

**DEVELOPING AN E-RECORDS READINESS FRAMEWORK FOR  
LABOUR ORGANISATIONS IN BOTSWANA**

**BY**

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**submitted in accordance with the requirements for the degree of**

**DOCTOR OF LITERATURE AND PHILOSOPHY**

**in the subject**

**INFORMATION SCIENCE**

**at the**

**UNIVERSITY OF SOUTH AFRICA, PRETORIA**

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**JUNE, 2011**

## **SUMMARY**

The application of information communication technologies (ICTs) in records management in many organisations underscores the need for the assessment of e-records readiness. This provides a useful guide in benchmarking, gauging progress and comprehending e-records management. This study examined e-record readiness in labour organisations with a view to proposing a framework for labour organisations in Botswana. The study was largely guided by a quantitative paradigm and used a survey research strategy. This was complemented by methodological triangulation of both quantitative and qualitative data collection methods. All the 50 registered labour organisations in Botswana were surveyed, 45 of which responded, representing a response rate of 90%. Data was obtained through structured questionnaires, semi-structured interviews, document review and observations.

The study established that e-records readiness in labour organisations in Botswana was evident, low and evolving, evidenced by the slow adoption of ICTs; inadequate records management standards and practices; and low integration in the national e-readiness framework. The study confirmed that most labour organisations had embraced the utilisation of ICTs in their work; exhibited some form of records management function and acknowledged the existence of national policy directives and strategies on e-readiness. However, traditional ICTs mainly the fax and telephone, were more prevalently adopted and used than newer ones such as e-mail and the Internet. The use of social media technology (Web 2.0 - Facebook, YouTube, and Twitter) was yet to be explored. The management of both paper-based and electronic records was not satisfactory and fell short of best recognised records management standards and practice. The integration of labour organisations into national e-readiness initiatives as espoused in key policy proclamations within the context of the pursuance of a holistic knowledge and information society was slow and remained challenging.

In order to foster successful e-records readiness in labour organisations, several recommendations were advanced that underscored effective ICT adoption and use, implementation of best records management practices and rigorous integration of labour organisations into the information and knowledge society in Botswana. In addition, an integrated framework for examining and understanding e-records readiness in labour organisations was proposed and documented.

**KEYWORDS**

Botswana; E-readiness; E-records; E-records management; E-records readiness; E-records readiness assessment tools; Information communication technologies (ICT) uptake; Labour organisations; Records; Recordkeeping; Records management; Trade unions.

## **ACKNOWLEDGEMENTS**

This journey has been long, tiring and at many a time very, very lonely. However, on that lonely enduring path, many individuals played an important role in the completion of this work. I am highly indebted to my mentor and supervisor, Professor Patrick Ngulube for the professional and sterling guidance throughout the whole project. Prof. Pat, as I fondly call him, will remain special to me for his patience, thoroughness, and high academic distinction in the way he handled the stewardship of this work. I am very grateful to Dr. Rose Letshole for accepting to do language editing and Dr. T.V. Moumakwa for complementing the editing task. Thanks also to Mr. Kutlo Kalasi for going through the formatting.

Special mention is made to my colleagues in the Department of Library and Information Studies, University of Botswana: Prof. Stephen Mutula for the encouragement and ability to allow me to balance my work responsibilities and studies; Mr. Saul Zulu, for the professional and personal encouragement and taking over my teaching load and other academic responsibilities when I was on a brief leave of absence; Mr. Kelvin Joseph Bwalya for sharing the PhD contours and also for accepting to take my load to teach when I had to go on a brief research leave; Dr. Segomotso Keakopa, for unselfishly sharing materials and experience in records management as well as accepting to teach one of my courses when I had to go on a brief research leave. My friends in the diaspora, Dr. Kazhila Chinsebu, University of Namibia, Mr. Erasmus Nyanga, National Archives of Namibia played a significant role in encouraging me through the course of my project. I am also grateful to colleagues in the African Labour Research Network (ALRN), more particularly, Mr. Austin Muneku (SATUCC, Executive Secretary), Mrs. Hilma Shindondola-Mote (Director, Labour Institute of Namibia), Mr. Rudi Dicks (Director, NALEDI, South Africa) for entrenching me in labour research and for all their encouragement throughout the period of this study.

I want to thank Mr. Anthony Macharia, Consortium Services, Botswana and my research assistants for their diligence and patience during data collection, documentation and analysis; Ministry of Labour and Home Affairs, Botswana, for granting me permission to do research; the University of Botswana for giving me a conducive professional home to do my research and all the labour organisations and other stakeholders that agreed to answer my questionnaires and interviews. Last, but not the least, I would like to thank the University of South Africa (UNISA) for awarding me a scholarship in the final year of my study.

I am especially indebted to my wife, Mrs. Ella-Zulu Kalusopa, for standing with me through all of life's trials. Her contribution cannot be quantified. I would like to thank my mother, Mrs. Tudasi Nkonikemba Kalusopa; my father, Lazarus Kalusopa Kapata Mabinda Nsolo; my younger brother, Destiny Kalusopa and my mother-in law, Mrs. Dorin Nyondo for all their family support and prayers for my good health and strength during this journey.

## DEDICATION

To my son, Kapata Kalusopa

“The heights by great men reached and kept were not attained by sudden flight, but they while their companions slept, were toiling upward in the night”.

“The talent of success is nothing more than doing what you can do well, and doing well whatever you do without thought of fame. If it comes at all it will come because it is deserved, not because it is sought after”.

