struggles to improve the registry structure in the public offices. When the PO-RAMD staff visit the institutions, they tend to focus on the issue of registry structure. Also, the Director General is fighting hard to ensure that the structure of the registry unit is improved and promises the staff that according to the on-going efforts, they should expect changes. During focus group discussions at PO-RAMD, Participant 1 said, “When we also visit institutions, we tend to focus a lot on the issue of registry structure.”

Participant 4 said:

Our Director is struggling to ensure that the structure of the Registry Unit is improved and always promises us that according to the on-going efforts, we should expect changes.

4.3.3.2.2 Benefits of the efforts made by PO-RAMD to the organisations

As for the efforts made by the PO-RAMD, participants provided their testimonies on the benefits they get from such efforts. The PO-RAMD efforts help to bring changes to the way registry activities are considered in public organisations. Once the staff from PO-RAMD sit with the superiors in the public organisations, it helps a lot because the superiors in public organisations take the registry staff for granted; they do not value their ideas. So, when the PO-RAMD officials visit public organisations, they have a very

big contribution; things go well when the top management is told by the PO-RAMD officials. During a focus group discussion at the PO-RAMD, Participant 1 said:

Therefore, in our plans for the institutions we reach, to some extent, they always benefit from the training.

Participant D from the City Council of Dodoma said: “If there was that follow-up effort, it would put some energy to be able to push things forward.” Likewise, Participant E from PSSSF said, “Their visit to our office helps to increase awareness of the top management.”

Participant K from Manyoni District Council had this to say:

They help by organising trainings and visiting institutions to see if records management is done properly. For example, right now they are fighting a lot recruiting people with no profession qualification of records management in the registry office, especially the confidential registries, because such a trend is a cause for leakages of confidential information.

Participant L from Tabora Municipal Council said:

Once they visit us, they need the top management in a meeting where a large percentage of them meet with Human Resources Officers, where they always tell them why this registry has no status, no standard, and no security; that is, the room is not more secure because they come to check and see. Therefore, visits encourage the management to sit and discuss registry issues. At least it helps a little, though cooperation is still very minimal.

To initiate change in our performance and move to a keyword-based electronic system, we need to elevate our concerns to top management during visits from PO-RAMD officials. Their presence is vital as they advocate for necessary improvements in records management by engaging directly with the Director and Human Resources Officer. This interaction ensures that our needs are

recognised, as often superiors overlook us. When PO-RAMD officials highlight our issues, management listens more attentively, making their support crucial for effective changes in our processes.

Participant L continues to say:

We express gratitude for the recent visit by PO-RAMD officials, which prompted significant improvements in registry security. Previously, the registry was insecure due to its proximity to IT personnel and the Council Clerk, allowing unauthorised access to confidential documents. PO-RAMD officials emphasised the need for restricted access to enhance security. Following their recommendations, the Director reallocated staff from the registry to other offices, addressing the security concerns raised during the visit.

4.3.3.2.3 Shortfalls in the efforts made by PO-RAMD

Although there are numerous efforts made by PO-RAMD and their benefits being realised by the records management practitioners, there are shortfalls that hinder PO-RAMD to effectively implement the role of ensuring that public offices foster the environment that emphasises records and archives management. The PO-RAMD does not monitor the institutions effectively. The study findings revealed that PO-RAMD does not use itself to monitor whether the institutions are creating a good environment for records management. The officials from PO-RAMD wait until they are invited by the institutions to go and check whether they are doing the right thing. If they are not invited, many years will pass without visiting the institutions. Participant A from PSSSF said:

The PO-RAMD fails to proactively monitor institutions' environments, requiring invitations for oversight instead of conducting scheduled visits. This lack of initiative results in prolonged periods without inspection. The department's role appears limited to advisory, lacking the authority to enforce compliance, as illustrated by their involvement in electronic records management where their recommendations are optional rather than mandatory.

Participant D from the City Council of Dodoma said:

They are trying to give instructions and guidelines, but at the bottom the performance is difficult. For example, they have given instructions for a long time on the issue of changing the systems, but this has all been unsuccessful. I remember the last time they ordered that by December 2021, all organisations should have gone from the old system to the keyword system, but there is no follow-up.

The efforts made by PO-RAMD do not focus on results. The PO-RAMD officials pass in the organisations for inspection and provide advice only. It seems as if they are there for their own interests. During an interview at the City Council of Dodoma, Participant D said:

Officials from PO-RAMD usually pass here after every one or two years to inspect. But they pass, inspect, and advise only; so, you see, they are there only for their own interests. They are only looking for a way to earn something, but not to ensure that there is a change. They will bring information, do one, two, three, then, but not to make a follow-up that we once came and ordered something, why has it not been implemented?

The study findings revealed further that there is an inconsistency in the advice provided by PO-RAMD officials. Sometimes, they advise a certain organisation to change something in relation to records management activities, but when they come the next time, they advise changing the same thing that they earlier pointed out to be changed. During an interview at PSSSF, Participant C said:

When external evaluators visit, I often question their feedback, as it sometimes seems repetitive and inconsistent. At times, their directives appear routine and uninformed, leading to doubts about their expertise. I even jest that our conditions are better compared to local government councils where issues are more severe.

The study findings revealed that there is no clear training plan at PO-RAMD. During the focus group discussion with PO-RAMD officials, it was revealed that the PO-RAMD lacks a clear training plan that could enable them to reach all public institutions regionally or several times a year. There are so many institutions, which makes it difficult to reach all of them in a year. In this regard, Participant 1 said:

To be honest, we do not have a clear training plan that could enable us to reach all public institutions regionally or several times a year; there are so many institutions that it is difficult to reach all of them in a year.

Also, an inadequate budget affects the efforts of PO-RAMD in fostering the environment that emphasises records and archives management. The budget was reported to be a constraint and sometimes hindering the officials from reaching the institutions they plan to reach in a year. During the focus group discussion at PO-RAMD, Participant 6 said:

I think that the biggest problem is the budget. It is not that we do not like to promote ourselves or do community service. The budget is tight and sometimes we do not even reach the institutions we plan to reach.

4.4 Summary

The chapter presented the study findings gathered through interviews, focus group discussions and document reviews, based on the research objectives. Participants involved in data collection were from the City Council of Dodoma, Tabora Municipal Council, Manyoni District Council, the PO-RAMD, the Ministry of Finance, and the Public Service Social Security Fund. The following is a summary of the main points covered in this chapter:

- Availability of inputs positively impacts activity implementation, increasing morale and encouraging follow-up, while unavailability can hinder records management.
- Top management support is crucial for effective records management in various institutions, as it facilitates the implementation of activities and ensures that records are managed efficiently and effectively.

- Clear programme objectives significantly impact expected outcomes. Stakeholders' understanding of these objectives facilitates successful implementation. Without clear objectives, individuals may make decisions, leading to habitual work, failure to reach targets and even document destruction.
- Despite regulatory documents defining the responsibilities and authorities on public records and archives management, users lack a clear understanding of these responsibilities.
- The legal framework is crucial in records management, guiding practitioners on tasks and procedures. However, the legal framework is out-dated and needs revision for records management, leading to staff using school-based knowledge instead of national or internal guidelines.
- Adequate staffing is beneficial for records and archives management programmes, as it promotes fair responsibilities and activity implementation. However, many organisations face challenges such as the lack of personnel, shortages, a lack of confidence, and delays in employment permits.
- The study found that training helps recall forgotten knowledge, especially for registry staff and users. However, inadequate budgets hinder training opportunities, leading to routine practice and guesswork. Therefore, training is crucial for effective memory retention.
- Insufficient budgets/resources hinder the easy implementation of records management activities, impacting monitoring, evaluation and outreach programmes.
- Participants prefer separate (independent) departments for records management. The current structure lacks autonomy and authority, and decision-making takes time due to the focus on files rather than the profession.
- Regular monitoring and evaluations are crucial for registries to identify issues and ensure compliance with established guidelines. However, many organisations do not adhere to monitoring and evaluation requirements.
- Government directives impact legal framework review efforts, leading to delays in policy and law updates. Many organisations lack internal guidelines and are

unaware of initiatives to review the legal framework. The review process is slow, and the existing guidelines are insufficient for the current time frame.

- The study indicates that while PO-RAMD educates on records and archives management, most organisations lack outreach programmes and training.
- The study reveals that a poorly structured organisational structure can hinder the execution of tasks such as registries due to the lack of prioritisation and professionalism.
- The organisations employ numerous strategies for continuous assessment or records management activities. However, some institutions lack specific monitoring and evaluation strategies, relying on ignoring problems until they arise, ignoring records management activities until they become problematic.
- Some organisations lack specific approaches to setting targets for measuring KPIs and some do not follow up on their implementation. Targets are often brought to the staff already prepared.
- Although there are actions taken by top management in some organisations, some participants believe there are no productive measures taken by top management to achieve Key Performance Indicators (KPIs); they do not ask why KPIs are not realised.
- The study found that decision-makers and programme administrators often use meetings to discuss records management progress but may not have time to monitor and evaluate activities. Senior leaders often avoid issues related to records management, thereby preventing proper monitoring.
- The PO-RAMD has helped to transform the perception of registry activities in public organisations, despite facing challenges such as insufficient monitoring, advice inconsistency, unclear training plans and inadequate budget.

The results reported in this chapter are interpreted and discussed in Chapter Five.

CHAPTER FIVE

INTERPRETATIONS AND DISCUSSIONS OF THE FINDINGS

5.1 Introduction

The study findings were generated from focus group discussions, in-depth interviews, and analysis of documentary sources, as presented in the previous chapter. This chapter interprets and discusses findings presented in Chapter Four. As explained by Lyaruu (2021), interpretation aids in understanding the deeper meaning of study findings, scrutinising the results, comparing them to the existing knowledge, and providing new insights.

The findings of the study are interpreted and discussed under this chapter in the same order as they have been presented in the previous chapter. The order and themes of discussions include the following.

- The effects of the inputs on the implementation of records management programmes.
- The effects of monitoring of the implementation activities.
- The evaluation tactics employed by public organisations.

5.2 The effects of the inputs towards implementation of records management programmes

Findings of the first objective are interpreted and discussed in this section. The first objective determined the effects of inputs in enhancing the sustainable implementation of records management programmes. The following 11 sub-themes are covered in the interpretations and discussions: top management support; clear programme objectives; well defined responsibilities and authorities; legal framework; staffing; continuous training; allocation of adequate resources; placement of records management units in the organisation structure; regular interval monitoring and evaluations; review of laws, policies and guidelines; and outreach programmes.

5.2.1 Top management support

The study determined ways on how top management support affects sustainable implementation of records management activities. The study findings revealed that top management support is very important in implementing records management activities and ensuring effective resource availability. As for how records are handled in different institutions, top management support is the most important area to address. These results are consistent with findings in the studies by Msosa, Chawinga and Chipeta (2023), Mutsagondo and Khumalo (2024) and Young and Poon (2012) who reveal that top management support is often necessary and sometimes sufficient for success. These findings affirm that top management support (TMS) is crucial for project success, with recent studies showing top management support as the most important factor; thus, TMS through project governance may be a breakthrough to resolving project failure. Similarly, according to Matangira (2016) and Mohamed and Bunawan (2022), achieving an effective records management programme within an organisation requires a commitment from top management to actively adopt suitable practices for business transactions.

The study reveals that while some organisations have good support, others lack it due to budget inadequacies, the lack of expertise, and trust in registry staff. Top management also neglects training and does not enforce the legal frameworks. Additionally, top management delays in providing support when needed by the registry staff. This state of affairs has also been seen in other countries. In Nepal (Neupane & Jaisi 2025), deficiencies in records management at construction sites stem from organisational and cultural issues, including lack of leadership and regulatory awareness. Poland (Gawel *et al* 2025) struggles with museum organisational change due to hierarchical divisions, trade union resistance, limited managerial autonomy, and insufficient funding, limiting operational freedom. The museum issues are closely related to records management. In Zimbabwe (Matangira 2016; Mutsagondo & Khumalo 2024), ineffective records management is attributed to a lack of support from central government leadership due to inadequate knowledge and negative perceptions.

Structural factors are also significant, with poor representation from finance and administration directors.

In Tanzania, the study findings align with findings in a study by Rutta and Ndenje-Sichalwe (2021), who revealed that at Kinondoni Municipal Council (KMC), the top management failed to recognise the importance of records management for accountability and quality service delivery, hence lacking the support in budgeting, policy development, training, and motivation among records personnel. Although the top management support is required for records management policy enforcement, KMC failed to abide by such provision, leading to unmotivated records personnel and low morale. These findings contrast with the roadmap provided by the World Bank Group (2020a), which stresses that records management officials need support from senior management to effectively manage their work and maintain documentary evidence, as the lack of this support can constrain time and other resources. A study by Manase, Mwantimwa and Ndimbwa (2025) endorses that top management's financial and non-financial support promotes the effective use of records management systems by practitioners in public sector organisations.

Additionally, it was further revealed that the top management is not aware of records management. Even when the registry staff present issues to the top management, they often have a hard time convincing the top management. According to the study findings, the main challenge lies in understanding how leaders treat records management in their organisations. Top management often views records as insignificant, despite explanations. In Zimbabwe (Mutsagondo & Khumalo, 2024), the records and information division within the central government is marginalised due to top management's limited understanding and undervaluation of this function, leading to negative perceptions and inadequate allocation of attention and resources. To overcome this, it is crucial to engage and explain to the top management until they understand the importance of records. In Tanzania, a study by Lyaruu (2021) revealed that the top management initially disregarded records management, believing it would not pose any challenges or threats. However, the results acknowledge the importance

of records and the potential consequences of not properly addressing grievances of Records Units.

As Siddiqi, Mirani, Nasim and Raza (2022) argue, leadership is crucial for the successful implementation of organisational change (OC), as it establishes direction, promotes change, and helps employees build necessary skills for change. Leaders inspire and motivate employees to understand the necessity of OC and its benefits for both firms and employees. Taiwo (2019) highlights that organisational factors like governance, culture, and leadership play a crucial role in the adoption of electronic records management changes. Success is more likely in organisations that foster collaboration, trust, autonomy, and flexibility, while valuing their workforce and managing disruption. Effective leadership is key to navigating bureaucracy and facilitating changes in records management.

For the records management programmes to realise the expected changes, the top management in each organisation should support the initiatives aiming at bringing changes in records management practices. Istilamah, Hasanah, and Maslahah (2023) advocate enhancing facilities, providing outreach and technical support, and boosting funding for records management workshops to improve changes in the implementation of records management programmes. The result chain model, as used in this study, suggests that sustainable records management programmes necessitate continuous monitoring of inputs, activities, and outputs, focusing on tangible goods or services such as accuracy, completeness, relevancy, and value added. The top management has the great role to play in monitoring inputs, activities and outputs, hence facilitating the achievement of expected results.

5.2.2 Clear programme objectives

The study findings addressed the ways in which clear records management programme objectives affect sustainable implementation of records management activities. The study revealed that clear programme objectives significantly impact the expected outcomes and are crucial for setting key performance indicators (KPIs). However, unclear objectives can lead to habitual work, failure to reach targets, and even

document destruction. The study findings reveal that, in public organisations, availability of clear objectives is not consistent. Some organisations have clear goals set for each financial year, but they are not familiar with those expected to implement the programme. Most participants revealed that clear goals and objectives are not available in their organisations and may be prepared by non-professionals and not shared with targeted employees. These shortfalls imply that records management programmes are implemented without knowing the direction, which is essential in guiding the records management practitioners towards attaining the intended goals and hence fail to realise the desired outcomes.

According to the International Labour Organisation (2015), the process of formulating objectives involves clearly defining the desired outcomes and creating a conceptual framework for achieving them. Furthermore, as argued by Lanoue (2025), objectives are crucial for successful projects as they provide direction and purpose, guiding the entire team to ensure they reach their intended destination. Thus, clear programmes objectives are beneficial in several ways, such as:

- Give clarity: everyone is aware of what must be accomplished.
- Encourage the team: having specific objectives gives everyone in the team something concrete to strive for.
- Facilitate communication: setting clear objectives helps stakeholders understand the goal of the project.
- Measure success: clear objectives provide a standard by which advancement can be evaluated.

For the records management programmes to be useful, as per the result chain model, there should be initiatives made from the beginning to make the programmes' objectives clear and familiar to all stakeholders. This can be achieved once stakeholders are involved during the formulation of the objectives to make them feel responsible to the process. Once stakeholders feel part of the programmes, the sense of ownership develops in their mind, hence increasing motivation in achieving the programmes goals. To attain this, the organisation must clearly define its desired outcomes and establish a

clear conceptual framework for achieving them, ensuring they are achieved in quantifiable terms (The International Labour Organisation 2015).

5.2.3 Well-defined responsibilities and authorities

The study determined ways in which well-defined responsibilities and authorities affect sustainable implementation of records management activities. The review of the Records and Archives Management Act No. 3 of 2002, the National Records and Archives Management Policy of 2011 and the Registry Procedures Manual of 2007 reveals that responsibilities for public records and archives are defined in regulatory documents. The ISO 15489-1 (2016) calls for the need to define the roles of personnel creating and using records, as per job descriptions, and assign specific leadership responsibility to the appropriate authority, such as a Senior Manager. According to the ISO 15489-1 (2016), the descriptions of responsibilities can encompass various aspects, including:

- Records professionals managing records, including designing, implementing, and maintaining records systems, and educating users about their roles and functions, which influence personal habits.
- Records professionals, along with other personnel, including the IT, business managers, and legal professionals, oversee creating, putting into practice, and maintaining metadata controls and schemas.
- Senior Managers are responsible for assisting in the creation and execution of records management policies.
- Managers are accountable for ensuring that work process records in their business areas are up to date.
- Systems administrators are accountable for ensuring a continuous and reliable operation of their control systems by maintaining complete and current documentation.
- All employees are accountable for maintaining thorough and precise documentation of their business operations.

However, the study findings reveal that users often lack a clear understanding of records management responsibilities, leading to over-staying with files and difficulties in using the e-office system. The study reveals further that training and induction on proper records management are also lacking, with some employees believing it is only for registry staff. A comparable situation has been documented in Nepal (Neupane & Jaisi 2025), where substantial deficiencies in records management practices at construction sites are evident. These shortcomings are attributed to dependence on out-dated paper-based systems, limited awareness of records management frameworks, and inadequate training. In Kuwait (Al-Alawi 2025), there is inadequate oversight and non-compliance with regulations, untrained personnel, minimal record retention efforts, and limited understanding of Archives Regulations and ISO 15489. A similar situation exists in Nigeria (Ayanda, Oloniruha, & Ogungbade 2020; Hamzat, Ayeni, & Kutu 2024) and Ghana (Adusei & Mensah Senyah 2022), where challenges such as inadequate maintenance, record loss and misplacement, insufficient training, a lack of motivation, and negative staff attitudes impede effective records management performance. In Malawi (Msosa, Chawinga, & Chipeta 2023), tasks are frequently delegated to unqualified personnel, and lack of skills present issues in records management.

In Tanzania, similar findings are reported in a study by Rutta and Ndenje-Sichalwe (2021) at Kinondoni Municipal Council (KMC), where official confirmation revealed that there is a records management system, but some staff lack the understanding of the system they implemented in their institution. The KMC faces challenges in records management due to the lack of skills among records practitioners, particularly Action Officers, in handling records, such as how to minute files and control file movement in their offices. Moreover, a study by Kamatula (2018) revealed unclear responsibility for managing e-records in Tanzania, with inadequate information systems and skills among users and information technology (IT) staff. This contrasts with what Keakopa (2013) found at the Botswana Unified Revenue Service (BURS), where during the implementation of records management projects, raising staff awareness about the strategic value of records was crucial for their buy-in and understanding of their responsibilities throughout the project.

The study revealed further that records management responsibilities are often left to be implemented by registry staff. This situation has persisted for decades, as reported 15 years ago in a study by Ngoepe and Van der Walt (2010) on a framework for a records management programme at the Department of Cooperative Governance and Traditional Affairs (COGTA) in South Africa, where respondents reported that 40% of records management was the responsibility of administrative assistants, 50% was the responsibility of registry clerks, and 10% was the responsibility of all staff members. For a records management programme to be effective, Ngoepe and Van der Walt (2010) opine that records management should be a collaborative task that involves users, Senior Managers, and staff in managing and organising information.

Furthermore, the findings revealed that the registry staff are assigned the records management responsibilities but often lack the authority to do certain things such as ordering equipment/facilities. This contrasts with the findings in a study by Mohamed and Bunawan (2022) about the organisation's effective records management programme, where they assert that implementing records management programmes requires familiarity with relevant policies, processes, and standards. The organisation is supposed to develop policy guidelines and procedures for records users and Managers, outlining their respective duties throughout document lifecycles.

Mphunda and Mnjama (2022) affirm that a successful records management programme is typically led by a senior executive, who is considered the champion of the plan as part of best practices. This is cemented by Mohamed and Bunawan (2022) who maintain that records management programmes should be executed with a certain level of exposure to relevant rules, regulations, and guidelines. This means that, designation of responsibilities and authorities affects the whole programme implementation process. Thus, records management programmes need to be under senior executives who are familiar with relevant policies, processes, and standards. As suggested by Musembe (2016), the appointment of a Senior Records Manager should be given priority to oversee the Records Management Unit. According to the result chain model, the efficient execution of records management activities depends on the precise definition of responsibilities (as inputs).