**Henry Wadsworth Longfellow** (*US poet-1807 - 1882*)

I, therefore, hope this thesis can be your inspiration to ‘climb’ greater heights, inculcate a sense of success and “learn to labour and wait!”

## DECLARATION

**Student Number: 4494-353-9**

I declare that this study, **“Developing an e-records readiness framework for labour organisations in Botswana”**, is my own work and that all the sources I have used or quoted have been indicated and acknowledged by means of complete references.

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Signature

**Trywell Kalusopa**

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Date

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## LIST OF ABBREVIATIONS AND ACRONYMS

AIIM	Association for Information and Image Management
ALRN	Africa Labour Research Network
ARMA	Association of Records Managers and Administrators
BFTU	Botswana Federation of Trade Unions
BIDPA	Botswana Institute for Development and Policy Analysis
BNARS	Botswana National Archives & Records Services
BNLS	Botswana National Library Services
COSATU	Congress of South African Trade
CSO	Central Statistical Office
CSPRO	Census and Survey Processing System
DIT	Department of Information Technology
ESARBICA	East & Southern Africa Regional Branch of the International Council on Archives
FES	Friedrich Ebert Stiftung
GCB	Government Computer Bureau
GCC	Gaborone City Council
ICA	International Council on Archives
ICFTU	International Confederation of Free Trade Unions
ICT	Information Communication Technology
IDT	Innovation Diffusion Theory
InterPARES	International Research on Permanent Authentic Records in Electronic Systems
ILO	International Labour Organisation
IRMT	International Records Management Trust
ISO	International Organisation for Standardisation
ITUC	International Confederation of Trade Union
LFS	Labour Force Survey
MMR	Mixed Methods Research
NARA	National Archives Record Administration, US
NARSA	National Archives and Records Service (South Africa)
NHS	National Health Service (UK)



PRO	Public Record Office
PROV	Public Record Office Victoria
SADC	Southern African Development Community
SITA	State Information Technology Agency (South Africa)
SME	Small Medium Enterprises
SPIRT	Strategic Partnerships with Industry-Research and Training (Australia)
STATA	Statistical Tool for Analysis
TAM	Technology Acceptance Model
TDM	Total Design Method
TNA	National Archives (UK)
UB	University of Botswana
UBC	University of British Columbia
UK	United Kingdom
UNI	Union International
UNISA	University of South Africa
US	United States of America
UTAUT	Unified Theory of Acceptance and Use of Technology
VEO	Vers Encapsulation Object (Australia)
VERS	Victorian Electronic Records Strategy (Australia)

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# CHAPTER ONE

## INTRODUCTION TO THE STUDY

### 1.1 INTRODUCTION

Records are created in any organisation to support and provide evidence of transactions. E-records are therefore an important source of information and knowledge for any organisation. They support effective transparency and accountability in decision making thereby contributing to national development (IRMT, 2003; Kemoni, 2007). Thus, globally, sound management of records, whether electronic or paper, has increasingly become a topical issue. The World Bank (2006) and the IRMT (2003) all concur that records are essential for the effective and productive functioning of private and public organisations. They assert that records document the decisions and activities of governments and other organisations, and serve as a benchmark by which future activities and decisions are measured and that without records, there can be no rule of law and no accountability (IRMT, 2003; World Bank, 2006). In addition, without good records, organisations are forced to take decisions on an adhoc basis without the benefit of an institutional memory.

During the past decade, information management and recordkeeping practices in most organisations have been revolutionised. More so, the advent of information communication technologies (ICTs) has transformed the way many organisations create, store, disseminate, and use information. The management of e-records and information has now gained significant thrust in national development all over the world (Keakopa, 2006). Increasingly, organisations world over are conducting their business functions using different ICT platforms. As a result of this, more and more records are being generated electronically. Tafor (2003) concurs that the reasons for adopting ICTs are based on the advantages associated with modern information technology in enhancing records management in organisations. However, it has been noted that many organisations adopting ICTs and implementing records information management systems seem not to take recordkeeping requirements into account (IRMT, 2003; Öberg & Borglund, 2006). As observed by Öberg and Borglund (2006:55), “a record is more than just information. It is supposed to be trustworthy, reliable and authentic: able to serve as evidence and to support accountability”.

The ISO 15489, an International Standard on Records Management, also underscores the characteristics of evidence and legal validity in the identification of records. As correctly put by the IRMT (2004:1):

...most organisations are not only grappling with ICTs that support the delivery of information services but as these architectures mature, the focus is increasingly directed to the quality and integrity of the digital information and e-records that are being created, managed and delivered as a result of electronic applications.

In that regard, it is important to underscore the fact that in the management of records, the authenticity and the reliability of the information that it includes, rather than just the environment or the format in which it was produced, is cardinal (Reed, 2005:41).

As alluded to in subsequent sections of the thesis, the massive technological evolution and associated challenges of managing electronic records in the recent years, has now entrenched the idea of the need for thorough understanding and assessing of the breadth and depth of the application of ICTs in records management in most organisations. This has, accordingly, heightened the evolution of the concept of e-records readiness. The current research work, therefore, centred on the examination of e-records readiness in labour organisations in Botswana. The scope, context and application of this concept were explored in section 1.1.5 and subsequent sections.

## **1.2 DISCUSSION OF KEY TERMS AND CONCEPTS**

This section outlines the key terms and concepts that are pertinent to this thesis. These terms and concepts form the working definitions for the current study. These include: record, recordkeeping, records management, e-document, e-records, e-records management, e-readiness, e-records readiness and e-records readiness assessment tools. It is important to note that most of these terms and concepts are highly related and in most cases have been discussed in composite manner to deepen their understanding.

### **1.2.1 Records and Records management**

Although there are varied perspectives on the definitions of records, there is some general consensus in the field of records management. Records have traditionally been used as documentary sources that have the characteristics of evidence for the applications providing

the internal and external communication of the institutions (Kunis, Runger & Schwind, 2007:191; Rosenfeld & Morville, 2002:221). Technically, the ISO 15489-1, an International Standard on Records Management, defines a record as “documentary evidence, regardless of form or medium, created, received, maintained and used by an organisation or an individual in pursuance of legal obligations or in the transaction of business” (ISO 15489, 2001-1:1). It comprises content, context and structure sufficient to provide evidence of the activity or transaction (ISO 15489-1, 2001). In that context, in the identification of a record, the authenticity and the reliability of the information that it includes, rather than the environment or the format in which it was produced, are thus determinative (Reed, 2005:41).

A review of literature also shows that the concept of records management has been defined from various perspectives. Some define it as a subdivision of information management (Makhura & Du Toit 2005:215); while others as a managerial activity within the context of records life-cycle theory (Johnson & Kallaus 1987; Penn, Pennix & Coulson 1994; IRMT 1999; NARA 2004). For the purpose of the current study, records management is a field of information management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposal of records. Records management includes processes for capturing and maintaining records as evidence of and information about business activities and transactions (IRMT, 2003; Batley, 2007:141).

### **1.2.2 Recordkeeping**

Recordkeeping is the act of documenting an activity by creating, collecting or receiving records and ensuring that they are available, understandable and usable for as long as they are needed (IRMT, 2003). Paper recordkeeping systems have traditionally been employed to file letters, minutes, reports, spreadsheets, invoices and notes (IRMT, 2003). These systems employ classified and indexed files at a subject or transaction level to consolidate and collate the documents generated or received in the course of a business activity (IRMT, 2003). Separate folders provide a business context and link the individual documents to a particular transaction and into the wider organisational recordkeeping system. In recent years, organisations have adopted records management, document management, workflow and imaging software. Regardless of the technology, however, the objective remains the same: capture records so that they can be easily retrieved at a later date, understood, and interpreted as evidence of what transpired in an agency (IRMT, 2003). Unlike just any information

systems, electronic recordkeeping support efficiency and accountability through the creation, management and retention of meaningful, accurate, reliable, accessible and durable evidence of organisational activities and decisions. Lipchak and McDonald (2003) maintain that good recordkeeping is essential for governments and public institutions at all stages of development but is particularly critical for developing countries. Lipchak and McDonald (2003) further point out that sound management of e-records, like their paper counterparts, is important in order to avoid informational gaps in public archives. Similarly, e-records need to be captured and preserved as e-archives so that they can be made accessible to the public just like paper-based archives. Flynn (2001:79) provides a useful list as to what constitutes a good recordkeeping system or regime:

- Records practitioners;
- Records users;
- Authorized policies, procedures and practices;
- Assigned responsibilities;
- Policy statements, procedure manuals and user guides;
- Records themselves;
- Specialized information and systems used to control records; and
- Software, hardware and other equipment.

### **1.2.3 Recordkeeping metadata**

The effective management of electronic records requires recordkeeping metadata. Bantin (2002:4) defines metadata as a set of data elements used to describe, represent, and manage information objects over time. In explaining the centrality of metadata in the definition of an electronic record, Bearman and Trant (1997:3) were of the view that the consensus among records management specialists and practitioners, since the 1990s, is that:

- Records are evidence of transactions (relationship of acts), means of action and information about acts;
- Records are known by their metadata-form;
- Ideal records metadata can be defined from societal understanding of recordness;
- Any record will be a better record (less risky) for having complete metadata; and
- The metadata is about content, context and structure.

The purposes of recordkeeping metadata in the management of electronic records has ably been summarised by IRMT (2008) to include:

- Identifying records;
- Authenticating records;
- Administering terms and conditions of access and disposal;
- Tracking and documenting the use(s) of records;
- Enabling access/location, retrieval and delivery for authorised users;
- Restricting unauthorised use; and
- Capturing in a fixed way the structural and contextual information needed to preserve the record's meaning.

Recordkeeping metadata is therefore background information required to make sense of a record. This is done by linking the content to its structure and context (IRMT, 2008). The IRMT further identifies categories of recordkeeping metadata as follows:

- Structural metadata that consists of information about the design of the data or records;
- Contextual metadata that identifies the provenance of a record, such as the person or system responsible for creating it; and
- Content metadata that contains the actual data that documents the transactions.

Several research projects on electronic records management, some of which have been presented and discussed in Chapter Three section 3.5, have centred on developing functional and technical requirements that guide the capture of specific metadata elements as key to electronic recordkeeping. As observed by Nengomasha (2009:67-68), most of the “listed recordkeeping metadata elements differ in the way they are organised, in the amount of description they provide on specification, and specific items they list as essential or mandatory”. However, there is agreement on the following:

- Basic categories of metadata that systems should capture and retain, for example, most metadata lists include various pieces of documentation to describe the context of creation. This contextual metadata typically includes information on the agents involved in creating, receiving, and transmitting the record; the date of receipt; and the relationship of the record to the specific business processes and to related records;

- Metadata model that includes some documentation on terms and conditions of access and use, and that the system document use history;
- Data on disposition of the record, such as disposal authorisation and date, and a disposal action history;
- Metadata describing the record content, such as information on the title of the record, date of creation, and subject; and
- Information on the structure of the record, such as documentation on how the record is encoded, how the record can be rendered, and how the content of the record is.