5.2.4 Legal framework

The study determined the ways in which the legal framework affects sustainable implementation of records management activities. The study found that a legal framework is crucial in guiding records management practitioners and facilitating the implementation of activities. The absence of a legal framework can lead to misconduct and insufficient resources. The study affirms that the existing legal framework is adequate to some extent, with policies, guidelines, standards, and Acts; though, the results show that the current legal framework needs to be reviewed to keep up with the changing field of records management.

The study revealed that the problem with the existing legal framework is implementation by Heads of institutions. The institutions involved in this study lack proper records management guidelines, policy, and procedures, indicating that their practices do not align with the established country's framework, resulting in insufficient quality information management. A comparable situation is reported in Botswana (Manyeke & Joshua 2023) where the organisations experience low compliance levels. This is in contrast with findings in a study by Keakopa (2013) at the Botswana Unified Revenue Service (BURS) where it was found that the administration was totally dedicated to the execution of the manifest, with policies and procedures implemented and given to employees during awareness-raising seminars. Likewise, Shonhe and Grand (2018) reported that the Tlokweng Land Board in Botswana improved its records management programme through refining its records management processes. This implies that public organisations in Tanzania must refine records management procedures and processes to enable them to realise the expected changes in records management programmes.

Furthermore, many organisations lack necessary records management guidelines, and some staff and users do not read them. A similar situation exists in Indonesia (Istilah, Hasanah & Maslahah 2023; Janah & Mayesti 2020), where organisations face issues with records management due to a lack of established guidelines and stronger governance standards for usage and maintenance. In Sri Lanka (Gunasekara & Marasinghe 2023), organisations face limited documentation and policy accessibility.

This situation has also been reported in India (Nandeeshha & Keshava 2025), where there is a lack of clear policies in managing Kardex records and agreements, hence the need for comprehensive digital transformation, clear policies, regular audits, and standard metadata practices to enhance records management through a coordinated approach. In Lebanon (Zneit & Hejase 2025), the Lebanese Private University had inadequate records management practices as it relies on informal document management. Moreover, there are significant deficiencies in records management practices at construction sites in Nepal (Neupane & Jaisi 2025) due to lack of awareness of records management frameworks. In Lesotho (Thaanyane, Lefika & Khumalo 2025), records management staff face challenges due to the absence of a working definition and guidelines for new record creation, resulting in document misplacement and evidence loss. In Botswana (Manyeke & Joshua 2023), the organisations experience challenges such as low compliance levels and record backlogs due to insufficient retention and disposition schedules.

In Tanzania, the study findings are consistent with findings in a study of Lyaruu (2021) which reveals that the PO-RAMD failed to implement improvements on records management in other government organisations due to the absence of written policies. Although necessary guidelines are made accessible through the PO-RAMD website <https://www.nyaraka.go.tz>, most records management practitioners in public offices have not accessed and read them. Moreover, a study by Rutta and Ndenje-Sichalwe's (2021) at Kinondoni Municipal Council (KMC) confirmed that KMC lacks a council-wide policy guiding records management practices within the institution. Thus, records practitioners often lack knowledge of government regulations and procedures for effective records management practices in public institutions. In another study Kamatula (2018) found that Tanzania's public offices are not using specific policies for managing e-records, instead they rely on circulars and guidelines for guidance. This lack of guidance poses a threat to the security of digital records.

Although Lyaruu (2021) confirms the availability of a monitoring mechanism to ensure the implementation and operationalisation of the guidelines, findings of the current study have proven otherwise. If there is an appropriate monitoring mechanism, all public

offices would have guidelines and would ensure that they are implemented and operationalised. Matto and Athumani (2018) ascertain that despite the existence of the regulatory framework, many public organisations continue to report non-compliance with records management regulations annually. Therefore, there is a need for a comprehensive legal framework and appropriate monitoring strategies (as essential inputs) to ensure effective implementation of the legal framework governing records management. The result chain model insists on the effective monitoring of inputs, activities and outputs for the expected results to be realised.

5.2.5 Staffing

The study findings determined the ways in which staffing affects sustainable implementation of records management activities. The study found that staffing of registries in public organisations is guided by the Scheme of Service, which specifies the educational levels and expertise required. Some organisations have adequate number of registry staff, which benefits from the implementation of records and archives management programmes. However, many organisations face challenges in staffing, including the lack of the right personnel, shortage of registry staff, the lack of confidence among staff, and delays in employment permits, thus affecting the implementation of activities and heavy loads among the staff. Furthermore, the lack of confidence among staff affects performance of professional tasks. Additionally, employment permits for registry staff are not issued timely, resulting in heavy loads among registry staff in public organisations.

A similar situation is reported in Kuwait (Al-Alawi 2025) where a shortage of trained personnel and limited knowledge of Archives Regulations and ISO 15489 affect records management. In Lebanon (Zneit & Hejase 2025), a shortage of skilled records management professionals leads to issues in developing, circulating, utilising, preserving, and destroying records, increasing the risk of losing valuable information. Similar challenges are experienced in Indonesia (Istilamah, Hasanah & Maslahah 2023), shortage of qualified human resources is a significant issue in records management. A comparable situation exists also in Nigeria (Ayanda, Oloniruha &

Ogungbade 2020; Hamzat, Ayeni & Kutu 2024) where inadequate funding, insufficient training and lack of motivation hinder effective records management. Similarly, among the challenges to effective records management in Ghana (Adusei & Mensah Senyah 2022) include insufficiently trained records managers and negative staff attitudes.

Similar situations exist in Zimbabwe, where a study by Mutsagondo and Khumalo (2024) reported that the belief that anyone can handle records management is still common in many ministries, resulting in unqualified and under qualified personnel in the records management section. In South Africa, Makgahlela and Nsibirwa (2021), Netshakhuma (2022) and Matlala and Ncube (2025) revealed that municipalities and the South African public sector encounter significant challenges in records management such as staffing deficiencies, insufficient skills and inadequate training. In Botswana (Manyeke & Joshua 2023), the organisations do not meet the required maturity level of records management, due to several challenges including storage shortages, security issues, and inadequate staffing. In Malawi (Msosa, Chawinga & Chipeta 2023), one of the significant challenges in records management is insufficient skills, hence responsibilities are often assigned to unqualified individuals. In Tanzania, similar findings are reported in a study by Lyaruu (2021) revealing that staffing of the Tanzania Extractive Industries Transparency Initiative (TEITI) is inadequate due to limited resources and the lack of an approved organisational structure, resulting in ineffective implementation of all Secretariat functions. A study by Manase, Mwantimwa and Ndimbwa (2025) highlights that inadequate skills and knowledge, along with insufficient staff, impede the effective use of records management systems in Tanzania's public sector organisations.

To address these challenges, Musembe (2016) recommends hiring qualified staff for records management, improving professionalism, addressing service delivery gaps, providing employee training, clarifying tasks, and making necessary technology and system changes to support quality goals. The government and public organisations need to devise suitable strategies for monitoring the registry in terms of staffing and capacity building. This will assist in lifting the registry out of the long-term sludge of under-staffing and lack of professionalism. As observed by Baker (2022), staff (people)

are crucial for businesses to operate and generate revenue, making them the most important resource.

The conceptual framework (Result chain model) of this study suggests that sustainable records management programmes require continuous monitoring mechanisms to track inputs, activities, and outputs. These include tracking resources, frameworks, and activities, as well as focusing on tangible goods or services such as accuracy, completeness, relevancy, and value added. Among all the resources, human resources (staff) remain the most crucial resource as they are the ones who oversee the other inputs (resources), activities as well as the output and ensure that programmes are implemented effectively and efficiently. Thus, without qualified and adequate staff at the registry, it is not possible to achieve better results.

5.2.6 Continuous training

The study determined the ways in which continuous training affects sustainable implementation of records management activities. The study found that training opportunities are often provided to registry staff in all organisations, but not often enough. Training helps someone recall forgotten knowledge, and updates records practitioners on field changes and change of attitudes towards records management. However, inadequate budgets prevent training opportunities, compromising staff performance and making them fail to follow guidelines. The study reveals further that no attention is paid to training reports, and often no attention is paid to non-registry staff. The results revealed further that records management staff rarely receive necessary training compared to staff in other fields. The findings highlight the need for improved training opportunities and budget allocation.

A similar situation is reported in Nepal (Neupane & Jaisi 2025) where insufficient training adversely affects project efficiency and outcomes of records management programmes. In Sri Lanka (Gunasekara & Marasinghe 2023), organisations face challenges in records management due to lack of awareness and proper training in records management. A recent study (Yidana & Akuna 2025) on records management in African higher education institutions identifies inadequate staff training as one of

challenges leading to inconsistent practices and poor records management. In Nigeria (Ayanda, Oloniruha & Ogungbade 2020; Hamzat, Ayeni & Kutu 2024) and Ghana (Adusei & Mensah Senyah 2022), staff training is significantly inadequate due to negative attitudes of personnel, funding challenges, and poor infrastructure. A similar situation concerning inadequate staff training is reported in the Southern African region, including Malawi (Mphunda & Mnjama 2022; Msosa, Chawinga & Chipeta 2023), Botswana (Manyeke & Joshua 2023), Lesotho (Thaanyane, Lefika & Khumalo 2025), and South Africa (Makgahlela & Nsibirwa 2021; Matlala & Ncube 2025; Netshakhuma 2022).

In Tanzania, similar findings are reported in a study by Lyaruu (2021) revealing that some institutions have staff capacity training programmes, but such programmes have not been fully implemented due to financial constraints. As a result, competencies and performance of records management practitioners are not boosted accordingly in Tanzania. Taiwo (2019) asserts that human factors present significant challenges to records (e-records) management readiness within organisations, evidenced by staff resistance to change, discomfort with technology, and varying education levels. Additionally, the need for effective staff training poses obstacles, including associated costs, time requirements, the quality of training programmes, and the necessity for on-going training for both temporary staff and external consultants.

According to a study conducted in Nepal by Neupane and Jaisi (2025), it is essential to put in place thorough training programmes that emphasise raising awareness of best practices, legal frameworks, and contemporary tools to improve records management. Therefore, public organisations need to give priority to building the capacity of their staff towards the execution of records management responsibilities. According to Manase, Mwantimwa, and Ndimbwa (2025), in order to improve the efficiency of records management systems, government agencies should allocate adequate funds for staff training as well as the procurement and maintenance of system support infrastructure. As required by the ISO 15489-1 (2016), records professionals should be competent in creating, capturing, and managing records. Regular evaluations and training programmes should be designed to develop and improve competencies. These

programmes should be on-going, addressing all management and personnel involved in record-related business activities. Regular professional development on core competencies is essential for maintaining competence. Thus, public organisations need to adopt appropriate strategies for enhancing training programmes to improve competencies in handling records management activities. Training, as one of the inputs prescribed by the conceptual framework (result chain model), improves staff capacity for continuous monitoring of other inputs, activities, and outputs.

In Tanzania, training programmes are offered to records management practitioners by various stakeholders, including the Tanzania Records and Archives Management Professionals Association (TRAMPA), but these training are not regularly evaluated. Thus, the government and public organisations need to evaluate the types of such training to see whether they are effective in improving competencies of the trainees. As emphasised by Alsalamah and Callinan (2021), training programmes need to be evaluated to assess their effectiveness in achieving their goals, and to identify areas for improvement. In this case, organisations may opt to use the Kirkpatrick model to evaluate training programmes, as the model is not complex, not costly, and not time-consuming. According to Alsalamah and Callinan (2021), the four levels of Kirkpatrick's model are as explained below:

- Level 1: Reaction: This level evaluates trainees' perceptions and experiences with the training programme, providing insights into its value and effectiveness.
- Level 2: Learning: The programme's effectiveness in changing attitudes, improving knowledge, and increasing skill is assessed at this level.
- Level 3: Behaviour: The level assesses how participants transfer knowledge and skills to the workplace, ensuring positive behavioural changes are expected for expected results.
- Level 4: Results: The level evaluates the impact of training on an organisation in terms of cost reduction, enhanced quality, and increased quantity.

5.2.7 Allocation of adequate resources

The study determined ways in which resources affect sustainable implementation of records management activities. The study reveals that resources such as budgets, staff, files, cupboards, and computers are crucial for records management activities in public organisations. Insufficient budgets can impact monitoring, evaluation, and outreach programmes. The allocation of resources depends on financial strength and external support. The study found that registries often lack adequate resources, with budgets often included in Human Resource Departments' budgets. Since the registry is just a section in the Administration and Human Resource Department, it lacks resources and has no separate budget.

A similar scenario has been described in Sri Lanka (Gunasekara & Marasinghe 2023), where organisations experience challenges with records management due to a lack of resources. This issue has also been observed in India (Nandeeshha & Keshava 2025), where concerns about records management and data security stem from a lack of digital backups. In Indonesia (Martino 2024), factors such as vulnerability to natural disasters, inadequate infrastructure, low public awareness, and financial constraints affect the safeguarding of citizens' vital records during disasters, increasing the likelihood of damage and loss. In Lesotho (Thaanyane, Lefika & Khumalo 2025), challenges arise from insufficient filing space and lack of training for records management staff. Malawi (Msosa, Chawinga & Chipeta 2023) faces significant issues related to inadequate infrastructure impacting storage and equipment. In Zimbabwe (Mutsagondo & Khumalo 2024), the records and information section within central government is marginalised because top management lacks knowledge and appreciation for this function, resulting in negative perceptions and insufficient attention and resources. In Botswana (Manyeke & Joshua 2023), organisations encounter issues such as low compliance and record backlogs due to insufficient retention schedules, storage shortages, security problems, and inadequate staffing.

In Tanzania, a study by Rutta and Ndenje-Sichalwe (2021) at Kinondoni Municipal Council (KMC) identified resource constraints as a major obstacle to effective records

management, with KMC lacking sufficient budget for storage, security, and training. These findings are in contrast with findings in a study by Ndenje-Sichalwe, Ngulube and Stilwell (2011) who revealed that the registry is a section within the Administration Department, funded by sub-vote money and the Administration Department's budget, with allocation based on activities of the relevant ministry, and not a separate department. Thus, the Administration Department's funding for the registry is deemed inadequate, with senior ministerial officials stating that the registry section is not allocated its own budget. This lack of specific budget allocations implies a low priority accorded to records management activities in government ministries, which in turn compromise the implementation of various responsibilities including enacting policies, training personnel, disaster management, and environmental control. As stipulated by Mnjama and Wamukoya (2007), the main obstacle to managing paper and electronic records is the lack of dedicated budgets for records management. Similarly, Musembe (2016) identified low funding for records management as a problem at universities in Kenya, urging registries heads to prepare a comprehensive budget and justify its purpose to the management.

Additionally, the study reveals that many institutions lack computers, scanners, and other devices for effective e-office implementation, leading to confidentiality leaks, delays, and neglect. Furthermore, the study reveals that some registries have poor quality facilities or out-dated resources, hindering sustainable records maintenance. The lack of adequate budget for records management activities significantly impacts the training of registry staff, leading to insufficient knowledge and inadequate maintenance of records. Similarly, a situation in Zimbabwe (Matangira 2016; Mutsagondo & Khumalo 2024) illustrates the lack of important resources such as trained staff, equipment, supplies, and money, as well as the undervaluation of records management, resulting in a lack of principles and standards in strategic plans.

A similar situation is reported in Indonesia (Martino 2024) where problems such as weak infrastructure and financial constraints impede the protection of citizens' vital documents during disasters. In Sri Lanka (Gunasekara & Marasinghe 2023), organisations confront issues such as a lack of effective records management training,

insufficient resources, and the absence of online centralised records management solutions. In Nigeria (Ayanda, Oloniruha & Ogungbade 2020; Hamzat, Ayeni & Kutu 2024) and Ghana (Adusei & Mensah Senyah 2022), limited funding, improper storage, insufficient training, and insufficient infrastructure all impede good records management. A comparable situation is reported in the Southern African region, where Malawi (Mphunda & Mnjama 2022; Msosa, Chawinga & Chipeta 2023), Botswana (Manyeke & Joshua 2023) and Lesotho (Thaanyane, Lefika & Khumalo 2025) face significant challenges in records management, including inadequate infrastructure, storage and equipment, staffing, and training.

The findings reveal that many organisations neglect the needs and ideas of registry staff, resulting in neglecting their needs. The question is who represents registries in decision-making sessions or accommodating their needs through Other Charges (OC)? This contrasts with the findings reported in a study by Mohamed and Bunawan (2022) on the organisation's effective records management programme, who emphasise the importance of top management in accepting new ideas and maintaining high quality standards in records management. According to Manase, Mwantimwa, and Ndimbwa (2025), top management's financial and non-financial support encourages records practitioners to use the records management systems.

Based on the findings of the current study and previous studies, resources allocation for records management activities seems to be a routine liability to registries in Tanzania. The problem has been reported in many public organisations for many years without much improvement. This implies that the existing strategies towards enhancing the availability of resources for records management activities are not adequately addressing the problem. Therefore, it is important to think of appropriate strategies to address the issue with the aim of enhancing the implementation of records management programmes. Without adequate resources, it is not possible to realise the expected results, as stipulated in the Results Chain Model, as it becomes difficult to implement the records management activities.

5.2.8 Placement of records management unit in the organisation structure

The study determined ways in which the placement of Records Management Units/Registries in the organisation structure affects sustainable implementation of records management activities. The study reveals that registry staff face challenges in communicating their needs to top management due to obstacles in the middle. Inputs to improve registries or records management often start from the bottom, passing through intermediaries who may not convey messages properly. It is difficult for staff to directly reach the top management, often through an intermediary such as a Human Resources Officer. As observed by Mohamed and Bunawan (2022), the top management of an organisation must be open to new ideas and maintain high standards for records management, and the responsibility of managing all organisation's records in the upper levels of the organisation must be assigned to specific individuals. As emphasised by Keakopa (2013) the project's governance structure needs to be prioritised for effective implementation, monitoring, and review, ensuring timely resolution of any challenges.

According to the study findings the PO-RAMD, under the President's Office, is powerful but the registries at other organisations lack the autonomy and authority. These findings are in harmony with findings in a study by Lyaruu (2021) who revealed that the PO-RAMD in Tanzania is a single authority which is mandated by law and is ideally situated in the President's Office to supervise the implementation of archives and records management throughout the public sector, including the base of stakeholders, with clearly defined roles and responsibilities for the appropriate management of records and archives. Similarly, a situation in Zimbabwe (Matangira 2016; Mutsagondo & Khumalo 2024) highlights the marginalisation of records and information management due to inadequate representation at management levels. The records and information section is marginalised due to unsupportive top management, specifically finance and administration directors, who lack knowledge and appreciation of this function. This results in negative perceptions of records and information management, leading to inadequate attention and resources.

According to the findings, the registry should be an independent department/section, not under the Human Resources Officer, as the Office Supervisor does not participate in decision-making forums. According to Ngoepe (2016), records management programme should be managed by qualified professionals. In South Africa, the National Archives of South Africa Act, 1996 requires the head of a governmental body designates an official as the Records Manager, who will be responsible for ensuring compliance with the Act's requirements, subject to applicable laws and requirements (Republic of South Africa 1996). This implies that the Records Manager is a senior official who can participate in decision making forums and fully represents the Records Management Unit. In such a case, the registry with a Records Manager largely becomes independent. In relation to this aspect, Musembe (2016) argues that among other records management tasks, the appointment of a Records Manager to supervise the designing and execution of a programme and policy must be given top priority. To have an impact on university records management policy, the candidate must be a senior member in the organisational hierarchy with a PhD and experience as added advantage. Furthermore, as recommended by Musembe (2016), the inclusion of records management within an organisation's structure signifies the management's responsibility and commitment towards its effective management.

Matangira (2016) proposed establishing deputy director and director positions for records management, along with departmental transformation to enhance the effectiveness of records and information management in central government. This statement echoes the proposal by Mutsagondo and Khumalo (2024) to the Government of Zimbabwe, emphasising the need for prioritising the restructuring of its records and information section under the leadership of specialised directors in the field. As the result chain model indicates, on-going monitoring of inputs, activities, and outputs is vital for improving the accuracy, completeness, relevance, and value in records management, thereby requiring the reorganisation of the records and information section under expert supervision.

5.2.9 Regular interval monitoring and evaluations

The study findings determine the ways in which regular monitoring and evaluations affect sustainable implementation of records management activities. The study revealed that monitoring and evaluations are very important because they help to know the various issues of the registries. Some institutions were found to have set guidelines but do not follow them. The study found that monitoring and evaluation in some organisations are disorganised; and can be monthly or after two to three months, with some activities monitored after several days. Moreover, the registry staff allow several days for Action Officers to work on files before returning them. The study revealed that organisations lack consistent monitoring of laws and plans, lack mechanisms for verifying their implementation, and often lack regular checks on budget accuracy, expertise of employees, and training. The study found that feedback is often delayed after monitoring and evaluations, hindering the improvement of records management practitioners. In Rwanda (Claude 2024), monitoring practices in the public sector are inconsistent, with only 30% of organisations relying on managers for records management oversight, while 60% assign this task to individuals. This decentralised approach may result in variations in practices, affecting performance tracking, training needs assessment, and compliance monitoring.

The study emphasises that having regular and timely monitoring and evaluation as required by the Result chain model can help to ensure compliance of the guidelines. A study by Giamos, Doucet and Léger (2024) reveals that individuals exhibit better performance, motivation, and task engagement when given continuous feedback from a human rather than a computer. This variance is attributed to the greater salience of human feedback, as managers can effectively focus employees' attention and communicates key information to reinforce positive performance behaviours. Additionally, human feedback conveys affective and social cues that computers cannot replicate, enhancing its impact. The ISO 15489-1 (2016) advocates that regular monitoring and evaluation of records policies, systems, procedures, and processes should involve professionals from various fields, including records, information technology (IT), legal, auditors, business managers, and senior managers. Thus,

monitoring and evaluation should guarantee that records systems and procedures are carried out in compliance with business needs and policies, operate as defined, meet changes, and continuously improve records management. Tengan, Aigbavboa, and Thwala (2021) argue that routine activities such as site visits, inspections, quality certification, progress reporting, and periodic meetings are critical for effective monitoring and evaluation (M&E) of project success.