For the current study, the issue of recordkeeping metadata is critical in understanding the extent to which information systems in the surveyed labour organisations captured records to provide evidence. It was also meant to establish if electronic records management systems incorporate the necessary recordkeeping requirements.

#### **1.2.4 E-document and E-records**

A document is defined by the International Standard on Records Management as “recorded information which can be treated as a unit” (ISO 15489, 2001: 3.10). This includes anything on which there is “writing...marks, figures [or] symbols” (ISO 15489, 2001:3.10). An electronic document is, therefore, information recorded in a manner that requires a computer or other electronic device to display, interpret and process it. Electronic documents can include text, graphics or spreadsheets, electronic mail and documents transmitted using electronic data interchange (EDI) (IRMT, 2004). Documents generally fall into one of two sub-sets: a) documents that are also records, or b) documents that are not records. The ISO 15489, an International Standard on Records Management, underscores the characteristics of evidence and legal validity in the identification of any records. Bearman and Trant (1997:5) have thus defined e-records as:

evidence of transactions (relationships of acts), means of actions and information about acts such as electronically produced meeting minutes, e-mails...e-records comprise content, context and structure and are the recorded information, documents or data that provide evidence of policies, transactions and activities carried out in e-environments.

The general consensus is that electronic records can be stored, transmitted or processed by a computer; have content, context and structure and provide evidence of policies, transactions



and activities carried out in e-environments (Bearman & Trant, 1997; IRMT, 2004; Wamukoya & Mutula, 2005). With respect to the distinctive features of the electronic records, Duranti (2001:4) further underlines six factors. These factors include: the medium, the content, physical and intellectual form, function, archival value, legal and administrative conditions of the records.

### **1.2.5 E-records management**

Electronic records management has emerged in parallel with the evolution of ICTs. It is the application of records management principles in an electronic environment. E-records management is the planning, controlling, directing, organizing, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records using information communication technologies (ICTs) to achieve adequate and proper documentation of an organisation's policies and transactions and effective and economical management of agency operations (Dearstyne, 2002; Wamukoya & Mutula, 2005). As earlier observed, records have been used traditionally as documentary sources, which have the characteristics of evidence for the applications providing the internal and external communication of the institutions (Kunis, Runger & Schwind, 2007:191; Rosenfeld & Morville, 2002:221). Today, the utilization of electronic records is increasing swiftly. In a study conducted by Archives and Records Managers and Administrators (ARMA) in 2008, more than 90% of the records in organisations were produced in the electronic environment. It is considered that the communication through electronic mail, which started to be used in the 1970s, has contributed to this high rate (ARMA, 2008; Sundberg & Wallin, 2007:31). Thus, e-records management refers to the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the process for capturing and maintaining evidence of information about business activities and transactions in the form of records in electronic format (Roper & Millar, 1999).

### **1.2.6 E-readiness, E-records readiness and E-records readiness tools**

By definition and scope, e-readiness and e-records readiness are distinct concepts but highly complementary. In a way, e-readiness can be said to be a precursor to e-records readiness. Choucri et al., (2003) posit that e-readiness is a relatively new concept that has been given

impetus due to the dramatic advances in uses of ICTs, more particularly the rapid rate of Internet penetration throughout the world in business and industry. E-readiness thus refers to a society that has the necessary physical infrastructure and a strong legal policy and regulatory framework to competitively engage in the global information age (Bridges.org.2001). The concept of e-readiness originated as a result of an attempt to provide a unified framework to evaluate the breadth and depth of the digital divide between the developed and developing world during the later part of the 1990s (Wamukoya & Mutula, 2005). As put by Little and Bose (2004:1), e-readiness “is the degree to which a country is prepared to participate in the networked world by assessing its advancement in areas that are most critical to the adoption of ICTs”. E-records readiness, on the other hand, can be defined as the depth and breadth or the capacity of organisations in having the required institutional, legal framework, ICT infrastructure anchored on a systematic records and information management programme. In other words, whereas e-readiness may be described as the generic degree to which a society is prepared to participate in an e-environment; e-records readiness goes far beyond to measure the extent to which organisations have e-records management systems that ensure that e-records, like counterpart traditional paper records, are captured, managed and conform to the obligatory recordkeeping practices that ensure that records are protected for informational and evidential purposes (IRMT, 2003).

E-records readiness assessments are, therefore, meant to guide development efforts by providing benchmarks for comparison and gauging progress in organisations in understanding the depth of e-records management. The assessments assist in the ability of organisations to accurately establish, articulate and prioritise e-records and information management needs based on institutional capabilities thus illuminating the potential opportunities and challenges that the electronic and information age presents. Accordingly, e-records readiness assessment tools are instruments or methodologies that can be used to evaluate e-records readiness capacity of organisations through assigning several measurement criteria that address the required institutional, legal framework, ICT as well as the records and information management infrastructure in an e-environment (IRMT, 2004; McLeod, Childs & Heaford, 2006). The present study focused on developing a framework for understanding e-records readiness in labour organisations in Botswana.

### **1.3 BACKGROUND AND CONTEXTUAL SETTING OF THE STUDY**

Labour organisations also alternatively known as trade unions, comprise of workers who have come together to achieve common goals in key areas such as wages, hours, and working conditions (Rainsberger, 1998:1). Labour organisations are constituency-based in that through their elected leadership, they bargain with the employer on behalf of union members (commonly referred to as rank and file members) and negotiate labour contracts with employers (Rainsberger, 1998:1). This may include the negotiation of wages, work rules, complaint procedures, rules governing hiring, firing and promotion of workers, benefits, workplace safety and policies. The agreements negotiated by the union leaders are binding on the rank and file members and the employer and in some cases on other non-member workers. Labour organisations may comprise individual workers, professionals, past workers, or the unemployed (Rainsberger, 1998:1).