The study reveals that the PO-RAMD coordinates monitoring and evaluation activities through the Evaluation and Monitoring Unit, but the lack of budget is a significant challenge. They plan for improved records management, but the implementation is slow due to the lack of funds and commitment. Similarly, Lyaruu (2021) found that PO-RAMD failed to conduct file audits for record accuracy and completeness due to insufficient human and financial resources, thereby reducing transparency and accountability.

For the best practices in monitoring and evaluations, as prescribed in the result chain framework, the ISO 15489-1 (2016) recommends that when designing the monitoring and evaluation programme, the organisation should consider:

- Assigning responsibility for monitoring and evaluation activities.
- Determining necessary monitoring and evaluation tasks.
- Specifying techniques for assessment, analysis, monitoring, and measurement.
- Determining monitoring and evaluation timings.
- Assigning responsibilities for corrective actions.

5.2.10 Review of laws, policies and guidelines

The study determined the ways in which regular reviews of laws, policies and guidelines affect sustainable implementation of records management activities. The study reveals that government directives impact legal framework review efforts, with PO-RAMD undergoing changes due to the review of institutional structure. Policies, laws, and guidelines await these directives' improvement, which are influenced by emerging challenges. The study revealed that reviews are needed for legal framework, registry structures, and salary structure to differentiate payment for degree and diploma holders.

The findings also reveal that the Tanzania Records and Archives Management Professional Association (TRAMPA) holds annual meetings to discuss issues related to records and archives management but cannot initiate the review as it is only the professional association. The study found that many records management practitioners are unaware of any legal framework review initiatives, and the national guidelines are perceived as inadequate due to the lack of internal guidelines and the numerous changes that occur over time.

The study findings indicate that the legal framework is not adequately addressing the needs for proper records management in Tanzania. A similar situation is reported in Nepal (Neupane & Jaisi 2025), where there are significant deficiencies in records management practices at construction sites due to reliance on out-dated paper systems. In Kuwait (Al-Alawi 2025), the written regulatory guidelines are out-dated and dispersed across various documents rather than unified. In Malawi (Simwaka & Malanga 2023), limited relevant laws hinder the operation of the Malawi National Archives in promoting records management, and its effectiveness is further compromised by underfunding and a lack of functional management instruments.

In Tanzania, a study by Kashaija and Ndumbaro (2020) reveals that out-dated legislation limits implementation, and existing legal frameworks fail to meet current records management needs at the Business Registration and Licensing Agency (BRELA). Even the National Records and Archives Management Policy of 2011 puts it clear as revealed earlier, that the challenge started when the Records and Archives Management Act of 2002 which was enacted before the policy came into effect. The policy recognises that the Act is not comprehensive enough to govern and oversee the administration of both public and private records (United Republic of Tanzania 2011). The challenges facing records management in Tanzania resulting from insufficient guidelines include record creation, classification, use, tracking, storage, protection, access, disposition, acquisition, preservation, personnel records management, individual privacy records, and coordination of records management activities across public and private sectors (United Republic of Tanzania 2011).

Moreover, the study findings are consistent with the revelation of situational analysis made during the development of the National Records and Archives Management Policy in 2011 (fourteen years ago) where it was found that the existing laws and policies, such as the Founders of the Nation (Honouring Procedures) Act No. 18 of 2004, the National ICT Policy of 2003, the Cultural Policy of 1997, the National Security Act No. 3 of 1970, the Records and Archives Management Act No. 3 of 2002, and the Evidence Act (Revised Edition) of 2002, partially address records and archives management issues. These laws and regulations do not fully address every facet of the records management lifecycle (United Republic of Tanzania 2011). According to the National Records and Archives Management Policy of 2011, the government must review records and archives management laws to harmonise the Records and Archives Management Act No. 3 of 2002 with other laws and satisfy the policy's requirements. Fourteen (14) years have now passed without any review of the existing body of legislation.

As stipulated by Kamatula (2018), it is totally distressing for the recent study to reveal results similar to those revealed fourteen (14) years ago when the policy was developed. It is an indicator that there is a lack of seriousness from the government in enhancing changes in records management practices. This implies that the government and particularly the President's Office – Public Service Management and Good Governance, which has the primary responsibility of ensuring that the policy is clear and flexible, have not paid attention to the requirements of the policy for more than 14 years since the policy was approved in 2011. It is the demand of records management practitioners that the records and archives management laws be reviewed to address the records and archives management issues comprehensively. The result chain model cannot be used effectively unless the legal framework sufficiently addresses the requirements for good records management. The framework should adequately address issues with inputs (resources), activities, and monitoring and evaluation procedures.

5.2.11 Outreach programmes

The study determined ways in which outreach programmes affect sustainable implementation of records management activities. The study reveals that the PO-RAMD is actively promoting education on records and archives management through various methods, including exhibitions, brochures, mini classes, and television programmes. The research suggests that raising public awareness about records management can help improve the image of the profession, and that increased efforts could lead to a registry becoming an independent department within an organisation. The study found that most organisations lack outreach programmes for employees and the community, including education on records management. There is also a lack of debates, conferences, seminars, and training to raise awareness. Registry staff rarely provide outreach services, possibly due to being perceived inferior by their bosses. The study findings showed that, some community members live in remote locations, thus, the strategies used to raise awareness on the importance of records management are still insufficient.

The study findings indicate that outreach programmes are not adequately implemented to enable records management practitioners to become competent and eventually support the records management affairs in public organisations. A similar situation is reported in Kuwait (Al-Alawi 2025) where records management is affected by factors such as a lack of awareness of records management standards and best practices and limited knowledge of Archives Regulations and ISO 15489. In Nepal (Neupane & Jaisi 2025), lack of awareness of records management frameworks adversely affects efficiency and outcomes. Similarly, one of the challenges to effective records management in Ghana (Adusei & Mensah Senyah 2022) is negative staff attitudes towards records management. In Nigeria (Ayanda, Oloniruha & Ogungbade 2020; Hamzat, Ayeni & Kutu 2024), the management of academic institutions' records experiences lack of motivation and indifferent attitudes of personnel. Similarly, Shonhe and Grand's 2018 study at Tlokweng Land Board in Botswana found that despite the efficient filing system of using coloured files, staff members were not familiar with different colours, indicating the need for workshops.

Outreach programmes form one of necessary inputs (as per the result chain model) towards sustainable implementation of records management programmes. According to Keakopa (2013), an organisation must conduct comprehensive records management awareness workshops and outreach programmes for all staff members at all levels to foster employee support and understanding. Also, Musembe (2016) recommends for staff sensitisation via workshops where every employee will be able to comprehend the importance of establishing and managing records. One of the most important tools for raising knowledge and comprehension of records management and its advantages is staff development. These findings imply that the Tanzanian Government, through the PO-RAMD, should strive at enhancing employees and public awareness on the importance of records management to foster their support and understanding. Once the employees understand and support records management activities, it will be easy to realise the expected results.

5.3 The effects of monitoring of the implementation activities

This section covers the interpretations and discussions of the findings related to the second objective of the study, which explored the effects of monitoring of the activities performed to transform inputs into outputs towards realising sustainable implementation of the records management programmes. The interpretations and discussions cover four sub-themes namely: the effects of the registry structure in monitoring records management activities; strategies used to conduct continuous assessment; mechanisms used in setting the targets; and the effects of measures taken by the top management in ensuring that Key Performance Indicators (KPIs) are realised.

5.3.1 Effects of the registry structure in monitoring the activities

The study explored the effects of the registry structure on monitoring of activities and ensuring sustainable implementation of records management programmes. The findings revealed that despite that the registries are managed by Administration and Human Resources Departments, the problem revolves around the placement of monitoring tools and the handling of records management issues. The study reveals that a poorly structured structure can compromise the execution of tasks such as registries due to the

lack of prioritisation and professionalism, thus affecting the implementation of records management activities, as the person overseeing these activities lacks professionalism, leading to the lack of priorities on registry issues. The study found that a poorly structured registry negatively impacts the fringe benefits of its staff, leading to undervaluation and disrespect. The current structure, even naming the unit as "Registry," makes the staff appear inferior and lacks priority in various matters, resulting in a lack of respect and appreciation. The study found that unsuitable structure in an organisation leaves registry staff without voice in decision-making bodies, often denying them the opportunity of expressing their thoughts. The top management often discusses matters pertaining to records management without the knowledge of the registry staff. The study reveals that the current structure marginalises records management professionals, making them feel inferior and leading to faltering accountability.

A comparable situation is reported in Zimbabwe (Matangira 2016; Mutsagondo & Khumalo 2024) where the marginalisation of records and information management is due to insufficient representation at management levels. This issue stems from unsupportive top management, particularly finance and administration directors, who do not value this function. Consequently, records and information management suffers from negative perceptions, resulting in a lack of attention and resources. In Tanzania, a study by Kashaija and Ndumbaro (2020) indicates that the current registry structure lacks adequate management support for records management. This leads to insufficient training budgets and resources, creating financial constraints that hinder compliance with legal frameworks for records management and adversely affects implementation efforts.

The situational analysis during the development of the National Records and Archives Management Policy of 2011 shows that public records are not adequately supervised, controlled, or managed because records management is not prioritised by heads of public offices and users (United Republic of Tanzania 2011). This implies that the government and records management practitioners need to take corrective measures to accord high priority to records and archives management due to their importance in all life and governance affairs. In this case, the registry needs to be formalised in the

organisational structure as a separate section or department from the Administration and Human Resources Department to promote creativity, innovation and openness to changes as it will have the authority and control to make decisions, evaluate tasks, create policies, and distribute resources. As the result chain model indicates, on-going monitoring of inputs, activities, and outputs requires reorganising the records management section under expert supervision to enhance accuracy and value in records management.

According to Mohiuddin, Reza, Jayashree, Al-Azad and Ed-dafali (2023), the organisational structure, which includes formalisation, decentralisation, and integration, governs information flow and roles among different nodes. While decentralisation divides authority and control over decision-making, task evaluation, policy formation, and resource distribution, formalisation governs strategic planning, the workplace, and operational procedures. Their integration enables departments to work together, enabling self-regulation, monitoring, and optimisation of resources, a key aspect of Industry 4.0. Low formalisation levels promote creativity, innovation, and openness to change. Similarly, as observed by Shin and Kim (2022), the concept of organisational structure is crucial in understanding how it shapes behaviours and perceptions. In this case, the registry needs to be a department to allow creativity, self-regulation, monitoring and optimisation of resources, hence facilitating sustainable implementation and monitoring of records management programmes.

5.3.2 Strategies used to conduct continuous assessment

The study explored the effects of the strategies used to conduct continuous assessment of the records management activities while focusing on the inputs and outputs in relation to agreed schedules. The study reveals that Heads of Department monitor registries' responsibilities, while the PO-RAMD uses electronic feedback system to monitor records management activities. The Public Employees Performance Management Information System (PEPMIS) is used for staff performance monitoring. PO-RAMD also provides continuous assessment instructions, visits institutions, and conducts meetings for feedback on implementing programmes. Organisations with

regional offices or branches visit these offices to ensure compliance with records management standards and prepare quarterly reports. However, the study revealed that some institutions lack specific monitoring and evaluation strategies, often ignoring problems until they arise. The study found that public institutions' continuous records management assessment strategies are insufficient; some organisations often introduce monitoring systems but fail to take corrective action even when mistakes occur. The study reveals a lack of budget for monitoring and evaluations, making continuous assessment challenging, as registries rely on Other Charges for their activities.

A situation in Nigeria (Ozuruonyeoke, Oluropo & Jennifer 2025) indicates that weak audit trails and inadequate oversight on records management diminish transparency and provide room for bureaucratic discretion in local government councils. This governance issue requires reforms such as record digitisation, training for employees in information management, and enhanced accountability mechanisms. In Zimbabwe (Mutsagondo & Khumalo 2024), corrective actions in records management are hindered by a lack of support from top management, who often possess insufficient knowledge and hold negative attitudes towards the function. Additionally, inadequate representation of records and information management by finance and administration directors contributes to this issue, as their training limits their interest and understanding of records management. In Tanzania, a study by Kashaia & Ndumbaro (2020) indicates that lack of management support and a low prioritisation of the records management unit negatively impact records management, resulting in insufficient budgets for training and necessary resources. This underfunding hinders legal compliance and the implementation of records management frameworks.

The study's findings indicate further that the strategies used to conduct continuous assessment of records management programmes in public organisations, where they exist, are insufficient. The result chain model requires efficient monitoring and evaluation of the implementation process and outcomes, involving all individuals executing project activities. In Tanzania, registry staff are seemingly excluded from monitoring strategies aimed at addressing challenges related to records management performance. This implies that the government and all public organisations need to

devise and adopt appropriate process in the improvement of tools and methods to enhance operational excellence and organisational performance. According to Henriquea, Filhoa, Marodinb, Jabbour and Jabbour (2021), the tools and methods for process improvement are crucial for operational excellence and organisational performance. Organisations should involve individuals throughout the entire implementation process, investing in training, releasing time for focus, and receiving unrestricted support from top management.

In relation to process improvement, scholars - Henriquea *et al* (2021) - avow that the popularity of process improvement techniques, particularly in healthcare, has grown, with methodologies such as Define, Measure, Analyse, Improve and Control (DMAIC) and Plan Do Check and Act (PDCA) being widely used. According to the American Society for Quality (2025), DMAIC is a quality approach for process improvement that is based on data. It can be applied in conjunction with other process improvement initiatives or as a stand-alone quality improvement technique. The words Define, Measure, Analyse, Improve, and Control are shortened to DMAIC. As explained by the American Society for Quality (2025), DMAIC is an acronym for the five steps that make up the process as follows:

- i. The procedure requires defining the issue, the activity for improvement, the objectives of the project, and the needs of the client. It includes creating a project charter, understanding customer feedback, and creating a value stream map to analyse the entire process.
- ii. To measure process performance, use a process map, capacity analysis, and Pareto chart to record activities, assess specifications, and analyse frequency of problems or causes.
- iii. Analyse processes using root cause analysis (RCA), failure mode and effects analysis (FMEA), and multi-vari charts to identify causes of variation and defects.
- iv. To enhance process performance, address root causes through Design of Experiments (DOE) and Kaizen event (a short-term workshop aiming to

- enhance a process through rapid action), focusing on narrow projects and utilising employees' ideas and motivation for rapid change.
- v. To maintain an improved process, implement a control plan, statistical process control, 5S workplace (sorting, setting in order, shining, standardising and sustaining), and mistake proofing to monitor behaviour and prevent errors.

5.3.3 Mechanisms used in setting targets

The study explored the effects of the mechanisms used by the organisations in setting the targets for measuring key performance indicators (KPIs) of each activity. The study found that in some organisations, target setting is participatory, with employees discussing and agreeing on targets through departmental or sectional meetings. Sometimes, registry staff set targets in consultation with colleagues, and if they are unclear, they can be changed by a Human Resource Officer. However, the study found several challenges in setting targets for registry staff in Tanzania. Some organisations lack a specific approach, with objectives based on routine work. Sometimes, targets are set but not observed and with the process lacking participatory approach. Additionally, there is a possibility that Tanzanian registries do not have assigned Key Performance Indicators (KPIs). The setting of KPIs is a recent phenomenon, and thus, it is not familiar to the registry staff.

According to the study findings, the setting of targets for measuring key performance indicators is not taken seriously by stakeholders at all levels. For the targets to be useful, the top-down approach can be appropriate in ensuring that records management practitioners take the process seriously. Borrowing the experience from China, Li, Liu, Weng and Zhou (2019) report that the Chinese Government follows a top-down process for plan drafting, starting with the central government and then provincial and prefectural governments. These plans are taken seriously by all levels, taking several months to complete. The government holds meetings to seek advice and consensus and releases finalised plans in the Outline of the Five-Year Plan and Report on the work of the government. The targets should be used as incentive mechanisms for public

organisations' officials where the promotion of records management staff should be based on the extent to which the targets are realised. The result chain model emphasises the importance of setting clear targets to evaluate intended outcomes, advocating for a strategic approach to use these targets as incentives to achieve the objectives of records management programmes.

5.3.4 Effects of the actions taken by top management

The study explored the effects of measures taken by the top management to ensure that key performance indicators (KPIs) are realised. The study reveals that top management actions are acknowledged by some employees in some organisations, while others are unaware. These measures are taken through various methods, including meetings, punishments, training and induction courses, regular reports, mobile phones, and employee performance management systems. Meetings determine the progress of records management activities towards achieving key performance indicators (KPIs). Punishments ensure employees remain focused on KPIs; with punishments such as denied promotion through the Public Employees Performance Management Information System (PEPMIS). Induction courses help new employees understand the expected outputs and the budget preparation. The Public Employees Performance Management Information System (PEPMIS) is used for monitoring and evaluations. Mobile phones are used by PO-RAMD staff to monitor and evaluate customer outreach services. Top management follows up through the Registry Supervisor, who evaluates complaints raised by staff. The office supervisor (OS) monitors day-to-day activities in the registry, and the Director of PO-RAMD contacts Heads of Public Institutions to improve areas reported to have problems. PO-RAMD staff self-evaluate their activities and prepare work plans based on volume. Top management at PSSSF responds to the needs of the registry section to facilitate its operation and achieve KPIs.

The study found that some participants in the organisations do not see any measures taken by top management to ensure the realisation of key performance indicators (KPIs). They feel that even if they do something wrong, they are just ignored without

questioning why the KPIs have not been realised. The Ministry of Finance did not penalise employees for delays in filling the PEPMIS system. Additionally, top management takes four to five months to respond to records management staff's needs, even in emergencies. A comparable situation is also revealed in other countries. In Nepal (Neupane & Jaisi 2025), deficiencies in records management at construction sites stem from organisational and cultural issues, including lack of leadership and regulatory awareness. Poland (Gaweł *et al* 2025) struggles with museum organisational change due to hierarchical divisions, trade union resistance, limited managerial autonomy, and insufficient funding, limiting operational freedom. A study from Malawi (Msosa, Chawinga & Chipeta 2023) reveals that limited support from top management hinders effective records management due to insufficient staff training and inadequate tools. Poor management actions exacerbate the situation, while weak monitoring may cause staff complacency and non-compliance with procedures. To enhance records management, it is crucial for top management to allocate a sufficient annual budget for essential activities and resources. In Zimbabwe (Matangira 2016; Mutsagondo & Khumalo 2024), ineffective records management is ascribed to insufficient support from top management officials, stemming from inadequate knowledge and negative perceptions, as well as structural issues arising from limited representation by finance and administration directors.

In Tanzania, a study by Rutta and Ndenje-Sichalwe (2021) found that the Kinondoni Municipal Council's top management does not recognise the significance of records management, resulting in inadequate support for budgeting, policy development, training, and personnel motivation. This lack of management support affects policy enforcement, leading to low morale among records personnel. Additionally, Lyaruu (2021) noted that top management underestimates the challenges associated with records management. These findings imply that public organisations do not take appropriate measures towards ensuring that key performance indicators (KPIs) are realised in records management activities. The top management needs to utilise the carrot and stick leadership style (transactional leadership style) to ensure that the authority is exercised, and compliance is demanded. In relation to this, Leleh (2024)

asserts that the carrot and stick leadership style, also known as the transactional leadership style, is a conditional approach where authority is exercised and compliance demanded. This style encourages rewarding efforts and recognition, which can motivate employees to put in more efforts. However, the lack of rules, policies, or targets can also compromise organisation's progress. Fear for or unwillingness to observe rules can encourage people into shunning responsibilities. The carrot symbolises rewards for accomplishing tasks, while the stick refers to punishment for a failure. Since the result chain model is focused on attaining the intended objectives, effective leadership is vital for establishing direction and accomplishing organisational goals. Monitoring and evaluation depend on the actions of top management and involvement of other staff.

5.4 The evaluation tactics employed by public organisations

This section covers the interpretations and discussions of the findings related to the third objective of the study which explored the evaluation tactics employed by public organisations in realising the expected outputs and outcomes of records management programmes. The interpretations and discussions cover two sub-themes which are: the tactics used to determine the desired results; and the efforts of the PO-RAMD in fostering supportive environment.

5.4.1 Tactics used to determine the desired results

The study explored the evaluation tactics used by decision-makers and programme administrators to allocate time and resources to determine whether records management programmes are producing the desired results. The study found that the PO-RAMD prepares monitoring and evaluation plans to assess the allocation of funds for records management in public institutions. Collaborative efforts between the PO-RAMD and public institutions are made to accommodate the planned activities in the next year's budget. Decision-makers and programme administrators use meetings to discuss the progress of records management programmes, providing feedback and discussing successes and challenges. They visit registries to listen to staff and address challenges and sometimes provide training opportunities to improve staff capacity. However, decision-makers may take reactive responses, focusing on problems rather

than proactive measures. Registry staff may take self-initiatives, and decision-makers may not have time to monitor and evaluate records management activities. Senior leaders often avoid records management issues, preventing them from monitoring and evaluating their activities; nobody will keep an eye on what is happening in the registry if everything is proceeding without any complaints. Even one of the Directors at PO-RAMD believes decision-makers often do not discuss records management issues because of the lack of representation of the registries in the management meetings.

From the study findings, the tactics used by public organisations in determining whether records management programmes are producing the desired results seem not to be adequate to change the behaviour of records management practitioners. As Geng (2024) stresses, the tactics adopted need to aim at altering the users' behaviour by enabling them focus on the desired results. In most cases, decision-makers have been waiting until a problem happens for them to react (reactive responses). If they really want the records management programmes to produce the expected results, the decision-makers should keep an eye on what is happening in the registry. Whenever there is a need for support, they must provide it timely. Corrective actions should be taken as necessary to guarantee that Records Management Practitioners are heading in the right direction. Managers should frequently visit the registry to provide necessary support. A study by Giamos, Doucet and Léger (2024) indicates that individuals perform better and are more motivated with continuous human feedback compared to computer-generated feedback. Human input enhances focus, communicates vital information, reinforces positive behaviours, and conveys social and emotional cues that computers lack.

As prescribed by the result chain model, an effective records management programme necessitates clear objectives, responsibilities, authorities, adequate resources, staff training, and regular assessments. The decision-makers should allocate enough time and resources to address all these requirements. They must ensure that programme objectives are clear and well understood by Records Management Practitioners. They must ensure that responsibilities and authorities are clearly defined and understood by each practitioner. Also, they must allocate adequate resources and ensure that

resources are utilised for the intended purposes. As noted by Manase, Mwantimwa and Ndimbwa (2025), top management's financial and non-financial support is crucial in encouraging records practitioners to utilise records management systems. Moreover, decision-makers must conduct training needs assessment to ascertain skills gaps among Records Management Practitioners to enhance their capacity to implement records management activities. As not enough, they must design appropriate monitoring and evaluation systems. In this case, the participatory evaluation can be useful. According to Rabie and Cloete (2009), programme personnel or participants actively participate in decision-making and activities pertaining to the design and execution of evaluation studies when engaging in participatory evaluation. The evaluator and representatives from stakeholder groups make up the evaluation team, which plans, executes, and analyses the evaluation. There are several levels of participation, from shared accountability to complete control, with the evaluator providing technical skills when needed.

For effective monitoring and evaluation of programmes, it is better for decision-makers to adopt the Monitoring and Evaluation Guidelines developed by the United Nations Development Programme (2002) with the following considerations:

- Effective monitoring focuses on results, follow-up, and improvement areas.
- Good monitoring relies on good design and realistic results chain.
- Regular visits by senior staff and follow-ups by Programme Managers are crucial.
- Regular analysis of annual project reports for effective monitoring.
- Participatory monitoring methods such as focus groups, Steering Committees, stakeholder meetings, and outcome groups are essential.
- Objective assessment of progress and performance using clear criteria and indicators is crucial.
- Regular review of performance, success, and relevance of development interventions improves monitoring and decision-making.

- Active generation of lessons learned, the adaptation of strategies, and the use of electronic resources for lesson sharing ensure good monitoring and avoid mistakes.

In other words, the government and public organisations may adopt the process improvement techniques as discussed in section 5.3.2. In brief, as recommended by Henriquea *et al* (2021), the adoption of popular process improvement techniques such as Define, Measure, Analyse, Improve and Control (DMAIC) and Plan Do Check and Act (PDCA) methodologies is essential.

5.4.2 Efforts of the PO-RAMD in fostering supportive environment

The findings of the study explored the tactics used by the PO-RAMD in ensuring that public offices are responsible for fostering an environment that prioritise records and archives management activities. The study revealed that the PO-RAMD advises public offices on records and archives management issues. It increases awareness of national policy compliance and provides training to records management practitioners. The PO-RAMD also offers outreach services to the community, including television programmes, exhibitions, and mini classes. It monitors and evaluates the implementation of records management programmes and provides feedback to respective organisations through management meetings. The PO-RAMD also establishes zone offices for easy accessibility. It collects archival information from public offices, individual leaders as well as oral traditions and records conversations through audio or video. It also prepares and distributes guidelines on records and archives management. The PO-RAMD aims to enhance the registry structure in public offices, with the Director General committing to on-going improvements.

There are several benefits from the PO-RAMD efforts. The study found that the PO-RAMD has been instrumental in transforming the perception of registry activities in public organisations. The PO-RAMD officials, who often sit with top management, help in addressing issues such as the inclusion of non-records management personnel in confidential registries, which can lead to information leakage. They also organise trainings and visit institutions to ensure proper records management. The PO-RAMD

officials also help in implementing changes to the registry system, such as transitioning to a keyword system and using an electronic system. They visit Directors and Human Resources Officers to discuss issues on records management and provide instructions. Their support is greatly appreciated, as the heads of the organisations often take the registry staff for granted.

Although the PO-RAMD's efforts in records management are beneficial, there are shortcomings. The study found that PO-RAMD does not effectively monitor institutions, waiting for invitations to ensure good records management. This results in years of waiting without visiting institutions, hence hindering effective implementation of records and archives management in public offices. The PO-RAMD officials' efforts focus on inspections and advice rather than results. They often provide inconsistent advice, sometimes recommending the same changes repeatedly. There is no clear training plan for PO-RAMD officials to reach all public institutions regionally or multiple times a year. Additionally, the budget is inadequate, sometimes hindering officials from reaching the institutions they plan to reach in a year. A similar situation exists in Malawi (Simwaka & Malanga 2023), where limited laws impede the Malawi National Archives' ability to promote records management, compounded by underfunding and insufficient management tools.

In Tanzania, the findings from Hassan (2022) revealed that RAMD support at Temeke Municipal Council was ineffective due to poor implementation of roles, which hindered records management improvements. Despite training and preparation for record transfers, support was lacking, leading to records congestion and ineffective appraisal and disposition processes. A study by Kashaija and Ndumbaro (2020) indicates that PO-RAMD has inadequately inspected records management practices at BRELA, hindering improvements through training and technical advice. This oversight in implementing the Records and Archives Management Act of 2002 has led to poor records management in public offices, notably a lack of awareness of legal requirements at BRELA, highlighting the necessity for effective monitoring and evaluation by PO-RAMD, which remains unfulfilled.

As Rutta and Ndenje-Sichalwe (2021) revealed, the main challenge faced by the Kinondoni Municipal Council (KMC) was the lack of guidance and support from the PO-RAMD, who has not visited to provide technical advice. The failure of PO-RAMD to visit and advise the Kinondoni Municipal Council, which is in the same city with the former headquarters of PO-RAMD in Dar es Salaam, is an indicator that many public offices are not visited and advised by the PO-RAMD on proper records management practices. Similarly, the study by Kamatula (2018) found that despite Tanzanian public institutions generating e-records through e-transactions, PO-RAMD has not been able to fulfil its responsibilities. These findings imply that the records management programmes cannot achieve the expected changes as the chief regulator and inspector (PO-RAMD) does not play its role effectively. As per the result chain model, PO-RAMD is tasked with regulatory and inspection roles, necessitating the establishment of monitoring mechanisms for the sustainable implementation of records management programmes to track inputs, activities, and outputs continuously. If records management programmes intend to bring changes, the actors, including the PO-RAMD, should aim at fostering an environment that prioritises records and archives management.

5.5 Summary

This chapter provided interpretations and discussions of the research findings presented in Chapter Four. It underscored the effects of inputs in enhancing the sustainable implementation of records management programmes. The inputs included top management support; clear programme objectives; well-defined responsibilities and authorities; legal framework; staffing; continuous training; allocation of adequate resources; placement of records management units in the organisation structure; regular interval monitoring and evaluations; review of laws, policies and guidelines; and outreach programmes. The study emphasises the need for top management support in records management activities, but some organisations struggle with budget inadequacies, the lack of expertise, trust in staff, neglect of training, and delays in support. Clear programme objectives are crucial for setting KPIs. The legal framework is vital but needs review to keep up with changing records management practices. Staffing and training opportunities are often inadequate, and communication between staff and

the top management is challenging. Government directives impact legal framework review efforts, and raising public awareness can improve the profession's image.

The chapter also covered the interpretations and discussions of findings related to the effects of monitoring activities on records management programmes, focusing on four sub-themes: registry structure, continuous assessment strategies, target setting mechanisms, and top management actions. In this respect, the study revealed that poorly structured registries compromise task execution, leading to undervaluation and disrespect for staff. Continuous assessment strategies include department heads monitoring registries' responsibilities, but some institutions lack specific methods. Key performance indicators (KPI) measurements are participatory, but challenges persist in Tanzanian registries. Top management actions, such as meetings, punishments, training, and performance management systems, are visible to some employees, while others are unaware, feeling unfulfilled.

Lastly, the chapter covered the evaluation tactics employed by public organisations to achieve expected outputs and outcomes of records management programmes. It focuses on two sub-themes: the tactics used to determine desired results and the efforts of the PO-RAMD in fostering a supportive environment. The study reveals that the tactics used are ineffective. To change records management practitioners' behaviours, decision-makers should allocate resources, ensure clear objectives, and implement participatory evaluation. The Monitoring and Evaluation Guidelines from the United Nations Development Programme are recommended for effective monitoring and evaluation. The PO-RAMD focuses on advising public offices on records management issues, increasing policy compliance awareness, providing training, and offering outreach services. However, the study found that the PO-RAMD does not effectively monitor institutions and lacks a clear training plan.

The next chapter presents a summary, conclusion, and recommendations on the strategies for enhancing changes in the implementation of records and archives management programmes in Tanzania. The chapter also introduces a framework for the strategies for enhancing changes in the implementation of records and archives

management programmes in Tanzania. Institutions are expected to adopt this framework to achieve the expected changes in implementing records management programmes.

CHAPTER SIX

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

6.1 Introduction

This chapter summarises the study findings, conclusions, and recommendations. The chapter also introduces a framework for strategies for enhancing changes in the implementation of records and archives management programmes in Tanzania. The research findings, conclusions, and recommendations based on the research objectives are summarised in this chapter. A suggested framework and areas for further research are then presented.

6.2 Summary of the findings

This section provides a summary of the research findings in accordance with the research objectives. The study has revealed that the sustainable implementation of records management programmes depends on inputs such as top management support, clear programme objectives, well-defined responsibilities, legal framework, staffing, continuous training, resource allocation, and outreach programmes. Although top management support is the topmost input, some organisations face challenges such as budget constraints, the lack of expertise, and delays in support. On the effects of monitoring activities on records management programmes, the findings revealed that poorly structured registries hinder task execution, and top management actions are visible to some employees but not to others. Moreover, the evaluation tactics used by public organisations are ineffective, and decision-makers should allocate resources, ensure clear objectives, and implement participatory evaluation. The findings are summarised and presented according to the research objectives as follows:

6.2.1 The effects of inputs towards the implementation of records management programmes

The study emphasises the importance of top management support in records management activities and resource availability. However, some organisations lack support due to budget constraints, the lack of expertise and trust in registry staff, neglect of training, and delays. To overcome this, it is crucial to engage top management and explain the importance of records, support initiatives aimed at change, and monitor inputs, activities, and outputs. Leadership is crucial for the successful implementation of organisational change (OC), as it establishes direction, promotes change, and helps employees build necessary skills.

The study explored the impact of clear records management programme objectives on sustainable implementation, and which are crucial for setting key performance indicators (KPIs) and impacting the expected outcomes. However, unclear objectives can lead to habitual work and failure to reach targets. The study found that in public organisations, clear objectives are not consistently available. Most participants reported the lack of clear goals and objectives, and where available, they are often prepared by non-professionals and not shared with targeted employees. The study advocates for clear objectives as they provide direction, encourage the team, facilitate communication, and measure success. To ensure the success of records management programmes, initiatives should be made to make objectives clear and familiar to all stakeholders, fostering a sense of ownership and motivation.

The study explored the impact of well-defined responsibilities on sustainable records management activities and revealed that responsibilities for public records and archives are defined in regulatory documents. However, users often lack a clear understanding of these responsibilities, leading to overstay with files and difficulties using e-office systems. The study suggests a successful records management programme to be led by a senior executive and a Senior Records Manager who can oversee and enforce the implementation of records management responsibilities.

The study revealed that legal frameworks are crucial for records management, but their current state needs revision to keep up with changing practices. Institutions often lack proper guidelines, leading to insufficient quality information management. The study suggests that a comprehensive legal framework and monitoring strategies are needed for effective records management implementation.

Staffing has direct impacts on the sustainable implementation of records management activities in public organisations. The study revealed that staffing of registry staff in Tanzania is guided by the Scheme of Service, which outlines the required educational levels and expertise. However, many organisations face challenges such as the lack of personnel, shortage of staff, a lack of confidence, and delayed employment permits. The study highlights the need for improved staffing, professionalism, and technology changes to address these issues. The study suggests that continuous monitoring of the registry is crucial for sustainable records management programmes, focusing on tangible goods or services such as accuracy, completeness, relevancy, and value added. Without qualified staff, better results cannot be achieved.

The study revealed that continuous training is crucial for the sustainable implementation of records management activities. However, inadequate budgets often prevent training opportunities, affecting staff performance and causing them to fail to follow guidelines. The findings highlighted the need for improved training opportunities and budget allocation. Some institutions have staff capacity training programmes, but they are not fully implemented due to financial constraints.

The study examined the impact of resource availability on records management in public organisations and found that budgets, staff, files, and computers are crucial for effective records management. Insufficient budgets can compromise monitoring, evaluation, and outreach programmes. The lack of budgets also affects the training of staff, leading to insufficient knowledge and poor record maintenance. Many institutions lack computers, scanners, and other devices for effective e-office implementation, leading to confidentiality leaks, delays, and neglect due to staff being tired. The lack of

adequate budget significantly impacts the training of registry staff, leading to insufficient knowledge and inadequate maintenance of records.

The study revealed that the placement of records management units in an organisation affects the sustainable implementation of records management activities. Registry staff face challenges communicating their needs to the top management, often through intermediaries. PO-RAMD is a powerful organisation, but other registries lack autonomy and authority. It was further revealed that staff struggle to communicate their needs to the top management due to intermediaries, which may not convey messages equally. The research suggests that the top management should be open to new ideas and maintain high standards for records management. The appointment of a Records Manager to supervise the design and execution of a programme and policy should be given top priority, and the inclusion of records management within an organisation's structure signifies the management's responsibility and commitment towards its effective management.

The study revealed the impact of regular monitoring and evaluations on the sustainable implementation of records management activities. According to the report, monitoring and evaluations are crucial since they provide insight into the different problems the registries face. Some institutions were found not to be following guidelines, and monitoring was done without a set order and standardised template. Organisations often lack consistent monitoring of laws and plans, mechanisms for verifying implementation, and regular checks on budget accuracy, employee expertise, and training. Feedback is often delayed after monitoring, hindering the improvement of records management practitioners. The study highlighted the challenges faced by PO-RAMD in implementing monitoring and evaluations due to budget constraints and insufficient human and financial resources.

The study revealed that regular reviews of laws, policies, and guidelines impact the sustainable implementation of records management activities in Tanzania. Government directives impact legal framework review efforts, with PO-RAMD undergoing changes due to institutional structure review. The study also highlights the need for reviews for

legal framework, registry structures, and salary structure to differentiate statutory payment for employees with a degree from those with a diploma. The Tanzania Records and Archives Management Professionals Association (TRAMPA) cannot initiate the review, as it is only a professional association. Many records management practitioners are unaware of legal framework review initiatives, and the national guidelines are perceived as inadequate due to the lack of internal guidelines and numerous changes over time. The government must review these laws to harmonise the Act with other laws and satisfy the policy's requirements.

The study revealed that outreach programmes affect the sustainable implementation of records management activities. The PO-RAMD is actively promoting education on records and archives management through various methods. However, most organisations lack outreach programmes including education on records management for employees and the community. Moreover, there is a lack of debates, conferences, seminars, and training to raise awareness.

6.2.2 The effects of monitoring the implementation activities

The study revealed that the current structure of Tanzania's registries negatively impacts staff's fringe benefits, undervaluation, and disrespect. The lack of prioritisation and professionalism in the Administration and Human Resource Departments compromises the execution of tasks in registries, leading to a lack of priority on records management issues. The current structure also marginalises records management professionals, making them feel inferior and leading to faltering accountability. The 2011 National Records and Archives Management Policy shows there is insufficient oversight, control and management of public records because the records management is not given the priority it deserves. To promote creativity, innovation, and openness to change, the registry needs to be formalised as a separate department from the Administration and Human Resource Department.

The study examined the strategies used to monitor records management activities in public institutions and revealed that Department Heads and the PO-RAMD monitor registries' responsibilities. However, these strategies are insufficient, often ignoring

problems until they arise. The lack of budget for monitoring and evaluations makes continuous assessment a challenging task. Registry staff reveal that these strategies exclude them from addressing challenges. The study suggests that the government and public organisations need to adopt process improvement tools and methods to enhance operational excellence and organisational performance. This includes involving people at all stages of the implementation, investing in training, and receiving top management support.

Concerning the mechanisms used by organisations to set targets for measuring key performance indicators (KPIs), the study revealed that while some organisations have a participatory approach, challenges persist in setting targets for Tanzanian registries. Issues include the lack of specific approaches, the lack of follow-up, and unfamiliarity with KPIs. The study suggests a top-down approach for records management practitioners to take the process seriously. There is a need for borrowing from the Chinese Government, which follows the top-down process for plan drafting, with meetings for advice and consensus. Targets should be used as incentive mechanisms for public officials, with promotion based on the achievement of targets.

On the actions taken by top management to ensure the realisation of key performance indicators (KPIs) in records management activities, the study revealed that some employees are aware of these actions, while others are not. These actions include meetings, punishments, training, induction courses, regular reports, mobile phone follow-ups, and employee performance management systems. However, some employees feel that top management does not take appropriate actions to ensure KPIs are realised. The study suggests that the top management should use the carrot and stick leadership style (transactional leadership) to exercise authority and demand compliance. This style encourages rewarding efforts and recognition, but the lack of rules, policies, or targets can compromise progress. The quality of leadership is crucial for setting direction and achieving organisational goals.

6.2.3 The evaluation tactics employed by public organisations

The study examined the evaluation tactics used by decision-makers and programme administrators to assess the effectiveness of records management programmes in public institutions. The study revealed that the PO-RAMD prepares monitoring plans and collaborates with public institutions to allocate funds. However, decision-makers take reactive responses, focusing on problems rather than proactive measures. Registry staff may take self-initiatives, and senior leaders may avoid monitoring activities. The study indicates that the tactics used by public organisations are ineffective in changing the behaviour of Records Management Practitioners, as they often focus on problems rather than on the desired results.

Concerning the strategies employed by the PO-RAMD in promoting records and archives management in public offices, the study revealed that the PO-RAMD advises on these issues, raises awareness of national policy compliance, and provides training to practitioners. The office provides outreach services, monitors and evaluates the implementation of records management programmes, and provides feedback to organisations. The PO-RAMD collects archival information and prepares guidelines on records and archives management. The Director General promises continuous improvements in the registry structure in public offices. However, the study found that the PO-RAMD does not effectively monitor institutions, resulting in years of waiting without visiting institutions. The officials' focus on inspections and advice is inconsistent, and with no clear training plan for officials. The budget is also inadequate, limiting officials from reaching the institutions they plan to reach. The study concludes that the PO-RAMD's role in records management programmes is not effective.

6.3 Conclusions

The aim of this study was to develop strategies for enhancing changes in the implementation of records and archives management programmes in Tanzania and to eventually develop a framework of those strategies. Records management programmes are subject to change, and organisations must master these processes to ensure effective implementation. However, many organisations struggle with this due to the

lack of understanding of the issues causing change and the methods used to manage it. In Tanzania, despite a well-designed policy since 2011, non-compliant behaviour in records management still persists. Key performance indicators (KPIs) are not understood, and the available funds are limited for activities aimed at improving records management. This study aimed to develop strategies for enhancing changes in the implementation of records and archives management programmes. Thus, section 6.5 presents a proposed framework that can assist organisations in effectively implementing change processes. The study's conclusions are presented in line with the following objectives:

6.3.1 The effects of inputs towards the implementation of records management programmes

The study highlights the importance of top management support in records management activities and resource availability. However, some organisations lack support due to budget inadequacies, the lack of expertise, trust in registry staff, neglect of training, and delays. Clear objectives are crucial for setting key performance indicators (KPIs) and impacting expected outcomes. To ensure the success of records management programmes, initiatives should be made to make objectives clear and familiar to all stakeholders, fostering a sense of ownership and motivation.

Well-defined responsibilities for public records and archives are defined in regulatory documents, but users often lack clear understanding of these responsibilities, leading to overstaying with files and difficulties using e-office systems. A successful records management programme should be led by a senior executive and a Senior Records Manager who can oversee and enforce the implementation of records management responsibilities.

Legal frameworks are crucial for records management, but their current state needs revision to keep up with changing practices. Staffing, professionalism, and technology changes are essential for sustainable records management programmes. Continuous training is crucial for the sustainable implementation of records management activities, but inadequate budgets often restrict training opportunities and affect staff performance.

Resource availability is crucial for effective records management, but insufficient budgets can compromise monitoring, evaluation, and outreach programmes. The placement of records management units in an organisation affects the sustainable implementation of records management activities, as staff struggle to communicate their needs to the top management through intermediaries. Regular monitoring and evaluations are crucial for providing insight into problems faced by registries. The availability or unavailability of outreach programmes also affects the sustainable implementation of records management activities.