Many labour organisations exist for the historical and ideological reasons of advancing the cause of workers. They engage the working social and economic order and may either accept the existing economic order or work within that order to achieve a “favourable set of economic terms and employment conditions, or they may seek to overthrow the existing economic system and replace it with another” (Rainsberger, 1998:1). The former strategy has been called “business unionism” or “simple unionism” while the latter strategy tends to go beyond workplace issues to deal with broader socio-economic matters that affect the workers and the people, a strategy called “social trade unionism” (ICFTU, 2001; Rainsberger, 1998; Wood, 2001).

As elaborated in Chapter 2, labour organisations in Botswana have undergone structural, legislative and ideological transformation since the early 1970s. After the changes in labour legislation in 2004 that allowed for freedom of association, there has been a proliferation of labour organisations in Botswana. Available statistics indicate that there are 50 registered labour organisations in Botswana (FES, 2008). The main national labour centre is the Botswana Federation of Trade Unions (BFTU) which is a federation of 31 labour organisations, otherwise referred to as affiliates and represents about 62% of all the legally registered trade unions in the country. The other 28% legally operate outside the structure of the BFTU with two of them (Botswana Public Employees Union (BOPEU) and the Manual

Workers Union having formed a new federation called Botswana Federation of Public Sector Unions (BOFEPUSU)(FES, 2008).

Each of the 50 labour organisations has its constitution and its independent structure based on its defined labour interests within the national economy. Labour organisations may affiliate to the BFTU if they so desire based on the established International Labour Organisation (ILO) norms prescribed under Convention 87 and 98 on the freedom of association and right to collectively bargain at a workplace (FES, 2008).

Research and experience shows that, unlike government and business entities, labour organisations' participation in the national development process must be through collective bargaining and sustained advocacy. Labour organisations are, unlike the other organisations, constituency-based and strive to ensure that development needs are transformed and reconstructed from one serving the narrow interests of government or global capital to one whose motive should be to advance the interests of the workers and the people (Kanyenze, Kondo & Martens, 2006). The role of labour organisations is therefore to monitor and measure progress on inclusive participatory national economic processes, good corporate ethics, underpinned by the principles of openness, integrity and accountability (Kanyenze, Kondo & Martens, 2006).

Literature on the penetration and depth of ICTs and information management practices in Botswana shows varying levels of development in the various sectors. This has been as a result of the various strategies and efforts that the government and other stakeholders have made to promote the use of ICTs and information environment designed to achieve high productivity and efficiency in their operations. The government in Botswana has, for example, continued to make progressive investments in the ICT sector since the 1990s. These investments have resulted in the establishment of a basic ICT infrastructure in the country. According to the Government Computer Bureau (GCB), now called the Department of Information Technology (DIT), expenditure on ICT projects represented 0.2% of the total budget of Botswana's seventh National Development Plan (NDP7) covering the period 1991-1997; capital expenditure on ICT projects during NDP8 (1997-2003) increased to 1.9% of the development budget. This commitment to ICT use in government grew to about 3.7% during the remainder of NDP 9 (covering the period 2003-2009) (GCB, 2003). The government has also put in place an ICT policy which is designed to guide the ICT environment in the

country. In addition to this, the government is enacting various pieces of legislation, including the recent amendment of the National Archives Act, to backup the implementation of the ICT policy.

Kalusopa (2008) observes that for labour organisations to participate meaningfully in the national development process there is need for them to develop capacity in records and information management driven by the appreciation and use of ICTs. To this end, since most labour organisations are increasingly operating in e-environments, the need to be e-records ready in such a networked information society is therefore cardinal. In this context, understanding the depth and breadth of e-records readiness of labour organisations is critical for their survival and relevance to national development. This is so because the challenges of conception, initiation, implementation, monitoring and evaluation of activities in labour organisations will always require the use of reliable, pertinent and timely records and information in the current e-environment in Botswana.

#### **1.4 STATEMENT OF THE PROBLEM**

The increasing application of ICTs in the world has undoubtedly raised various opportunities and challenges including understanding their depth, access and use in several segments of the society (IRMT, 2004; Keakopa, 2006; Kalusopa, 2008). This has also underscored the need for thorough assessment and understanding the breadth and depth of the application of ICTs in records management in most organisations (IRMT, 2004; Keakopa, 2006). Accordingly, this has accentuated the evolution of the concept of e-records readiness since it underlines the basis for the measurement of the depth of infrastructure and capacity to manage e-records and information in organisations (IRMT, 2004; McLeod, Childs & Heaford, 2006).

With regard to record management, several assessment tools have evolved to assess the capacity of e-records readiness in different organisations the world over. Among others, the key ones include those by IRMT - the E-records assessment tool, complemented by the Records Management Capacity Assessment System (RMCAS) as well as the ICT and record management integration tool; the United Kingdom (UK) National Health Service (NHS) Information Governance Toolkit (IGT); National Archives of Canada's Information Capacity Check Model (IMCC) and the Risk Profiler for Records and Information Management by the

Archives and Records Management Association (ARMA)<sup>1</sup>. A review of these tools shows that there is no specific agreed framework on the assessment of e-records readiness, in that, these tools have “different purposes, audiences and coverage” (McLeod, Childs & Heaford, 2006:26). However, there is consensus that all e-records readiness assessment tools underscore the attempt to understand e-records readiness in organisations based on best records and information management practices.