6.3.2 The effects of monitoring the implementation activities

The structure of Tanzania's registries is causing undervaluation and disrespect among staff. The lack of prioritisation and professionalism in Administration and Human Resource Departments compromises task execution, leading to a lack of priority on records management issues. This marginalises records management professionals, making them feel inferior and failing to maintain accountability. The National Records and Archives Management Policy of 2011 highlights inadequate supervision and control of public records. Monitoring strategies are insufficient, and the lack of budget makes continuous assessment challenging. The study suggests adopting process improvement tools, investing in training, and receiving top management support. Setting targets for key performance indicators (KPIs) is challenging, and a top-down approach is suggested. Top management's actions to ensure KPIs are unclear, and a transactional leadership style are suggested.

6.3.3 The evaluation tactics employed by public organisations

The study reveals that decision-makers and programme administrators in public institutions often focus on problems rather than proactive measures in evaluating records management programmes. The PO-RAMD advises on issues, raises awareness, provides training, and provides outreach services. However, the PO-RAMD does not effectively monitor institutions, resulting in years of waiting without visiting them. The officials' focus on inspections and advice is inconsistent, and there is no clear

training plan. The budget is also inadequate, limiting officials from reaching the intended institutions.

6.4 Recommendations

The study provides the following recommendations, which, if followed, might help bring about changes in the implementation of records and archives management programmes in Tanzania.

6.4.1 Appropriate mechanisms for addressing issues on inputs/resources

Incorporating the inputs into the corporate strategic plan

The study recommends that organisations should prioritise and include inputs in their corporate strategic plans for regular reporting on their implementation. Records management programmes may struggle to achieve desired changes if the organisation's management does not exert the necessary weight on these inputs.

Appreciating and respecting the profession

The records-keeping profession should be respected and not misused. Those without qualifications may disclose confidential information. It is important to appreciate and not underestimate professionals, as they take care of the organisation's heart. Records management professionals should not be discouraged by trusting people who do not know anything about records, as this can lead to a lack of motivation and dedication to work. There is a need to give high status to registries. Some institutions, such as the judiciary, have given high status to the registry unit, making it an independent unit, indicating potential changes in the future.

Awareness creation

The records management office is crucial for the organisation, as it ensures the proper capturing and filing of letters, files, and other important documents. It is essential to raise awareness to the top management and non-top management, and even to the

Heads of Institutions on the importance of records. Education on the importance of records management can facilitate the implementation of necessary tasks; the Human Resource Officer should continue to educate other departments, acting as a representative for the organisation.

Exhibitions can help raise awareness about records and archives management from the ground level. Top authorities should learn from the ground level to improve their knowledge. Records management benefits families, as seen at University College of London, where computerised archives and children's games are available. Archives shops can also sell materials with archive messages, thus, increasing public awareness.

The PO-RAMD needs to plan to develop a regional training system for all institutions, including private organisations and society. Public education on records management and proper e-office system use is crucial. The government should educate leaders and the top management on records management to ensure smooth operations. Outreach programmes, education, and supervision are needed to reach local governments, as some levels have started using e-office systems.

Strengthen top management support

The top management needs to be strengthened; they should be aware that there are other things in the registry that they cannot understand. The top management's support can help in some way.

Hiring adequate and professional records management staff

The government must ensure professional personnel are available in all aspects of records management, rather than recruiting non-professionals in positions where they may not be capable.

Budget consideration and bringing OC to registries

The budget for records management and tools needs to be allocated adequately. Regular monitoring and evaluations are often hindered by the lack of sufficient funds. Access to necessary equipment such as computers, scanners, and printers is crucial for efficient execution of duties. Management should allocate funds for these. The budget, as it is brought as Other Charges (OC) for other departments, should also be brought to the registries to enable them to set a budget for the tools to help them execute their work smoothly. The lack of adequate resources causes inconvenience and unnecessary stress.

Ring-fence the funds allocated for records management

Getting funding depends on how the management is strategic in securing resources. The most important thing is to ring-fence (get control of) the funds allocated for records management so that they cannot be diverted and used for other purposes.

Creating a Records Management Department and renaming the 'Registry'

Organisations currently lack a Records Management Department. Establishing an independent department can address the existing issues and provide a budget for the records and archives. Currently, the registry staff are considered to belong to a lower cadre, but if they were independent, they could address challenges such as tool shortages and improve overall efficiency. This study suggests that a registry should be an independent department within institutions to gain weight and budget, improve records management efficiency, and contribute to the efficiency of the top management. This would enhance communication and collaboration between staff and supervisors. The study appeals to the government to separate the Records Management Unit for efficiency. The structure of professional fields should encourage continued studies and provide relevant qualifications for supervisors. Experience in records and archives management would also be beneficial.

The term "registry" is the source of disrespect due to its historical negative connotations, implying a place of low quality or status. This study suggests changing the

name to "Records Management Unit or Department" to better reflect the role of Records Officers in a Records Management Office, potentially leading to significant changes.

Involvement and representation in planning and decision-making organs

The registry's members are not involved in budget planning. Leaders are advised to invite representatives from the registries when preparing the budget. Office supervisors should be involved in developing institutional programmes, such as records management. In the budget, the registry staff are not involved because the registry is under the Administration Department. The Administrative Officer is the one who represents the registry here. Registries could benefit from having someone in the top management speaking for them or hosting a seminar to present their ideas or having an Office Supervisor (OS) entering forums on behalf.

The most important aspect for success in records management is the participation of registry staff in decision-making sessions. The PO-RAMD should help to raise awareness about the field, transforming it from a file-only area to a profession. The Office Supervisor (OS) should participate in budget preparation, representing needs and addressing challenges at the registry. This will help the organisation understand its role in the field.

Stop the business-as-usual habit in purchasing standard and quality tools

If the tools are purchased, they must comply with the required parameters and standards. Let those who are involved in the procurement process stop adopting the business-as-usual habits in purchasing tools.

Developing, enforcing and reviewing the legal framework

The problem with the legal framework is the implementation by the Heads of Institutions. Senior management should understand the importance of the registry's guidelines to ensure their compliance. Institutions should develop sufficient guidelines for records management and enforce laws. Guidelines should be developed and

communicated to the management to ensure that institutions have and use them effectively, thereby facilitating change in their operations. Institutions should establish their own guidelines to streamline work. While external guidelines should be available within the institution, institutions should be empowered to create their own internal guidelines.

Regular reviews and updates of laws, policies and guidelines for records management should be done. For example, as the world moves from paper to electronic, the guidelines must be well worded so that people can understand and do what is required effectively. The guidelines need to be updated to accommodate the e-office system and ensure the delivery of confidential documents. The legal framework should be improved to align with electronic records management, as it has been primarily focused on paper records.

Regular provision and evaluation of training to managers and all employees

Regular training on records care is crucial for Managers, as it fosters respect and prevents disrespect. It is important to recognise the significance of records management in an institution, as it can influence the decision to change a cadre. Institutions should provide continuous training to employees and records management professionals to adapt to emerging changes and developments. This ensures they understand new systems, keywords, and e-office, ensuring they stay updated with the latest developments. The researcher emphasises the importance of regular education for registry staff and other practitioners, particularly politicians. The Registry staff should be given time to present and educate others, especially politicians, on records care and handling. Addressing this issue and involving other stakeholders in guiding each other would be beneficial. Training should be organised regularly to ensure good work and prevent malpractices in handling records. The Local Government Authorities (Councils) should set goals for records management, allocate a budget, and provide regular education to all employees.

Although public organisations provide training to records management practitioners, it is crucial for the government and public organisations to evaluate these training programmes to ensure they are effective in improving trainees' competencies. The Kirkpatrick model (as explained in section 5.2.6), which assesses the effectiveness of training programmes, can be used to evaluate these programmes. The model consists of four levels: Reaction, Learning, Behaviour, and Results, which evaluate the impact of training on cost reduction, quality, and quantity.

Stating the role of top management and employees in records management

The guidelines should mandate that all levels of administration, Human Resources Officers and employees are involved in records management issues.

Including records management programmes in the corporate strategic plans

Institutions should have a records management programme and include it in their annual strategic plans. They should provide a report every three months to monitor, evaluate, and improve. The PO-RAMD, acting as a supervisor and auditor, should be consulted by the top management to improve efficiency. Institutions should also train employees on a continuous basis to adapt changes.

6.4.2 Monitoring and evaluation of records management activities

Allocating time and resources to address the requirements of the programmes

An effective records management programme requires clear objectives, responsibilities, authorities, adequate resources, staff training, and regular assessments. Thus, decision-makers should allocate time and resources to address these requirements, conduct training needs assessments, and design appropriate monitoring and evaluation systems. Participatory evaluation, which actively involves staff or participants in decision-making, can be useful. The Monitoring and Evaluation Guidelines developed by the United Nations Development Programme (2002) can be used for effective monitoring. Key considerations include results, follow-up, improvement areas, good design, regular visits, regular analysis of project reports, participatory monitoring

methods, objective assessment of progress, regular review of performance, and active generation of lessons learned. Government and public organisations can adopt process improvement techniques such as Define, Measure, Analyse, Improve and Control (DMAIC) and Plan Do Check and Act (PDCA) methodologies. These techniques have been explained in section 5.3.2 of this report.

Improving supervision and having a manager with relevant skills

The manager with relevant knowledge and experience can influence the top management in Records Management Units, even if the registry is not independent. A professional records management administrator is essential for efficient implementation of duties. Without the manager, tasks may appear lacking, and the manager can streamline the process.

Department Heads should be educated on records management to ensure that their subordinates understand their responsibilities. This will help them fulfil their responsibilities without interfering with other units. Additionally, sufficient resources are needed to transition from paper to electronic records management systems. This will reduce complaints of document loss and long file searches. Although computers are not yet available in some registries, the skills to use them can help move efficiently.

Effective supervision (management) should be increased to ensure that people keep records in the right way and are in the right place. Education should be provided to the registry staff on proper handling of utensils, food, and unnecessary items to prevent damage to documents in registries, as water spills can occur if touched.

Adopting a top-down approach in setting targets for measuring KPIs

The study indicates that setting targets for key performance indicators is not taken seriously by stakeholders at all levels. The top-down approach, based on China's top-down plan drafting process (as explained in Chapter Five, section 5.3.3), can ensure records management practitioners take the process seriously. Targets should be used

as incentive mechanisms for public organisations' officials, with promotion based on the achievement of targets.

Issuing of circulars to beneficiaries

The study suggests that PO-RAMD should issue circulars alongside guidelines to guide beneficiaries in implementing necessary actions, as circulars are highly effective in implementing changes.

Guidelines should be followed

Records management professionals have guidelines that ensure proper procedures and avoid issues such as file loss or misplaced letters. Following these guidelines simplifies the profession's life. Stakeholders and employees should educate each other on the guidelines and address small issues to avoid problems. Collaboration in consultation, guidance, and knowledge sharing is crucial due to different experiences, education, and habits. Records management staff should continue to refresh their knowledge through reading due to the constantly evolving nature of science, technology, and globalisation. New employees should be oriented on records handling in their induction course, as they may not know the filing system. Colleges should teach this subject to help new employees understand the filing system better.

Seriousness of the government on records management

The government should take records management and registries seriously. Guidelines on records management should be provided by the government. If the government cannot establish a department of records management, it should establish one with some autonomy and ensure that records management becomes a habit of every employee, as there is a relationship between corruption and poor records management. Punishments can be given based on the offence and the consequences. Thus, the government should implement awareness education and sanctions for employees, including punishment, to ensure they correct themselves and benefit the public.

The government must ensure that Heads of public organisations look at records management as a priority, as it is the most important area. According to the study, Heads of public institutions need more awareness to give priority and see the importance of records management. Top management should prioritise the importance of records management for the institution.

Records management practitioners' commitment to their responsibilities

This study emphasises the importance of Records Management Professionals being responsible, maintaining confidentiality, and adhering to the ethics of the records management profession. It suggests that change in the cadre should start with the professionals, the ones who advocate for change. Records management professionals should make sure that every file or object that comes out of the registry is recorded so that they know where it is. Records management professionals must work diligently and not underestimate themselves, as they may be underestimated or overlooked. It is crucial to prioritise records, as they are considered valuable. Despite criticism, they must continue to work according to guidelines and maintain a strong morale. Records management staff should love and appreciate their work, believing in themselves and doing it honestly. They should not damage or criticise their work and defend against any negative comments. Records management professionals must work according to their oaths and sensitivity, adhering to duties correctly and not leaking secrets.

As for the employees, they need to be adequate and have skills to enable them to manage the existing rules and procedures and thus bring changes and improvement. Records staff should share suggestions to address the challenges, raise awareness, and educate others on proper record handling. Action Officers should be educated on folio numbers and the importance of using them in correspondence, as others may use non-registry numbers.

Improving records management modules at the colleges

Colleges should incorporate records management modules into all courses. This will equip students with knowledge about records management in various fields such as

legal, health, and accounts. It will also help in managing personal belongings and ensuring the success of a company.

6.5 Proposed framework

This section presents a framework for strategies for enhancing changes in the implementation of records and archives management programmes (sustainable records management strategies) in Tanzania. The framework includes important elements for sustainable implementation of records management programmes such as top management support, clear programme objectives, well-defined responsibilities, structure of registries, legal framework, staffing, continuous training, resource allocation, outreach programmes and monitoring and evaluation of activities. The framework is depicted in Figure 6.1.

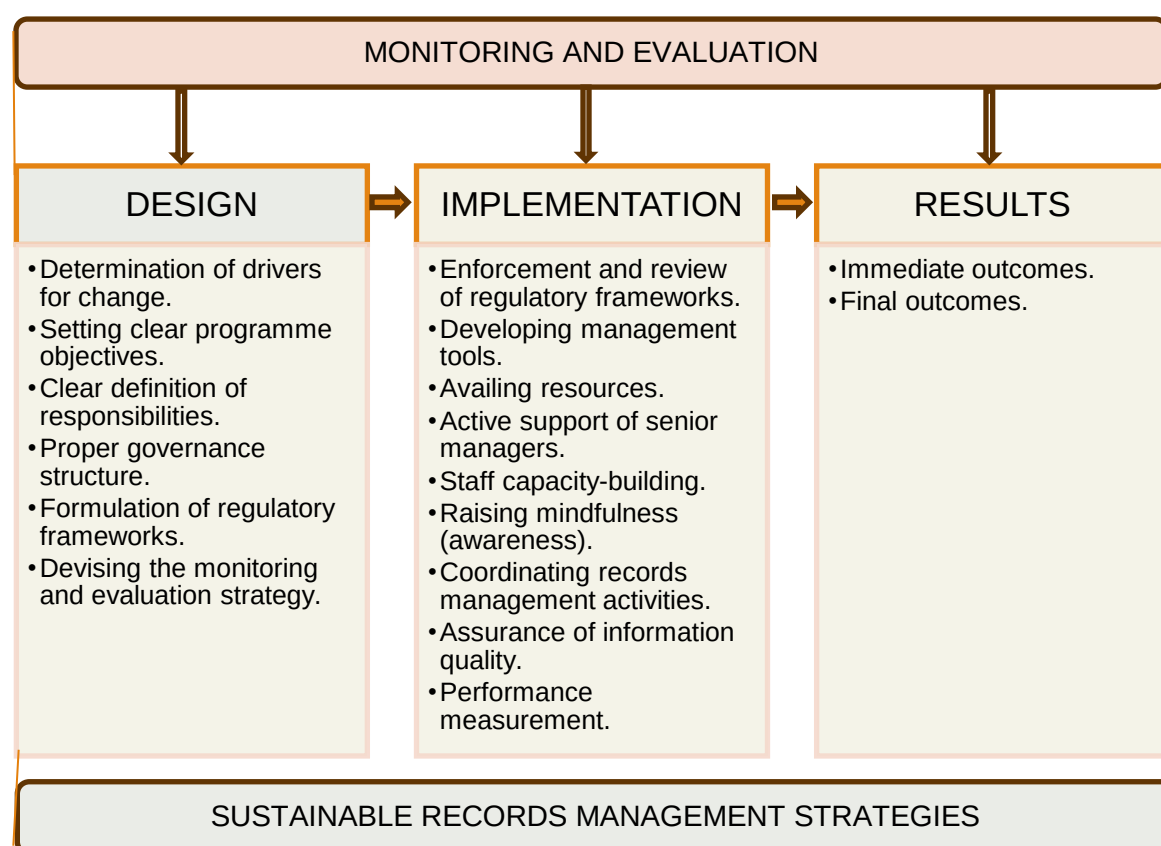


Figure 6.1: Framework for sustainable records management strategies
(Researcher 2025)

This suggested framework is based on result chain processes which incorporate the essential elements of a records and archives management programme (from its design, implementation to the results achieved) as explained below:

a. Design stage

This stage includes determination of the drivers for changing the records management programme, setting clear programme objectives, a clear definition of responsibilities and authorities, proper governance structure, formulation of regulatory frameworks and devising the monitoring and evaluation strategy.

Drivers for change: Organisations must initially comprehend the reasons or factors that necessitate adjustments or enhancements in their records management practices. Once the drivers for change are established, it will be easy to set programme objectives aimed at improving records management practices.

Clear programme objectives: The organisations must clearly define desired outcomes and establish a conceptual framework for achieving them, as without explicit objectives, it becomes challenging to select appropriate metrics. Programme objectives significantly impact the expected outcomes. Clear objectives enable stakeholders to understand and achieve the desired outcomes, while unclear objectives can lead to ineffective implementation and potential document destruction. Clear objectives also aid in setting key performance indicators (KPIs) and guide stakeholders in managing targets. In contrast, unclear objectives can cause interference and redundancies in work performance, as employees may perform similar tasks.

Clear definition of responsibilities and authorities: An organisation's senior executive should be recognised as the champion of a records management plan as part of best practices. A good records management programme identifies the overseer of the project. The ISO 15489-1 (2016) mandates defining roles for personnel in creating and using records, assigning leadership responsibility to appropriate authorities, such as a senior manager. The responsibilities of records professionals, IT, business managers, and legal professionals need to be clarified. The responsibilities include managing

records, developing metadata schemas, implementing policies, ensuring up-to-date work process records, maintaining reliable control systems, and maintaining accurate business activity records. Senior Managers should support policy development, while employees are responsible for maintaining accurate records.

Proper governance structure: Records management must be integrated into the organisational structure, requiring the management and the organisation to take responsibility and be committed to it, as demonstrated by assigning accountability to high-ranking individuals.

Regulatory framework: The legal framework significantly influences records management practices, guiding practitioners on tasks and procedures. Without a legal framework, the registry staff and users of records may struggle to find guidelines or make decisions based on their own determinations. This lack of a legal framework can lead to misconduct and insufficient consideration of working facilities and resources, affecting the overall implementation of records management activities.

Monitoring and evaluation strategy: The Organisation should devise a proper strategy for regular data gathering, analysis, and comparison between the actual and planned results, as it is crucial for effective intervention implementation. Regular monitoring helps to identify risks and take appropriate action. Records management should be informed of results, fostering a quality control, monitoring, and evaluation culture. For records management programmes to be implemented sustainably, monitoring systems must be created to continuously track the elements in the design and implementation stages as well as the anticipated consequences (changes/results) of the programmes. Monitoring and evaluation should be streamlined across all stages as it is used as a mirror to reflect smartness and untidiness of the processes.

b. Implementation stage

This stage includes enforcement and review of regulatory frameworks (legislation, policies, procedures, standards, guidelines and governance systems), developing management tools (retention and disposal schedules, plans for disaster management

and file plans), availing resources, active support of Senior Managers, staff capacity building, raising mindfulness (awareness) on the significance of records management, coordinating efforts on records management activities (records creation and capture, maintenance and use, security and custody, preservation, disposition), assurance of information quality (free of error, reliability, authenticity and comprehensiveness) as well as performance measurement (regular interval monitoring and evaluation from regulatory bodies).

c. Results

This stage includes the immediate outcomes (information availability and accessibility whenever needed for decision making, research and cultural purposes) and the outcomes (change of perception and support to records management activities, efficiency and effective service delivery, protection of organisations and individuals' rights, improved transparency, accountability, rule of law, and assurance of continuity of operations). Regular performance evaluations should assess the relationship between the design stage, implementation stage, and results (changes), while impact evaluations should determine whether or not the changes at the end are due to the programme intervention alone.

6.6 Implications of the study for theory, policy and practice

The study's findings could potentially influence policymakers, practitioners, and researchers in records and archives management by identifying areas that compromise changes in the implementation of records and archives management programmes in Tanzania. The limitations relate to the unavailability or inadequacy of necessary strategies (top management support, clear programme objectives, well-defined responsibilities, structure of registries, legal framework, staffing, continuous training, resource allocation, outreach programmes and monitoring and evaluation of activities), which are required to enhance the realisation of changes in the implementation of records and archives management programmes. The study has provided recommendations on the strategies for sustainable implementation of records management programmes by including the necessary tactics. When properly applied,

these recommendations may assist organisations in achieving the anticipated modifications in the way records and archives management programmes are implemented in Tanzania. In this sense, the study adds to the current conversations on the best practices for improving the implementation of records management programmes. A framework for a sustainable records management programme is also suggested by the study, which adds knowledge to policymakers, records management practitioners, researchers and to the existing records management theories.

6.7 Areas for further research studies

Even though many developing nations are still concerned about the strategies for the realisation of changes in the implementation of records management programmes, there is much that remains to be done to increase understanding of the best practices to support changes. Thus, more studies are required to suggest strategies that will be applicable in different contexts.

In addition, the study explored the impact of legal framework availability on sustainable records management activities and revealed that a legal framework is crucial for guiding practitioners and facilitating activities; however, the existing legal framework is compromised by inadequate implementation by institutional heads, leading to insufficient quality information management. Thus, there is a need for more research on exploring factors influencing heads of institutions and records practitioners from not aligning with the established practices of the country's framework, despite the compliance audits which are carried out annually.

The study reveals that the Tanzania's legal framework is inadequate for proper records management, with the National Records and Archives Management Policy of 2011 highlighting the issue. The Act, which was enacted before the policy, is insufficiently comprehensive, causing challenges in record creation, classification, use, tracking, storage, protection, and coordination. Although the policy advocated for reviews of the legal framework, this study indicates the lack of attention to policy requirements over 14 years.

The study revealed that PO-RAMD collects archival information from public offices, leaders, and oral traditions, searching for characters and recording conversations through audios or videos. However, the efforts on collecting and preserving oral traditions need to be explored further to embrace the preservation of indigenous knowledge for future generations. Little has been done in collecting and preserving oral traditions.

6.8 Final conclusion

The purpose of this study was to develop strategies for enhancing changes in the implementation of records and archives management programmes in Tanzania and eventually develop a framework for those strategies. It aimed at improving Tanzania's records and archives management programmes by examining the impact of resources and frameworks (inputs), monitoring activities, and public organisations' evaluation tactics. Programmes for records management are expected to bring changes, and to ensure successful implementation, organisations must become proficient in these procedures. However, the lack of knowledge about the problems hindering change and the strategies used to manage them causes many organisations to struggle with this. Despite a well-crafted policy in place since 2011, non-compliant records management practices continue to exist in Tanzania. There are few resources available for initiatives targeted at enhancing records management, and key performance indicators (KPIs) are not well understood. Therefore, the unique contribution of this study is the development of a framework for enhancing changes in the implementation of records management programmes as presented in Section 6.5. The public organisations can utilise the framework in enhancing changes in the implementation of records management programmes.

REFERENCES

- Adler, RH. 2022. Trustworthiness in qualitative research. *Journal of Human Lactation* 38(4):598-602. <https://doi.org/10.1177/08903344221116620>.
- Adusei, C & Mensah Senyah, M. 2022. Staff knowledge on records management in the local governments of Ghana: a case study. *Expert Journal of Business and Management* 10(1):1-13.
- Al-Alawi, SA. 2025. Records management compliance: a case study of Kuwait's College of Basic Education. *Records Management Journal* 35(1):94-107. <http://dx.doi.org/10.1108/RMJ-09-2023-0050>.
- Alanoğlu, M, Karabatak, S & Kuloğlu, A. 2023. Change management in educational organisations, in *Education & Science*, IV: 25-37. https://www.researchgate.net/publication/377030300_CHANGE_MANAGEMENT_IN_EDUCATIONAL_ORGANISATIONS. (Accessed 24 January 2024).
- Allen, LN, Karanja, S, Tlhajoane, M, Tlhakenelo, J, Macleod, D & Bastawrous, A. 2025. Comparison of telephone and in-person interview modalities: duration, richness, and costs in the context of exploring determinants of equitable access to community health services in Meru, Kenya. *International Journal of Qualitative Methods* 24:1-9. <https://doi.org/10.1177/16094069241312012>.
- Allen, W. 2021. Theory of change. *Learning for Sustainability*. <https://learningforsustainability.net/theory-of-change/> (Accessed 27 September 2021).
- Alsalamah, A & Callinan, C. 2021. Adaptation of Kirkpatrick's Four-Level Model of Training Criteria to Evaluate Training Programmes for Head Teachers. *Education Sciences* 11(116):1-25. <https://doi.org/10.3390/educsci11030116>.
- Alsalami, AI. 2022. Literature review as a key step in research processes: case study of MA dissertations written on EFL of Saudi context. *Saudi Journal of Language Studies* 2(3):153-169. <http://dx.doi.org/10.1108/SJLS-04-2022-0044>.
- Alves, JG, Braga, LP, Souza, CS, Pereira, EV, Mendonça, GUG, Oliveira, CAN, et al. 2023. Online focus group for qualitative research data collection: experience report. *Escola Anna Nery* 27(1):1-8. <http://dx.doi.org/10.1590/2177-9465-ean-2022-0447en>.
- American Society for Quality. 2025. *The define measure analyse improve control (DMAIC) process*. <https://asq.org/quality-resources/dmaic> (Accessed 3 March 2025).

- Anderson, D & Anderson, LA. 2010. *Beyond change management: how to achieve breakthrough results through conscious change leadership*. 2nd ed. San Francisco: Pfeiffer.
- Antonescu, D. 2013. Evaluating Methodology of Community Regional Funds. *Acta Universitatis Danubius. Œconomica* 9(4):332-347.
<http://dx.doi.org/10.13140/RG.2.1.3517.8328>.
- ARMA International. 2013. ARMA International's information governance maturity model.
<https://www.lva.virginia.gov/agencies/records/psrc/documents/Principles.pdf>.
(Accessed 21 July 2023).
- Asenahabi, BM. 2019. Basics of research design: a guide to selecting appropriate research design. *International Journal of Contemporary Applied Researches* 6(5), 76-89.
- Ataro, G. 2020. Methods, methodological challenges and lesson learned from phenomenological study about OSCE experience: overview of paradigm-driven qualitative approach in medical education. *Annals of Medicine and Surgery* 49:19-23. <https://doi.org/10.1016/j.amsu.2019.11.013>.
- Ayanda, OT, Oloniruha, EA & Ogunbade, AA. 2020. Records management practices in research institutes in South-West, Nigeria. *Frontiers in Education Technology* 3(3):37-46. <http://dx.doi.org/10.22158/fet.v3n3p37>.
- Ba, A. 2021. How to measure monitoring and evaluation system effectiveness? *African Evaluation Journal* 9(1):1-12. <https://doi.org/10.4102/aej.v9i1.553>.
- Baako, I, Alhassan, H & Gidisu, P. 2022. Understanding and spotting research gaps through a systematic literature review. *International Journal of Research and Innovation in Social Science (IJRISS)* VI(III):549-554.
- Babbie, E. 2016. *The practice of social research*. 14th ed. Boston: Cengage Learning.
- Baker, K. 2022. *Human resources: what it is and why it's a critical business function*.
<https://catalant.com/human-resources/the-ultimate-guide-to-human-resources/>
(Accessed 3 April 2025).
- Bhattacharjee, A. 2012. *Social science research: principles, methods, and practices*. 2nd ed. Florida: Creative Commons.
- Booz Allen Hamilton Inc. 2004. Ten guiding principles of change management. New York.: Booz Allen Hamilton Inc.
<https://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=&cad=rja&>

uact=8&ved=2ahUKEwi69KCWnICEAxVtVKQEHU4kAI4QFnoECBsQAQ&url=http%3A%2F%2Fwww.ipi.ethz.ch%2Fdownloads%2F_files%2Fi-Puls%2Fpub_20051125_change_management.pdf&usg=AOvVaw2iO-722zMd4fB6KdLCfy-k&opi=89978449 (Accessed 28 January 2024).

- Bowker, L & Villamizar, C. 2017. Embedding a records manager as a strategy for helping to positively influence an organisation's records management culture. *Records Management Journal* 27(1):57-68. <http://dx.doi.org/10.1108/RMJ-02-2016-0005>.
- Bryman, A. 2012. *Social research methods*. 4th ed. New York: Oxford University Press.
- Brynard, DJ, Hanekom, SX & Brynard, PA. 2016. *Introduction to research*. Pretoria: Van Schaik.
- Cai, J. 2023. Effects of leadership styles and organizational strategy to enhance performance efficiency. *Journal of Enterprise and Business Intelligence* 3(1):12-22. <https://doi.org/10.53759/5181/JEBI202303002>.
- Campbell, S, Greenwood, M, Prior, S, Shearer, T, Walkem, K, Young, S, et al. (2020). Purposive sampling: complex or simple? Research case examples. *Journal of Research in Nursing* 25(8):652-661. <https://doi.org/10.1177/1744987120927206>.
- Cheong, H, Lyons, A, Houghton, R & Majumdar, A. 2023. Secondary qualitative research methodology using online data within the context of social sciences. *International Journal of Qualitative Methods* 22:1-19. <https://doi.org/10.1177/16094069231180160>.
- Claude, KJ. 2024. The impact of records management on the effectiveness of human resource management in the public sector. *International Journal of Research and Innovation in Social Science* 8(05):1040-1060. <https://dx.doi.org/10.47772/IJRISS.2024.805072>.
- Corporate Finance Institute. 2024. McKinsey 7S model: a tool that analyses a company's "organisational design". Corporate Finance Institute. <https://corporatefinanceinstitute.com/resources/management/mckinsey-7s-model/> (Accessed 31 January 2024).
- Costa, PI, Randez, RA, Cinaglia, C & Montgomery, DP. 2022. Qualitative ISLA research methodologies and methods. 55-78. <http://dx.doi.org/10.1075/rmal.3.03dec>.
- Creswell, JW & Creswell, JD. 2018. *Research design: qualitative, quantitative and mixed methods approaches*. 5th ed. Los Angeles: SAGE Publications.

- De Vos, AS, Strydom, H, Fouche, CB, & Delport, CS. 2011. *Research at grassroots for the social sciences and human services professions*. 4th ed. Pretoria: JL Van Schaik Publishers.
- Dewi, IG. 2021. Understanding Data Collection Methods in qualitative research: the perspective of interpretive accounting research. *Journal of Tourism Economics and Policy* 1(1):8-15. <https://doi.org/10.38142/jtep.v1i1.102>.
- Djafar, H, Yunus, R, Pomalato, SW & Rasid, R. 2021. Qualitative and quantitative paradigm constellation in educational research methodology. *International Journal of Educational Research & Social Sciences* 2(2):339-345. <http://dx.doi.org/10.51601/ijersc.v2i2.70>.
- Donkoh, S & Mensah, J. 2023. Application of triangulation in qualitative research. *Journal of Applied Biotechnology and Bioengineering* 10(1):6-9. <https://doi.org/10.15406/jabb.2023.10.00319>.
- Ernest, N, Marcellus, NF, Abenwi, SJ & Ibrahima, I. 2020. Qualitative research methodology in social sciences. *International Journal of Scientific Research and Management (IJSRM)* XX(XX):X-2020-1 - X-2020-16. <http://dx.doi.org/10.18535/ijserm/v11i09.sh01>.
- Errida, A & Lotfi, B. 2021. The determinants of organizational change management success: Literature review and case study. *International Journal of Engineering Business Management* 13:1-15. <https://doi.org/10.1177/18479790211016273>.
- Fang, Y. 2024. Investigating the impact of business, financial, and debt restructuring on enterprises, in *Proceedings of the 3rd International Conference on Business and Policy Studies*. 292-298. <http://dx.doi.org/10.54254/2754-1169/71/20241527>.
- Francois, J, Sisler, J and Mowat, S. 2018. Peer-assisted debriefing of multisource feedback: an exploratory qualitative study, *BMC medical education* 18(1):1-7. <https://doi.org/10.1186/s12909-018-1137-y>.
- Frankel, N, Gage, A, Luben, E & Singh, K. 2016. *M&E fundamentals: a self-guided mini course*. NorthCarolina: U.S. Agency for International Development. <http://www.globalhealthlearning.org/course/m-e-fundamentals> (Accessed 22 February 2024).
- Franklin, C, Cody, P & Ballan, M. 2019. Reliability and validity in qualitative research, in *The Handbook of Social Work Research Methods*. London: SAGE Publications: 355–374.

- Franks, PC. 2018. *Records and information management*. 2nd ed. Chicago: ALA Neal-Schuman.
- Ganesha, HR & Aithal, PS. 2022. Choosing an appropriate data collection instrument and checking for the calibration, validity, and reliability of data collection instrument before collecting the data during Ph.D. programme in India. *International Journal of Management, Technology, and Social Sciences (IJMTS)* 7(2):497-513. <https://doi.org/10.5281/zenodo.7310078>.
- Gannon, MJ, Taheri, B & Azer, J. 2022. Contemporary research paradigms and philosophies, in *Contemporary Research Methods in Hospitality and Tourism*, edited by F Okumus, SM Rasoolimanesh and S Jahani. 5-19. <https://doi.org/10.1108/978-1-80117-546-320221002>.
- Gaweł, Ł, Pluszyńska, A, Nowak, P, Pokojaska, W, Krawczyńska, A & Karpińska, A. 2025. Barriers to organisational changes in Poland's public museums. *Museum Management and Curatorship* 1-21. <https://doi.org/10.1080/09647775.2025.2583523>.
- Geng, Y. 2024. Transparency for what purpose?: Designing outcomes-focused transparency tactics for digital platforms. *Policy & Internet* 16(1):83-103. <https://doi.org/10.1002/poi3.362>.
- Gertler, PJ, Martinez, S, Premand, P, Rawlings, LB & Vermeersch, CMJ. 2011. *Impact evaluation in practice*. The World Bank: Washington DC.
- Giamos, D, Doucet, O & Léger, a. P-M. 2024. Continuous performance feedback: investigating the effects of feedback content and feedback sources on performance, motivation to improve performance and task engagement. *Journal of Organizational Behavior Management* 44(3):194-213. <https://doi.org/10.1080/01608061.2023.2238029>.
- Gkrimpizi, T, Peristeras, V & Magnisalis, I. 2023. Classification of barriers to digital transformation in higher education institutions: systematic literature review. *Education Sciences* 13(7):1-24. <https://doi.org/10.3390/educsci13070746>.
- Grass, K. 2024. The three logics of qualitative research: epistemology, ontology, and methodology in political science. *American Journal of Qualitative Research* 8(1):42-56. <http://dx.doi.org/10.29333/ajqr/14083>.
- Gunasekara, R & Marasinghe, M. 2023. A case study on records management practices of the Open University of Sri Lanka. *Sri Lanka Journal of Management Studies* 5(1):89-99. <https://doi.org/10.4038/sljms.v5i1.108>.

- Hamzat, SA, Ayeni, FA & Kutu, JO. 2024. Preservation and conservation practices adopted for the management of academic board records in Nigerian polytechnics. *Records Management Journal* 35(2):1-17.
<http://dx.doi.org/10.1108/RMJ-12-2023-0078>.
- Hassan, SS. 2022. Assessing the effectiveness of Records and Archives Management Department (RAMD) in improving records management at the Temeke Municipal Council, Tanzania. *Journal of Public Sector Management* 6:119-134.
- Henriquea, DB, Filhoa, MG, Marodinb, G, Jabbour, AB & Jabbour, CJ. 2021. A framework to assess sustaining continuous improvement in lean healthcare. *International Journal of Production Research* 59(10):2885-2904.
<https://doi.org/10.1080/00207543.2020.1743892>.
- Ifenaiké, OD & Olatokun, WM. 2020. Freedom of information law and records management practices among records managers in Nigeria's Premier University. *Library Philosophy and Practice (e-journal)* 4734:1-25.
https://www.researchgate.net/publication/348488381_FREEDOM_OF_INFORMATION_LAW_AND_RECORDS_MANAGEMENT_PRACTICES_AMONG_RECORDS_MANAGERS_IN_NIGERIA%27S_PREMIER_UNIVERSITY (Accessed 23 September 2021).
- Indu, PV & Vidhukumar, K. 2020. Research designs - an overview. *Kerala Journal of Psychiatry* 32(1):64-67. <https://doi.org/10.30834/KJP.32.1.2019.179>.
- International Council on Archives. 2009. *Establishing a records management program: guidelines for professional associations*.
https://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=&cad=rja&uact=8&ved=2ahUKEwjH3c2Ln4WEAxVBU6QEHTeXDqYQFnoECDwQAQ&url=https%3A%2F%2Fwww.ica.org%2Fsites%2Fdefault%2Ffiles%2FSPA_2009_Guidelines_Developing-a-records-management-programme_EN.pdf&usg=AOvVaw30wWiBd6DI9ZA-1xW_d3ML&opi=89978449. (Accessed 30 January 2024).
- International Criminal Court. 2016. *Comprehensive report on the reorganisation of the registry of the International Criminal Court*. The Registry.
https://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=&cad=rja&uact=8&ved=2ahUKEwibma_tkoWEAxWhVKQEHXARctMQFnoECCoQAQ&url=https%3A%2F%2Fwww.icc-cpi.int%2Fsites%2Fdefault%2Ffiles%2FitemsDocuments%2FICC-Registry-CR.pdf&usg=AOvVaw1Hax8DuWuAVweNG9_GTGEw&opi=89978449. (Accessed 30 January 2024).

- International Labour Organisation. 2015. *Basic principles of monitoring and evaluation*. International Labour Organisation. https://www.ilo.org/wcmsp5/groups/public/---ed_emp/documents/publication/wcms_546505.pdf (Accessed 24 September 2021).
- International Organisation for Standardisation (ISO) 15489-1. 2016. *Information and documentation-records management. Part 1: Concepts and principles*. Geneva: ISO. <https://static1.squarespace.com/static/5a1c710fbce17620f861bf47/t/5a45d41353450a6f05e9b138/1514525716795/ISO+15489-1-2016.pdf> (Accessed 3 April 2025).
- Istilah, Hasanah, N & Maslahah, K. 2023. Assessing record management practices: A study of compliance and diversity in PTKIN. *Khazanah al-Hikmah : Jurnal Ilmu Perpustakaan, Informasi, & Kearsipan* 11(2):264-275. <https://doi.org/10.24252/kah.v11i2a11>.
- Janah, N & Mayesti, N. 2020. Maturity model matrix of information governance in the Republic of Indonesia Public Television Broadcasting Institution. *Australasian Accounting Business and Finance Journal (AABFJ)* 14(1):97-104. <https://doi.org/10.14453/aabfj.v14i1.10>.
- Kamatula, G. 2018. *A framework for e-records in support of e-government implementation in the Tanzania public service*. Thesis, University of South Africa (UNISA), Pretoria.
- Kamau, VW, Munga, J & Baimwera, B. 2017. Challenges facing implementation of strategic plans in the public sector: a survey of ministry of land, housing and urban development. *International Journal of Business Management & Finance* 1(10):154-171.
- Kashaija, LS & Ndumbaro, F. 2020. Factors limiting legal compliance in managing public records: a case of Business Registration and Licensing Agency (BRELA), Tanzania. *University of Dar es Salaam Library Journal* 15(1):87-100.
- Keakopa, SM. 2013. Implementation of a records management strategy at the Botswana Unified Revenue Service. *Journal of the South African Society of Archivists* 46:37-46.
- Khun, JL. 2024. Building Culture for Sustaining Information Governance, in *Creating and Sustaining an Information Governance Program*, edited by K. Helge and C. Rookey. IGI Global Scientific Publishing:36-54. <https://doi.org/10.4018/979-8-3693-0472-3>.

- Khuzaiyah, S, Mumin, K, McKenna, L & Hashim, SH. 2023. The importance of reflexivity in data collection methods for qualitative midwifery research. *British Journal of Midwifery* 31(00):2-5. <http://dx.doi.org/10.12968/bjom.2023.31.12.701>.
- Kimutai, KS. 2017. *Change management strategies and organisational effectiveness in public universities in Kenya: a case of the University of Eldoret*. MBA dissertation, Kenyatta University, Nairobi.
- Kulinich, T, Materynska, O, Aleskerova, Y, Kuzmenko, H & Balian, I. 2023. Leadership in unstable conditions: change management strategies and effective crisis management for achieving success. *WSEAS Transactions on Business and Economics* 20: 2781-2788. <http://dx.doi.org/10.37394/23207.2023.20.236>.
- Kumar, V. 2024. Presenting the Results. In: *International Marketing Research*. s.l.:Palgrave Macmillan, Cham. https://doi.org/10.1007/978-3-031-54650-1_16. 425-430.
- Kutsyuruba, B. 2023. Document analysis, in *Varieties of Qualitative Research Methods: Selected Contextual Perspectives*, edited by JM Okoko, S Tunison and KD Walker: 139-146. https://doi.org/10.1007/978-3-031-04394-9_23. Cham: Springer.
- Landi, D. 2023. Thinking qualitatively: paradigms and design in qualitative research. Society of Health and Physical Educators. https://www.researchgate.net/profile/Dillon-Landi-2/publication/362701815_Thinking_Qualitatively_Paradigms_and_Design_in_Qualitative_Research/links/6384eb6d554def61937e8df3/Thinking-Qualitatively-Paradigms-and-Design-in-Qualitative-Research.pdf?origin=publicationSearch&_rtd=e30%3D&_tp=eyJjb250ZXh0Ijp7ImZpcnN0UGFnZSI6InB1YmxpY2F0aW9uliwicGFnZSI6InNlYXJjaCIsInBvc2l0aW9uIjoicGFnZUhYWRlciJ9fQ (Accessed 4 February 2024).
- Lanoue, S. 2025. *The importance of setting clear project objectives*. <https://www.thebricks.com/resources/the-importance-of-setting-clear-project-objectives> (Accessed 25 February 2025).
- Leavy, P. 2017. *Research design: quantitative, qualitative, mixed methods, arts-based, and community-based participatory research approaches*. New York: The Guilford Press.
- Leckie, G. 2008. Researchers roles. In L. G. (ed.), *The SAGE Encyclopedia of Qualitative Research Methods* 771-777. Thousand Oaks: SAGE Publications, Inc.