In Botswana, evidence points to the fact that the concept is still evolving and there are few e-record management projects or studies that have been devoted to assessing e-records readiness in labour organisations. The only recent existing empirical studies such as by Mutula (2005), Keakopa (2006) and Moloji (2006) have tended to focus on e-readiness (not e-records readiness per se) in the private sector, e-records management in general and e-readiness in government in Botswana respectively. For example, Mutula’s (2005) study sought to determine the status of e-readiness of Small and Medium-Sized enterprises (SMEs) in the ICT sector in Botswana with respect to information access using ICTs for competitiveness in the local and international markets. Keakopa (2006) had a comparative case study approach that looked at the challenges and opportunities for the management of electronic records in Botswana, Namibia and South Africa; while Moloji (2006) investigated e-records management in government in general with a proposal for future research to be extended to parastatal organisations in Botswana. Other studies and scholarly contributions within the Eastern, Southern Region Branch of the International Council of Archives (ESARBICA) by Akotia (2002), Katuu (2004), Mutiti (2001), Nengomasha (2009), Ngulube (2004), Wamukoya and Mutula (2005), Wamukoya and Mnjama (2007) and Wato (2006) have generally looked at the challenges of e-records management capacity and have made attempts to recommend, among others, the need for e-records readiness as critical to an effective e-records management strategy in the region. In terms of proposing a model or framework, Ngulube’s (2004) study, for instance, goes as far as recommending that there be an “appropriate document management strategies and model” (Kemoni, 2009:198).

It can, therefore, be noted that although most of these studies do allude to e-records readiness in some way, none particularly examined the concept in depth, more so with reference to

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<sup>1</sup> These tools are discussed in detail in Chapter Three

labour organisations in Botswana. The studies neither examined any e-record readiness in detail nor do they propose any specific sector frameworks, methodologies or models.

This current study, therefore, sought to examine e-record readiness in labour organisations with a view to proposing an integrated framework for labour organisations in Botswana. This is because an integrated e-records readiness framework is a useful guide in benchmarking, gauging progress and comprehending e-records management in labour organisations. It should also be able to assist labour organisations to accurately establish, articulate and prioritise e-records and information management needs based on their known institutional capabilities in the current information age.

## **1.5 AIM, OBJECTIVES OF THE STUDY AND RESEARCH QUESTIONS**

### **1.5.1 Aim of the study**

The aim of the study was to examine e-records readiness in labour organisations in Botswana with a view to developing an integrated e-record readiness framework.

### **1.5.2 Objectives of the study**

In order to realise the general aim of the study, the following were the specific objectives of the study:

1. To assess ICT uptake and use in the labour organisations in Botswana.
2. To establish the current record management practices in the labour organisations in Botswana.
3. To ascertain the depth and breadth of e-records readiness for labour organisations in Botswana based on existing assessment tools.
4. To ascertain the best-practice framework of the integration of ICTs in the management of records in the labour organisations in Botswana.
5. To establish the extent to which the labour organisations are integrated in the national e-readiness strategies in Botswana.
6. To suggest a framework that may be appropriate for measuring e-records readiness in the labour organisations in Botswana.
7. To make recommendations in relation to the general management of e-records and information management in the labour organisations in Botswana.

### **1.5.3 Research questions**

The study sought to answer the following research questions:

1. What is the extent of ICT uptake and use in labour organisations in Botswana?
2. What are the current record and information management practices in labour organisations in Botswana?
3. What is the depth and breadth of e-records readiness for labour organisations in Botswana based on existing e-records assessment tools?
4. To what extent are best practices used in integration of ICTs in the management of records in labour organisations in Botswana?
5. To what extent have labour organisations been integrated into national e-readiness strategies in Botswana?
6. What type of framework would be appropriate in measuring e-record readiness in labour organisations in Botswana?
7. What recommendations can improve the general management of electronic records in the labour organisations in Botswana?

## **1.6 SIGNIFICANCE OF THE STUDY**

According to Creswell (2003:149), the significance of the study “elaborates on the importance and implications of a study for researchers, practitioners and policy makers”. He argues that the significance of the study should centre on how the study adds to scholarly research and literature in the field, and; how it can help improve practice and why it can improve policy. Therefore, conducting this study is justified and significant in several ways in terms of contributing to the growing scholarly literature on e-records readiness in general and in terms of policy impact on the management of e-records in Botswana.

In evaluating the usefulness of existing e-records assessment models and tools, McLeod, Childs and Heaford (2006:26) have argued that these assessment tools have “different purposes, audiences and coverage” and that mostly such tools have been tested largely in the public sector in the world. This suggests their diagnostic ability regarding the depth of the e-records readiness in other sectors such as labour organizations has not been adequately studied. This raises several conceptual and contextual questions as to the extent to which e-



records readiness assessment models or tools can be used to understand the depth and breadth of e-record readiness in labour organizations. Specifically, the following questions are considered pertinent to how this study will contribute to scholarly research in e-record readiness:

- How do labour organisations differ from private or public sector organisations? How can e-record readiness assessment processes/methodologies be used to understand the management of e-records in the context of labour organisations?
- How should such assessment of e-records readiness evolve? Should it be seen from the users, practitioners, records and information professionals, ICT experts' point of view? If there is some synergy, what form must it take and what are the common denominators?
- How can we develop a sector-specific model or framework for labour organisations from the existing generic models and tools?