- Leleh, R. 2024. *A review of carrot and stick approach to leadership*.
<https://ligsuniversity.com/a-review-of-carrot-and-stick-approach-to-leadership/>
 (Accessed 3 March 2025).
- Leso, BH, Cortimiglia, MN & Ghezzi, A. 2023. The contribution of organizational culture, structure, and leadership factors in the digital transformation of SMEs: a mixed-methods approach. *Cognition, Technology & Work* 25:151-179.
<https://doi.org/10.1007/s10111-022-00714-2>.
- Li, X, Liu, C, Weng, X & Zhou, L-A. 2019. Target setting in tournaments: theory and evidence from China. *The Economic Journal* 129(623):2888-2915. <https://doi.org.oasis.unisa.ac.za/10.1093/ej/uez018>.
- Linje, AP. 2022. *Rethinking the role of councillors in a digital era governance: a critical analysis of Shinyanga Municipality and Nzega District Council in Tanzania*. D Ed thesis, University of Fort Hare, Eastern Cape.
- Lyaruu, T. 2021. *Integrating records management into the extractive industries transparency initiative in Tanzania*. D Ed thesis, University of South Africa, Pretoria.
- Makgahlela, L & Nsibirwa, Z. 2021. Assessing records management in municipalities with adverse audit opinions in Limpopo Province, South Africa. *Journal of the South African Society of Archivists* 54:24-43.
<https://dx.doi.org/10.4314/jsasa.v54i1.3>.
- Manase, J, Mwantimwa, K & Ndimbwa, T. 2025. Use of records management systems in Tanzania public sector organisations. *Records Management Journal* 35(1):35-58. <http://dx.doi.org/10.1108/RMJ-12-2021-0041>.
- Manyeke, M & Joshua, A. 2023. Records management audit using the ARMA Information Governance Maturity Model: a case of the Department of Teacher Training and Technical Education (DTT&TE), Botswana. *Mousaion South African Journal of Information Studies* 41(4):1-19. <https://doi.org/10.25159/2663-659X/14035>.
- Martino. 2024. Integrating disaster risk management and archival frameworks for safeguarding citizens' vital records. *Khizanah al-Hikmah: Jurnal Ilmu Perpustakaan, Informasi, & Kearsipan* 12(2):290-303.
<https://doi.org/10.24252/kah.v12i2a6>.
- Matangira, V. 2016. *Records and archives management in post-colonial Zimbabwe's public service*. Unpublished PhD thesis, University of Namibia, Windhoek.

- Matlala, ME & Ncube, TR. 2025. Electronic records management amidst the seismic shift in the dynamic infosphere. *Records Management Journal* 35(1):59-74. <http://dx.doi.org/10.1108/RMJ-04-2023-0022>.
- Matto, MC & Athumani, HI. 2018. Investigating non-compliance with procurement documentation and records keeping in Tanzania public procurement. *International Journal of Economics, Commerce and Management* VI(9):352-365. https://www.researchgate.net/publication/352560315_Investigating_non-compliance_with_procurement_documentation_and_records_keeping_in_Tanzania_public_procurement (Accessed 23 September 2021).
- Mayan, MJ. 2023. *Essentials of qualitative inquiry*. 2nd ed. Routledge. <https://doi.org/10.4324/b23331>.
- Memon, MA, Thurasamy, R, Ting, H & Cheah, J-H. 2025. Purposive sampling: a review and guidelines for quantitative research. *Journal of Applied Structural Equation Modeling* 9(1):01-23. [https://doi.org/10.47263/jasem.9\(1\)01](https://doi.org/10.47263/jasem.9(1)01).
- Millar, LA. 2017. What are archives? in *Archives: Principles and Practices*. Facet: 3-22.
- Mintah, C, Gabir, M, Aloo, F & Ofori, EK. 2022. Do business records management affect business growth? *PLoS ONE* 17(3). <https://doi.org/10.1371/journal.pone.0264135>.
- Mirza, H, Bellalem, F & Mirza, C. 2023. Ethical considerations in qualitative research: summary guidelines for novice social science researchers. *Social Studies and Research Journal* 11(1):441-449. https://www.researchgate.net/publication/370838199_Ethical_Considerations_in_Qualitative_Research_Summary_Guidelines_for_Novice_Social_Science_Researchers?_tp=eyJjb250ZXh0Ijp7ImZpcnN0UGFnZSI6ImhvbWUiLCJwYWdlIjoic2VhcmNoliwicG9zaXRpb24iOiJwYWdlISGVhZGVyIn19 (Accessed 10 February 2024).
- Miteu, GD. 2024. Ethics in scientific research: a lens into its importance, history, and future. *Annals of Medicine & Surgery* 86(5):2395-2398. <http://dx.doi.org/10.1097/MS9.0000000000001959>.
- Mkansi, M & Mkalipi, N. 2023. Natural language processing and machine learning approach to teaching and learning research philosophies and paradigms. *The Electronic Journal of Business Research Methods* 21(1):00-00. <http://dx.doi.org/10.34190/ejbrm.21.1.2627>.

- Mnjama, N & Wamukoya, J. 2007. E-government and records management: an assessment tool for e-records readiness in government. *The Electronic Library* 25(3):274-284. <https://doi.org/10.1108/02640470710754797>.
- Mogha, H, Dulle, F & Bernard, R. 2025. Influence of land records management practices on service delivery in district councils, Tanzania. *Regional Journal of Information and Knowledge Management* 10(1):19-34. <https://doi.org/10.70759/zep2rn81>.
- Mohajan, HK. 2018. Qualitative research methodology in social sciences and related subjects. *Journal of Economic Development, Environment and People* 7(01):23-48. <http://dx.doi.org/10.26458/jedep.v7i1.571>.
- Mohamed, FE & Bunawan, AA. 2022. Effective records management program in organisation. *International Journal of Academic Research in Business and Social Sciences* 12(4):982-996. <http://dx.doi.org/10.6007/IJARBSS/v12-i4/12998>.
- Mohiuddin, M, Reza, MN, Jayashree, S, Al-Azad, MS & Ed-dafali, S. 2023. The role of governments in driving industry 4.0 adoption in emerging countries: mediating effect of organisational structure. *Journal of Global Information Management* 31(1):1-31. <http://dx.doi.org/10.4018/JGIM.323439>.
- Mphunda, J & Mnjama, N. 2022. Application of ARMA information governance maturity model for assessment of records management programme at Chancellor College, University of Malawi. *Journal of the South African Society of Archivists* 55:88-109. <https://dx.doi.org/10.4314/jsasa.v55i1.7>.
- Msosa, WH, Chawinga, WD & Chipeta, G. 2023. Analysis of a records management systems at the Northern Region Water Board in Malawi. *New Review of Information Networking* 28(1-2):3-25. <https://doi.org/10.1080/13614576.2023.2175709>.
- Mugenda, AG. 2008. *Social science research: theory and principles*. Nairobi: Applied Research & Training Services.
- Mulauzi, F, Hamooya, C & Munsanje, VM. 2015. Records management practices in the Zambian pension industry. *Journal of The Eastern and Southern Africa Regional Branch of the International Council on Archives (ESARBICA)* 33:16-26. https://www.researchgate.net/publication/334397748_RECORDS_MANAGEMENT_PRACTICES_IN_THE_ZAMBIAN_PENSION_INDUSTRY?_sg=wR7JNcWQpA8tGKUc3ZkPk2XFI2zbpbxjnbV-U89SLZPrU4a-71LAmikJUmeSQJFOQPwwtZHLkcKWs (Accessed 23 September 2021).

- Musa, A, Abdullahi, SL, Muhammad, S & Tarasa, AS. 2025. Imperative of systematic literature review in academic research: a paradigm shift. *Transformative Pedagogies* 1(6):23-29. <https://doi.org/10.64229/qshg4j02>.
- Musembe, CN. 2016. Strategies for improvement of records management in enhancing quality of services in institutions of higher learning: a focus on Moi University, Kenya. *Information and Knowledge Management* 6(8):18-26.
- Mutsagondo, S & Khumalo, NB. 2024. An assessment of senior management support for the records and information management function in Zimbabwe's central government. *Collection and Curation* 43(3):86-93. <https://doi.org/10.1108/CC-06-2023-0021>.
- Nandeesh, L & Keshava. 2025. Navigating the digital shift: an analysis of record management practices at JSSAHER Library, Mysore. *Journal of Advances in Library and Information Science* 14(4):340-345. <https://doi.org/10.5281/zenodo.17490533>.
- National Archives and Records Administration. n.d. *Records and information management self-evaluation guide*. The National Archives and Records Administration (NARA). <https://www.archives.gov/files/records-mgmt/publications/records-and-information-management-self-evaluation-guide.pdf> (Accessed 20 September 2021).
- Ndenje-Sichalwe, E, Ngulube, P & Stilwell, C. 2011. Managing records as a strategic resource in the government ministries of Tanzania. *Information Development* 27(4):264–279. <http://dx.doi.org/10.1177/0266666911417026>.
- Netshakhuma, NS. 2022. The functions of the National Archives of South Africa regarding universities' records and archives. *Global Knowledge, Memory and Communication* 71(4/5):398-412. <http://dx.doi.org/10.1108/GKMC-10-2020-0153>.
- Neupane, U & Jaisi, BP. 2025. An assessment of record keeping practices at construction sites: Nepalese perspectives. *Records Management Journal* 35(3):277-295. <https://doi.org/10.1108/RMJ-06-2024-0014>.
- Newman, PA, Guta, A & Black, T. 2021. Ethical considerations for qualitative research methods during the COVID-19 pandemic and other emergency situations: navigating the virtual field. *International Journal of Qualitative Methods* 20:1-12. <https://doi.org/10.1177/16094069211047823>.
- Ngoepe, M. 2016. Records management models in the public sector in South Africa: Is there a flicker of light at the end of the dark tunnel? *Information Development* 32(3):338–353. <http://dx.doi.org/10.1177/0266666914550492>.

- Ngoepe, M & Van der Walt, T. 2010. A framework for a records management programme: lessons from the Department of Cooperative Governance and Traditional Affairs in South Africa. *Mousaion* 28(2):83–106.
https://www.researchgate.net/publication/274954074_A_framework_for_a_records_management_programme_lessons_from_the_Department_of_Cooperative_Governance_and_Traditional_Affairs_in_South_Africa (Accessed 23 September 2021).
- Ngulube, P. 2015. Qualitative data analysis and interpretation: systematic search for meaning. <http://dx.doi.org/10.13140/RG.2.1.1375.7608>.
- Novian, RM & Isa, AM. 2022. Maturity analysis of the information governance model matrix in the correspondence and archives department of the Batam Indonesia Free-Zone Authority. *Library Philosophy and Practice (e-journal)*.
- Nwachuku, A, Okereka, OP & Mukoro, A. 2023. Models and approaches to change and change management in modern organisations. *J-MIND (Jurnal Manajemen Indonesia)* 8(2):109-120. <https://doi.org/10.29103/j-mind.v8i1.14435>.
- Odenyo, J & Kerongo, F. 2014. The challenges of dealing with strategic change management at Taifa Cables and Retreads Limited. *International Journal of Business and Commerce* 4(02):1-13.
- Okhawere, NE & Isibor, OF. 2021. Why is qualitative research sparse in Africa? Understanding interviews as a data collection method . *Mkwawa Journal of Education and Development* 5(1):1-20. <https://doi.org/10.37759/mjed.2021.5.1.1>.
- Orabah, SS & Bijani, H. 2023. A guide to novice researchers for educational research paradigms and methodologies, in A Pandey, A Jain and P Jain, *Educational Developments* 4:13-33. Bhopal: Innovare Academic Sciences Pvt Ltd.
- Orji, IJ. 2019. Examining barriers to organizational change for sustainability and drivers of sustainable performance in the metal manufacturing industry. *Resources, Conservation and Recycling* 140:102-114.
<https://doi.org/10.1016/j.resconrec.2018.08.005>.
- Ozuruonyeoke, AC, Oluropo, AO & Jennifer, OC. 2025. The impact of poor records management practices on service delivery and accountability in Local Government Councils (LGCs) in Oyo State, Nigeria. *Journal of Public Administration and Social Welfare Research* 10(6):103-119.
- Pandey, P & Pandey, MM. 2015. *Research methodology: tools and techniques*. Buzau: Bridge Center.

- Panya, KO & Nyarwath, O. 2022. Demystifying philosophies and paradigms underpinning scientific research. *The Strategic Journal of Business & Change Management* 9(4):1367-1382. <http://dx.doi.org/10.61426/sjbcm.v9i4.2498>.
- Pareek, P, Waingankar, P & Tawade, A. 2023. Knowledge and perception of accredited social health activists about breastfeeding and complementary feeding practices: a qualitative study using focus group discussion. *Bharati Vidyapeeth Medical Journal* 3(3):13-17. http://dx.doi.org/10.56136/BVMJ/2023_00288.
- Patel, N. 2020. Qualitative research methodology and its scope in health services research. *Journal of Neurological Research and Therapy* 3(2):18-21. <https://doi.org/10.14302/issn.2470-5020.jnrt-20-3231>.
- Pathak, KP & Thapaliya, S. 2022. Some philosophical paradigms and their implications in health research: a critical analysis. *International Research Journal of MMC (IRJMMC)* 3(3):9-17. <http://dx.doi.org/10.3126/irjmmc.v3i3.48627>.
- Phillips, EM & Pugh, DS. 2005. *How to get a PhD: a handbook for student and supervisors*. 4th ed. New York: Open University Press.
- Potter, J, Welsh, K & Milne, L. 2023. Evaluating an institutional response to generative artificial intelligence (GenAI): Applying Kotter's change model and sharing lessons learned for educational development. *Journal of Perspectives in Applied Academic Practice* 11(3):139-152. <http://dx.doi.org/10.56433/jpaap.v11i3.582>.
- Proença, D, Vieira, R & Borbinha, J. 2016. A maturity model for information governance, in *Research and advanced technology for digital libraries*. Springer International Publishing. http://dx.doi.org/10.1007/978-3-319-43997-6_2.
- Pun, M. 2021. Plagiarism in scientific writing: why it is important to know and avoid. *Journal of Political Science* 21:109-118. <https://doi.org/10.3126/jps.v21i0.35269>.
- Quintero, DT. 2023. Contribution of change management principles to human resource management in educational organisations. *Ciencia Latina Revista Científica Multidisciplinar* 7(6):1754-1776. Ciencia Latina International. https://doi.org/10.37811/cl_rcm.v7i6.8807.
- Rabetino, R, Kohtamäki, M & Federico, JS. 2021. A (re)view of the philosophical foundations of strategic management. *International Journal of Management Reviews* 23:151-190. <http://dx.doi.org/10.1111/ijmr.12244>.
- Rabie, B & Cloete, F. 2009. A new typology of monitoring and evaluation approaches. *Administratio Publica* 17(3):76-97. <https://hdl.handle.net/10520/ejc-adminpub-v17-n3-a5>.

- Rad, D & Rad, G. 2021. Theories of change in Agile Psychology. *Technium Social Sciences Journal* 21: 570-581. <http://dx.doi.org/10.47577/tssj.v21i1.3773>.
- Rehman, AA & Alharthi, K. 2016. An introduction to research paradigms. *International Journal of Educational Investigations* 3(8):51-59. <https://www.researchgate.net/publication/325022648> An introduction to research paradigms (Accessed 3 October 2022).
- Republic of South Africa, 1996. *The National Archives of South Africa Act No. 43 of 1996*. [Online] Available at: https://www.gov.za/sites/default/files/gcis_document/201409/act43of1996.pdf (Accessed 24 February 2025).
- Rutta, M & Ndenje-Sichalwe, E. 2021. The state of records management practices in public offices: a case of Kinondoni Municipal Council in Dar es Salaam, Tanzania. *University of Dar es Salaam Library Journal* 16(2):223-238. <http://dx.doi.org/10.4314/udslj.v16i2.15>.
- SAA dictionary of archives terminology. 2022. Sv 'records management program'. <https://dictionary.archivists.org/entry/records-management-program.html> (Accessed 26 December 2022).
- Saffady, W. 2021. *Records and information management: fundamentals of professional practice*. 4th ed. Bloomsbury Publishing PLC.
- Sahlan, M. 2025. Integrating self-assessment, peer assessment, and tutor feedback with structured debriefing to enhance pre-service teachers' teaching competence: empirical evidence from Indonesia, *Qualitative Research Journal* Vol. ahead-of-print No. ahead-of-print. <https://doi.org/10.1108/QRJ-05-2025-0184>.
- Saunders, M, Lewis, P & Thornhill, A. 2019. *Research methodology for business students*. 8th ed. Essex: Pearson Education Limited.
- Shin, H & Kim, S. 2022. Overcoming women's isolation at work: The effect of organisational structure and practices on female managers' workplace relationships. *International Sociology* 37(3):330-354. <https://doi.org/10.1177/02685809211051282>.
- Shonhe, L & Grand, B. 2018. A service delivery improvement strategy for a records management programme. *Journal of the Eastern and Southern Africa Regional Branch of the International Council on Archives* 37:195-220. <https://www.researchgate.net/publication/329058436> A SERVICE DELIVERY I

IMPROVEMENT STRATEGY FOR A RECORDS MANAGEMENT PROGRAM
MME (Accessed 23 September 2021).

- Siddiqi, Z, Mirani, MA, Nasim, S & Raza, M. 2022. Challenges of change management in organisations: systematic narrative review. *Market Forces* 17(1):185-202. <https://doi.org/10.51153/mf.v7i1.544>.
- Simwaka, K & Malanga, DF. 2023. A hermeneutic review of records management practices in Malawi: a developing country context. *Records Management Journal* 33(2/3):120-135. <http://dx.doi.org/10.1108/RMJ-02-2023-0010>.
- Siriwardhana, HA, Kurukulaarachchi, VK & Wesley, JP. 2021. Philosophical assumptions on causes behind the spread of COVID 19 Virus. *Journal of Institute of Human Resource Advancement* 8(1):27-40. https://www.researchgate.net/profile/John-Wesley-11/publication/357380052_Philosophical_assumptions_on_causes_behind_the_spread_of_COVID_19_Virus/links/632c8920873eca0c00a90871/Philosophical-assumptions-on-causes-behind-the-spread-of-COVID-19-Virus (Accessed 3 February 2024).
- Sittrop, D & Crosthwaite, C. 2021. Minimising risk - the application of Kotter's change management model on customer relationship management systems: a case study. *Journal of Risk and Financial Management* 14(496):1-22. <http://dx.doi.org/10.3390/jrfm14100496>.
- Steffi, R, Shynu, T, Rajest, SS & Regin, R. 2023. Performance of employees in relation to the effects of change management practices. *Central Asian Journal of Innovations on Tourism Management and Finance* 4(12):1-23. https://www.researchgate.net/publication/376140225_Performance_of_Employees_in_Relation_to_The_Effects_of_Change_Management_Practices?_tp=eyJjb250ZXh0Ijp7ImZpcnN0UGFnZSI6InNlYXJjaCIsInBhZ2UiOiJzZWFiY2giLCJwb3NpdGlvbil6InBhZ2VIZWFiZXIifX0 (Accessed 24 January 2024).
- Stratton, SJ. 2023. Population sampling: probability and non-probability techniques. *Prehospital and Disaster Medicine* 38(2):147-148. <https://doi.org/10.1017/S1049023X23000304>.
- Sukmawati, Sudarmin & Salmia. 2023. Development of quality instruments and data collection techniques. *Jurnal Pendidikan dan Pengajaran Guru Sekolah Dasar (JPPGuseda)* 6(1):119-124. <http://dx.doi.org/10.55215/jppguseda.v6i1.7527>.

- Taiwo, BI. 2019. Electronic records management implementation: Factors affecting organizational readiness. *Information and Knowledge Management* 9(6):22-28. DOI: 10.7176/IKM/9-6-04.
- Tengan, C, Aigbavboa, C & Thwala, WD. 2021. *Construction project monitoring and evaluation: an integrated approach*. London: Routledge.
- Thaanyane, TA, Lefika, PT & Khumalo, S. 2025. Evaluating the National University of Lesotho's records management practices with the ISO 15489. *South African Journal of Information Management* 27(1):1-9. <https://doi.org/10.4102/sajim.v27i1.1955>.
- Tharsika, K & Pratheepkanth, P. 2022. A review of methodological choice: Research paradigm underpins. *3rd Research Conference on Business Studies (RCBS) – 2020*:298-304. https://www.researchgate.net/publication/361119109_A_review_of_methodological_choice_Research_paradigm_underpins?_tp=eyJjb250ZXh0Ijp7ImZpcnN0UGFnZSI6InB1YmxpY2F0aW9uliwicGFnZSI6InNIYXJjaCIsInBvc2l0aW9uljoicGFnZUhYWRlciJ9fQ (Accessed 4 February 2024).
- The Ohio State University. 2025. 6 Elements of an effective records management program. <https://library.osu.edu/osu-records-management/program-elements> (Accessed 25 November 2025).
- Tümen-Akyıldız, S & Ahmed, KH. 2021. An overview of qualitative research and focus group discussion. *International Journal of Academic Research in Education* 7(1):1-15. <http://dx.doi.org/10.17985/ijare.866762>.
- United Nations Development Group. 2017. *UNDAF companion guidance: monitoring and evaluation*. United Nations Development Group. <https://unsdg.un.org/resources/monitoring-and-evaluation-undaf-companion-guidance> (Accessed 30 December 2022).
- United Nations Development Programme. 2002. *Handbook on monitoring and evaluating for results*. New York: Evaluation Office.
- United Republic of Tanzania. 2002. *The Records and Archives Management Act, 2002*. Dar es Salaam: Government Printer.
- United Republic of Tanzania. 2007. *Registry Procedures Manual*. Dar es Salaam: Government Printer.
- United Republic of Tanzania. 2011. *The National Records and Archives Management Policy*. Dar es Salaam: Government Printer.