These, among others, are the significant contextual and conceptual issues that form the on-going debate about the content, measurements, outputs, benefits, management and implementation of the e-records readiness assessments models and tools in sector-specific organisations. Accordingly, one could, therefore, argue that the study will add to the on-going debate as to whether concepts derived, studied and adopted in the world of government and business such as e-records readiness can readily be applied to labour organisations. This is so because it is often argued that conventional public or private organisations are funded differently, have different objectives, and operate in different environments. However, given the influence of labour organisations and their active responses in socio-economic governance, there is now a growing interest in how they can actively build their capacity in using records and information in an e-environment in advancing their objectives (Kalusopa, 2008). In addition, such examination and understanding provides the basis for building a framework that is sector-specific with a local focus. It envisaged that such a framework of 'institutionalised knowledge' can guide the action and practice on the management of e-records in labour organisations in Botswana (Kalusopa, 2010:140). This study, thus, proposed an e-records readiness framework that would provide a basis and methodology for assessing and understanding the depth of e-records and information management in labour organisations. It is also hoped that such a recommended e-records management framework

could pave the way for effective electronic records management in labour organizations in Botswana.

In terms of policy contribution, the knowledge and understanding of the usefulness of e-records readiness assessment tools is of relevance to records and information professionals, labour practitioners and other stakeholders in Botswana in that it will cast more light on the current state e-records and information management in labour organisations in Botswana. Further, since the Botswana government is actively leading the way in laying the foundation for the growth of a robust and vibrant information society in Botswana mainly driven by the creation of an enabling e-environment through various ICT infrastructural investments as well as policy and legislative mechanisms, the need for understanding the extent to which labour organisations are e-records ready would ultimately be a significant response to such efforts. It is expected that this would in turn assist the country in benchmarking labour organisations with other key sectors on the extent of its integration in the information society in Botswana.

## **1.7 METHODOLOGY**

The study used to a large extent a quantitative paradigm and employed a survey research strategy. This was, however, complemented by methodological triangulation of both quantitative and qualitative data collection methods to assess the e-records readiness in the labour organisations in Botswana. Surveys are largely quantitative and have been a widely used method in records and information management research (Kemoni, 2007; Ngulube, 2005; Williamson & Bow, 2000).

In this study, no sampling was done and all the 50 registered labour organisations in Botswana constituted the target population. Based on their existing constitutions, drawn in conformity with the national labour legislation, all registered labour organisations have a core group of elected executive members. These comprise of the President, Vice President, General Secretary, Deputy Secretary General, Treasurer and three Committee Members. The offices of the General Secretary and Deputy have full administrative powers and direct the operations of a union. In each of the 50 registered labour organizations, this office received and answered the questionnaire and facilitated any other relevant means of data collection. Furthermore, there were follow-up interviews to gain more insight and validation of

information and data collected in each of the labour organisations. Other methods such as semi-structured interviews with key stakeholders, document review and as observations were employed in data collection. Quantitative data was analysed using Statistical Tool for Analysis (STATA), while qualitative data was categorised and thematically analysed to complement and illuminate the findings. A detailed discussion of the research methodology is presented in Chapter 4.

## **1.8 SCOPE AND LIMITATIONS OF THE STUDY**

Labour organisations are broad and constituency-based and have elected representatives as well as wide membership all over the country. In terms of scope, this study focused on the elected representatives that run the day to day business of their organisations and not the general membership of the labour organisations. The following were anticipated limitations of the study which were addressed accordingly:

- The process of obtaining a research permit tended to be laborious given the difficult administrative hurdles that currently exist. However, given the researcher's evident familiarity with the procedures and lecturing position at the University of Botswana, this limitation was overcome; and
- Data collection was affected by the busy schedule of most of the respondents such as elected labour representatives and government officials but given the researcher's traditional contacts with labour organisations and relevant government officials, permission was granted to have access to the relevant data sources and respondents.

## **1.9 ETHICAL CONSIDERATIONS**

As observed in Chapter 4, section 4.6, several scholars and institutions of higher learning consider it a universal norm to comply with research ethics (Cozby 2001; Kemoni, 2007; Ngulube, 2003; University of Botswana Policy on Ethics and Ethical Conduct in Research, 2004; University of South Africa (UNISA) Policy on Research Ethics, 2007).

For example, Kemoni (2007:38) citing Tong (1997:9) posits that “ethics provides a number of analytical tools and action guides with which to pursue individual and collective goals ‘rightly’, whether these goals were minimalist ones, such as personal survival, or maximalistic ones such as universal love”. Accordingly, ethical issues in research tend to

centre on “the researcher’s accountability and privacy, anonymity and confidentiality of participants”.

The researcher observed the research values of voluntary participation and anonymity since the respondents in the study were not coerced or asked to indicate their names. Principles of confidentiality were strictly upheld since the respondents were assured that the data collected would be used only for academic purposes. Further, since the objectives of the study would be shared with the respondents, their participation was based on informed knowledge that they had the right to withdraw if they were uncomfortable with the study. These issues were well documented in data collection instruments and emphasised in the actual process of data collection (see questionnaire in appendix 2).

The University of South Africa (UNISA), like other Universities in the world, has a clear code of ethics that researchers under its ambit should follow. This is available at <http://www.unisa.ac.za/contents/research/docs/ResearchEthicsPolicy>.

The researcher as a registered doctoral student did abide by these stipulated ethical conduct guidelines and avoided any acts of misconduct such as fabrication, falsification and plagiarism throughout the course of the study.