- University of Wisconsin. 2022. Fundamental activities of records management. <https://www.wisconsin.edu/compliance/landing-page/general-schedules-and-records-management-services/fundamental-activities-of-records-management/> (Accessed 7 October 2022).
- Wajdi, M, Sumartana, IM & Hudiananingsih, NP. 2018. Avoiding plagiarism in writing a research paper. *Soshum: Jurnal Sosial dan Humaniora* 8(1):94-102. <http://dx.doi.org/10.31940/soshum.v8i1.769>.
- Waziri, BZ. 2023. Adopting a research methodology in management sciences: an appropriate guide for postgraduate researchers. *1st International Conference Faculty of Management Sciences*, University of Maiduguri, Borno State-Nigeria, 1-15. https://www.researchgate.net/publication/369830304_Adopting_A_Research_Methodology_in_Management_Sciences_An_Appropriate_Guide_for_Postgraduate_Researchers?_tp=eyJjb250ZXh0Ijp7ImZpcnN0UGFnZSI6ImxvZ2luIiwicGFnZSI6InNIYXJjaCIsInBvc2l0aW9uIjoicGFnZUhlYWRIciJ9fQ (Accessed 7 February 2024).
- White, H & Raitzer, DA. 2017. *Impact evaluation of development interventions: a practical guide*. Manila: Asian Development Bank. <http://dx.doi.org/10.22617/TCS179188-2>.
- World Bank Group. 2020a. *Records management roadmap, part 3: records management principles and practices*. The World Bank Web site. <https://www.google.com/url?sa=t&rct=j&q=&esrc=s&source=web&cd=&cad=rja&uact=8&ved=2ahUKEwjH3c2Ln4WEAxVBU6QEHTeXDqYQFnoECCgQAQ&url=https%3A%2F%2Fpubdocs.worldbank.org%2Fen%2F694361594065756366%2FWBG-RM-Roadmap-005-Part-3-RM-Overview-FINAL-PDF.pdf&usg=AOvVaw2WJEfEScKoEems66YqrfZa&opi=89978449>. (Accessed 30 January 2024)
- World Bank Group. 2020b. *Records Management Roadmap Part 4: Records Management Assessment*. The World Bank Web site. <https://thedocs.worldbank.org/en/doc/473561594065771119-0240022020/original/WBGRMRoadmap006Part4AssessmentToolFINALPDF.pdf> (Accessed 23 September 2021).
- Yandarbaeva, LA, Kostoeva, AA & Gayrbekova, RS. 2022. Features and methodology of change management in projects. *The European Proceedings of Social and Behavioral Sciences* 1262-1268. <https://doi.org/10.15405/epsbs.2022.12.161>: European Publisher.

- Yayeh, FA. 2021. Focus group discussion as a data collection tool in economics. *Daagu International Journal of Basic & Applied Research - DIJBAR*, 3(1):52-61.
https://www.researchgate.net/publication/352817078_Focus_Group_Discussion_as_a_data_collection_tool_in_Economics?_tp=eyJjb250ZXh0Ijp7ImZpcnN0UGFnZSI6InNIYXJjaCIsInBhZ2UiOiJzZWFiY2giLCJwb3NpdGlvbil6InBhZ2VIZWFKZXl1fX0 (Accessed 13 February 2024).
- Yegidis, BL, Weinbach, RW & Myers, LL. 2018. *Research methods for social workers*. 8th ed. New York: Pearson.
- Yidana, P & Akuna, E. 2025. Academic records management practices in Africa higher education institutions: empirical review. *British Journal of Contemporary Education* 5(1):93-113. <https://doi.org/10.52589/BJCE-JRYJWENT>.
- Yin, RK. 2018. *Case study research and applications: design and methods*. 6th ed. Los Angeles: SAGE Publications.
- Young, R & Poon, S. 2012. Top management support – almost always necessary and sometimes sufficient for success: Findings from a fuzzy set analysis. *International Journal of Project Management* 31(7):943-957.
<https://doi.org/10.1016/j.ijproman.2012.11.013>.
- Zhu, J, Rahmanita, M, Asmaniaty, F, Oesman, IE & Rachman, AF. 2022. Reflexivity on qualitative tourism research methodology. *Current Issues in Tourism, Gastronomy, and Tourist Destination Research* 69-76.
<https://doi.org/10.1201/9781003248002-10>.
- Zneit, F & Hejase, HJ. 2025. Records and archival management system: case of a Lebanese Private University. *Journal of Business Theory and Practice* 13(1):34-66. <http://dx.doi.org/10.22158/jbtp.v13n1p34>.

ANNEXES

Annexe I: Interview Guide

Objective 1: Effects of the inputs (availability of resources and records management frameworks) in enhancing sustainable implementation of records management programmes	
1.	How does the availability or unavailability of inputs (resources such as budgets and staff, top management support, records management frameworks) affect sustainable implementation of records management activities?
2.	How frequently are the existing laws, policies and guidelines reviewed to make them up to date?
3.	What mechanisms can be appropriate to adopt in ensuring the availability of resources (money, material, human resources, top management support, and legal frameworks) for sustainable implementation of records management programmes?
Objective 2: Effects of monitoring of the activities performed to transform inputs into outputs towards realising sustainable implementation of the records management programmes	
4.	How does the structure of registries affect sustainable implementation of the records management programmes?
5.	What strategies does the organisation use to conduct continuous assessment of the implementation of records management activities by focusing on the inputs and outputs in relation to agreed schedules?
6.	How does the organisation set the targets (anticipated level of performance) for measuring the KPIs of each activity by particular dates?
7.	How does the top management take actions to ensure that the KPIs are realised?
Objective 3: Evaluation tactics employed by public organisations in realising the expected outputs and outcomes of the records management programmes	
8.	How do decision-makers and programme administrators allocate their time and resources to determine whether the records management programme is producing the desired results?
9.	How does PO-PSM/RAMD ensure that public offices are responsible for fostering an environment that places an emphasis on records and archives management?
WAYFORWARD	
10.	What should be done by public organisations and the government to ensure that records management programmes are implemented effectively?
11.	What should be done by records staff and other stakeholders in ensuring effective implementation of records and archives management programmes?

Annexe II: Focus Group Discussion Guide

SESSION ONE – 30 Minutes	
Objective 1: Effects of the inputs (availability of resources and records management frameworks) in enhancing sustainable implementation of records management programmes	
1.	How does the availability or unavailability of inputs (resources such as budgets and staff, top management support, records management frameworks) affect sustainable implementation of records management activities?
2.	What mechanisms can be appropriate to adopt in ensuring the availability of resources (money, material, human resources, top management support, and legal frameworks) for sustainable implementation of records management programmes?
Break – 5 Minutes	
SESSION TWO – 30 Minutes	
Objective 2: Effects of monitoring of the activities performed to transform inputs into outputs towards realising sustainable implementation of the records management programmes	
3.	What strategies does the organisation use to conduct continuous assessment of the implementation of records management activities by focusing on the inputs and outputs in relation to agreed schedules?
4.	How does the top management take actions to ensure that the Key Performance Indicators (KPIs) are realised?
5.	How does the structure of registries affect sustainable implementation of the records management programmes?
Break – 5 Minutes	
SESSION THREE – 30 Minutes	
Objective 3: Evaluation tactics employed by public organisations in realising the expected outputs and outcomes of the records management programmes	
6.	How do decision-makers and programme administrators allocate their time and resources to determine whether the records management programme is producing the desired results?
WAYFORWARD	
7.	What should be done by public organisations and the government to ensure that records management programmes are implemented effectively?
8.	What should be done by records staff and other stakeholders in ensuring effective implementation of records and archives management programmes?
END OF DISCUSSIONS	

Annexe III: Ethical Clearance



College of Human Sciences_CREC

Date: 06/06/2024

Dear: Mr Hamisi Kiyabo

Decision: Ethics Approval from 06 June 2024 to 05 June 2025

NHREC Registration # : (Rec-240816-052)
Ref #: 2937
Name: Mr Hamisi Kiyabo
Student #: 17367107

Researcher: Mr Hamisi Kiyabo

P.O Box 2, Mzumbi

Morogoro

17367107@mylife.unisa.ac.za +255 654 449 950

Supervisor: Professor Isabel Schellnack-Kelly schelis@unisa.ac.za

Developing Strategies for Enhancing Changes in the Implementation of Records and Archives Management Programmes in Tanzania

Qualification: PhD in Information Science

Thank you for the application for research ethics clearance by the College of Human Sciences_CREC for the above-mentioned research study. Ethics approval is granted for one year.

The **low-risk application** was **reviewed** by the College of Human Sciences_CREC on **06 June 2024** in compliance with the Unisa Policy on Research Ethics and the Standard Operating Procedure on Research Ethics Risk Assessment.

The proposed research may now commence with the provisions that:

1. The researcher(s) will ensure that the research project adheres to the values and principles expressed in the UNISA Policy on Research Ethics.
2. Any adverse circumstance arising in the undertaking of the research project that is relevant to the ethicality of the study should be communicated in writing to the College of Human Sciences_CREC.
3. The researcher(s) will conduct the study according to the methods and procedures set out in the approved application.
4. Any changes that can affect the study-related risks for the research participants, particularly in terms of assurances made with regards to the protection of participants' privacy and the confidentiality of the data, should be reported to the Committee in writing, accompanied by a progress report.

5. The researcher will ensure that the research project adheres to any applicable national legislation, professional codes of conduct, institutional guidelines and scientific standards relevant to the specific field of study. Adherence to the following South African legislation is important, if applicable: Protection of Personal Information Act, no 4 of 2013; Children's act no 38 of 2005 and the National Health Act, no 61 of 2003.
6. Only de-identified research data may be used for secondary research purposes in future on condition that the research objectives are similar to those of the original research. Secondary use of identifiable human research data requires additional ethics clearance.
7. No field work activities may continue after the expiry date (**05 June 2025**). Submission of a completed research ethics progress report will constitute an application for renewal, for Ethics Research Committee approval.

Additional Conditions

1. Disclosure of data to third parties is prohibited without explicit consent from Unisa.
2. De-identified data must be safely stored on password protected PCs.
3. Care should be taken by the researcher when publishing the results to protect the confidentiality and privacy of the university.
4. Adherence to the National Statement on Ethical Research and Publication practices, principle 7 referring to Social awareness, must be ensured: "Researchers and institutions must be sensitive to the potential impact of their research on society, marginal groups or individuals, and must consider these when weighing the benefits of the research against any harmful effects, with a view to minimising or avoiding the latter where possible." Unisa will not be liable for any failure to comply with this principle.

Note

The reference number 2937 should be clearly indicated on all forms of communication with the intended research participants, as well as with the Committee.

Kind regards,



Prof Khatija Khan
Chair of College of Human Sciences_CREC
E-mail: khankb@unisa.ac.za



Professor Omwoyo Bosire Onyancha
Executive Dean / By delegation from the Executive Dean of College of Human Sciences_CREC
E-mail: onyanob@unisa.ac.za

Annexe IV: Research Permit from COSTECH

	UNITED REPUBLIC OF TANZANIA MINISTRY OF EDUCATION, SCIENCE AND TECHNOLOGY TANZANIA COMMISSION FOR SCIENCE AND TECHNOLOGY	
		
RESEARCH PERMIT		
Permit Number:	CST00000403-2024-2024-00194	
Date issued:	07/03/2024	
Researcher Name:	Hamisi Kulwa Kiyabo	
Nationality:	UNITED REPUBLIC OF TANZANIA	
Research Title:	STRATEGIES FOR ENHANCING CHANGES IN THE IMPLEMENTATION OF RECORDS AND ARCHIVES MANAGEMENT PROGRAMMES IN TANZANIA	
Research Areas:	Dar es Salaam, Dodoma, Pwani, Singida, Tabora	
Validity:	From 07/03/2024 to 06/03/2025	
 Director Research Coordination and Promotion	 Director General	 DOI: 59F7 337F

IMPORTANT INFORMATION

1. A PI who wishes to continue with a research beyond the expiry date of the research permit should write to COSTECH two months before the operational permit's expiry date, to request for an extension or renewal of the permit.
2. Research permit that involves collecting human, plant or animal materials / data that will be exported outside Tanzania must submit a signed Material Transfer Agreement (MTA), Data Transfer Agreement (DTA) between Tanzania host institution and the foreign counterpart. The MTA/DTA will indicate terms for collecting, storing/managing, transporting, disposal or returning of the materials/DATA to Tanzania after the closure of the research.
3. Any patent or intellectual property and royalty emanating from any research approved by the National Research Registration Committee (NRCC) shall be owned as stipulated in the research proposals and in accordance with the IP policy of the respective research institutions.
4. All researchers are required to report to the Regional Administrative Secretary (RAS) of the study area and present the introduction letter and activity schedule (plan) prior starting any research activity.
5. All researchers are required to submit quarterly progress reports and all relevant publications made after completion of the research.
6. Terms and conditions of the permit are found at www.costech.or.tz
7. All communications should be addressed to COSTECH Director General through rclearance@costech.or.tz; dg@costech.or.tz or +255 (022) 2700749; +255 (022) 2771358.

Annexe V: Research Permits from Sampled Institutions



JAMHURI YA MUUNGANO WA TANZANIA
OFISI YA RAIS
TAWALA ZA MIKOA NA SERIKALI ZA MITAA



HALMASHAURI YA JIJI LA DODOMA

Unapojibu tafadhali taja:

Kumb. Na. HJD/F.10/700 01 Mei, 2024

Masijala Kuu (NO.74),
Halmashauri ya Jiji,
S.L.P 1249,
DODOMA.

YAH: KIBALI CHA KUFANYA UTAFITI

Husika na somo tajwa hapo juu.

2. Namtambulisha kwako Ndg. Hamisi Kulwa Kiyabo mwanafunzi kutoka Chuo Kikuu cha Mzumbe kuja kufanya utafiti katika Halmashauri ya Jiji la Dodoma. Utafiti huo unahusu " **STRATEGIES FOR ENHANCING CHANGES IN THE IMPLEMENTATION OF RECORDS AND ARCHIVES MANAGEMENT PROGRAMMES IN TANZANIA**" Utafiti huo utafanyika kwa muda wa miezi sita kuanzia tarehe **01 Mei, 2024** hadi tarehe **25 Novemba, 2024**.

3. Kwa barua hii, naomba apokelewe na kupatiwa ushirikiano ili aweze kufanikisha utafiti wake kama ilivyoelezwa hapo juu.

4. Ahsante.



Agness E. Shing'wenda
Kny: MKURUGENZI WA JIJI
DODOMA.

Kny: MKURUGENZI WA JIJI
HALMASHAURI YA JIJI LA DODOMA
S.L.P. 1249,
DODOMA

THE UNITED REPUBLIC OF TANZANIA
MINISTRY OF FINANCE

Telegrams: "TREASURY" DODOMA.
Telephone: +225 26 2963101
Fax No.: +255 26 2963109
E-mail: ps@hazina.go.tz
Website: www.mof.go.tz



Government City – Mtumba,
Hazina Street,
P.O. Box 2802,
DODOMA.

In reply please quote:

Ref. No: JA.207/209/01

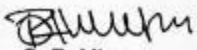
17th May, 2024

Vice Chancellor,
Mzumbe University,
Office of the Vice Chancellor,
P. O. Box 1,
DAR ES SALAAM.

Re: **REQUEST TO UNDERTAKE DATA COLLECTION**

Reference is made to your letter with Ref: No. AL.3/267/01/240 dated
2nd May, 2024, regarding the above caption.

2. We kindly inform you that, we have accepted your request to host **Hamisi Kulwa Kiyabo** who is carrying out his doctoral research and required to collect data on ***Strategies for Enhancing Changes in the Implantation of Records and Archives Management Programmes in Tanzania*** from 1st May, 2024 to 25th November, 2024.
3. Kindly inform him to report to the Director of Administration and Human Resource Management (DAHRM).


O. R. Mlugu

For: **PERMANENT SECRETARY**



JAMHURI YA MUUNGANO WA TANZANIA
OFISI YA RAIS
TAWALA ZA MIKOA NA SERIKALI ZA MITAA
HALMASHAURI YA WILAYA YA MANYONI



Unapojibu tafadhali taja:

Kumb.Na.HW/S.1/33 VOL.XIII/257

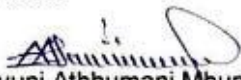
10 Mei, 2024

Mkuu wa Chuo,
Chuo cha Mzumbe,
S.L.P.1,
MZUMBE - MOROGORO

Yah: RUHUSA YA KUFANYA UTAFITI KWA MWANAFUNZI
HAMISI KULWA KIYABO

Tafadhari eja somo tajwa hapo juu.

2. Tumepokea barua yenye Kumb.Na.AL.3/267/01/247 ya tarehe 02 Mei, 2024 inayohusu maombi ya kufanya utafiti katika Halmashauri ya Wilaya ya Manyoni.
3. Kwa barua hii unajulishwa kuwa kibali cha kufanya utafiti huo katika Halmashauri ya Wilaya ya Manyoni kimetolewa kuanzia tarehe 01 Mei, 2024 hadi tarehe 25 Novemba, 2024.
4. Aidha atapaswa kujigharamia katika kipindi chote cha utafiti huo.
5. Nashukuru kwa ushirikiano wako.


Ayuni Athhumani Mbuni
Kny: MKURUGENZI MTENDAJI (W)
HALMASHAURI YA WILAYA MANYONI

Nakala:

Afisa Utumishi (W) - Mpokee na umpe ushirikiano

Jengo la Halmashauri, Mtaa wa Bomani, S.L.P 60, Manyoni, Simu +255 26 254 0210, Nukushi +255 25 254 0210,
Barua pepe: ded.manyonidc@singida.go.tz, ded@manyonidc.go.tz, Tovuti: www.manyonidc.go.tz

Scanned with AnyScanner



In reply please quote:

Ref. No. DA.196/213/01/80

20th May, 2024

Vice Chancellor,

Mzumbe University,

P.O. Box 1,

MOROGORO, TANZANIA.

RE: REQUEST FOR DATA COLLECTION

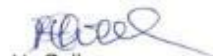
We acknowledge receipt of your letter with Ref No. AL.3/267/01/242 dated 2nd May, 2024 concerning the heading above.

2. On behalf of the Fund, I would like to inform you that the Management has approved for Mr. Hamisi Kulwa Kiyabo to collect data on **"STRATEGIES FOR ENHANCING CHANGES IN THE IMPLEMENTATION OF RECORDS AND ARCHIVES MANAGEMENT PROGRAMMES IN TANZANIA"** within the Fund from 1st May, 2024 to 25 November, 2024.

3. Upon arrival for data collection on the first day, Mr. Hamisi Kulwa Kiyabo is advised to report to Human Resources Office for necessary logistics.

Yours sincerely,

PUBLIC SERVICE SOCIAL SECURITY FUND



H. Gella

For: DIRECTOR GENERAL

CC: Mr. Hamisi Kulwa Kiyabo

THE UNITED REPUBLIC OF TANZANIA

**PRESIDENT'S OFFICE
RECORDS AND ARCHIVES MANAGEMENT DEPARTMENT**

Telephone: (+255) 26 2963135
Email: ramd@nyaraka.go.tz



6 Swaswa Road,
P.O. Box 2316,
DODOMA.

In reply please quote:
Ref. No. BA.18/203/01/87

07th April, 2024.

Vice Chancellor,
Mzumbe University,
P.O. Box 01,
MOROGORO.

RE: REQUEST FOR RESEARCH CLEARANCE

Please refer your letter with Ref. No. AL.3/267/01/248 of 2nd May, 2024 regarding subject above.

2. The Department is pleased to inform you that Mr. Hamisi Kulwa Kiyabo, has been accepted to conduct his research as requested.

Thank you for your cooperation.

A handwritten signature in blue ink, appearing to read 'Firimin M. Msiangi'.

Firimin M. Msiangi

DIRECTOR

RECORDS AND ARCHIVES MANAGEMENT DEPARTMENT



UNITED REPUBLIC OF TANZANIA
PRESIDENTS' OFFICE
AND LOCAL GOVERNMENTS AUTHORITIES
TABORA MUNICIPAL COUNCIL



In reply please quote:

Ref.No. TMC/U/23 VOL XI/140

DATE: 3th May, 2024

Vice Chancellor,
Mzumbe University,
P.O.BOX 1,
MOROGORO.

RE: **PERMIT TO CONDUCT DOCTORIAL RESEARCH FOR MR. HAMIS KULWA KİYABO**

Refer the above heading and your letter with Ref. No. AL.3/267/01/245 dated on 2nd May, 2024 in favor of the above subject.

2. Tabora Municipal Council would like to inform you that your staff named **Mr. Hamis Kulwa Kiyabo** as mentioned above has been accepted to conduct his doctorial research on **"Strategies for enhancing changes in the Implimentation of Records and Archives Management Programmes in Tanzania"**. And it will be in our Council between 1st May, 2024 to 25th November, 2024.

5. However, The Council will **not be obliged in any financial support** to His/Her programmes.

6. Yours Sincerely,

Domician P. Bushaija
**For: TABORA MUNICIPAL COUNCIL
DIRECTOR**

FOR MUNICIPAL DIRECTOR
P.O. Box 174
TABORA

Mr. Hamis Kulwa Kiyabo,
Staff of Mzumbe University - **For Identification**

Tabora Municipal Council, 4Airport Road, P.O.Box 174, 45182 Tabora, Tel No. +255262604835, Fax No. +255262604835, Email: md@taboramc.go.tz, Website: www.taboramc.go.tz