## **1.10 OUTLINE OF CHAPTERS – ORGANISATION OF THE THESIS**

This thesis is divided into seven chapters:

- **Chapter 1:** This is an introductory chapter that covers the background of the study, definition of key terms, location of the study areas, statement of the problem, purpose of the study, significance of the study, research methodology.
- **Chapter 2:** This chapter discusses the context and location of the study – labour organisations in Botswana; the political economy of Botswana; historical and legislative trends of labour organisations in Botswana; the role of labour organisations in national development and operations of labour organisations in an e-environment; the role of records and information management in labour organisations in Botswana and trends and depth of e-readiness in Botswana.

- **Chapter 3:** This chapter presents a theoretical or conceptual review of the key contending theories and models relevant to the current study. These include the innovation diffusion model; technology acceptance models; records life-cycle and records continuum models. The chapter also reviewed literature related to the adoption of ICTs in labour organisations. Further, a discourse on the review of related and empirical literature on the dynamics and status of the management of e-records in selected parts of the world, ESARBICA and Botswana was presented. E-readiness assessment models in general and e-records readiness assessment models/tools in particular and their relevance to this study were critically reviewed and discussed.
- **Chapter 4:** This chapter presents the research methodology of the study. The chapter focuses on the research procedure used; study population and justification; data collection instruments; validity and reliability of the instruments; data collection procedures; problems encountered during data collection, processing and analysis of data; ethical considerations and evaluation of research methodology.
- **Chapter 5:** This chapter presents research findings on e-record readiness in the labour organisations in Botswana. The chapter thus presents findings on the extent of ICT uptake and use in labour organisations. It also presents the current records and information management practices in labour organisations with a focus on theories and best practices of records management. In addition, results on the depth and breadth of e-readiness based on selected existing assessment tools are presented. This chapter further presents the analysis of data that centred on the national strategies focusing on the current initiatives such as the definition of roles and responsibilities and legislation and the depth of integration of the labour organisations in an e-environment in Botswana. It particularly addresses the role of the Botswana National Archives and Records Service (BNARS) in the whole national e-readiness drive in Botswana.
- **Chapter 6:** This chapter interprets and discusses the findings presented in Chapter five and addresses the question of ICT uptake and use; current records management practices; validation of depth of e-records readiness based on existing assessment tools and the integration of labour organisations in the information and knowledge society in Botswana.

- **Chapter 7:** This chapter consolidates the study by summarising the research findings and making recommendations for the management of records and information in labour organisations in Botswana. Based on the findings from Chapter 5 and 6, the chapter also proposes a framework that may be suitable for examining and understanding e-record readiness in labour organisations.

## **1.11 SUMMARY**

Chapter One provides the background and sets the scene of the whole study. The Chapter discusses the rationale of the study, defines the key working concepts in the thesis such as record, recordkeeping, records management, e-document, e-records, e-records management, e-readiness, e-records readiness and e-records readiness assessment tools, showing their composite and complementary nature.

The aim and objectives of the study, research questions, methodology, and significance of the study were presented. The scope and delimitation, ethical issues, and an outline of the thesis has been given.

The chapter underscores the key role of e-records and e-records readiness in organisations. The chapter also reviewed literature and showed that while there have been attempts to understand the depth of e-record readiness in government and private organisations, there exists a gap in addressing e-records readiness in labour organizations in Botswana. The chapter justifies the need for understanding the depth of e-records readiness in labour organisations and stresses the need for e-records readiness assessment as benchmark in understanding how e-records and information are managed in labour organisations. The chapter narrows the research problem to the need to develop a clear framework for understanding e-records readiness as the basis for records and information management as well as the overall integration of the labour organisations in the e-environment in Botswana. Chapter One thus laid the foundation for the contextual and conceptual framework in Chapter Two and Three in which literature is reviewed in much more detail.

## **CHAPTER TWO**

### **CONTEXT OF THE STUDY**

#### **2.1 INTRODUCTION**

This chapter discusses the context and location of the study – labour organisations in Botswana; the political economy of Botswana; historical and legislative trends of labour organisations in Botswana. It also discusses the role of labour organisations in national development as well as operations of labour organisations in an e-environment. In addition, the chapter discusses the role of records and information management in labour organisations in Botswana and trends and depth of e-readiness in the country.

#### **2.2 THE POLITICAL ECONOMY OF BOTSWANA**

In order to have an understanding of the background and location of the study, this section discusses the geography, history, political structure, overview of the economic status, and employment trends in the country.

##### **2.2.1 Geography and History**

Botswana is a landlocked country located on the Southern African plateau and lying between 18° and 27° S latitude and 20° and 29°E longitude. It is at an average altitude of 1000 metres (Republic of Botswana, 2007; US Department of State, 2010). It is bordered by South Africa to the south and south east; Zimbabwe to the northeast; Zambia and Angola and Namibia, to the north and Namibia to the west. Botswana is a very large country with a total land area of about 582, 000km<sup>2</sup> (Republic of Botswana, 2007). Most rains occur between October and April and are unreliable and vary in both time and space. The western part of the country is covered by the Kalahari Desert or sand veldt (Tlou & Campbell, 1984:8-9). The Kalahari sand veldt supports some shrubs and grasses but lacks surface water. The northern and eastern parts of the country, the hard veldt, receive more rains than the sand veldt and, therefore, support more vegetation and livelihoods. Besides the Okavango Delta and Makgadikgadi pans, Botswana lacks large natural water bodies. Most of its rivers are

ephemeral. The climate is hot and dry most of the year round and drought is a constant threat (Tlou & Campbell, 1984:9).

The earliest inhabitants of the region were the San, who were followed by the Tswana. Botswana is inhabited mainly by Tswana speaking people. The Tswana migrated into the country between AD 1500 and 1800 (Tlou & Campbell, 1984:61-70). Other Bantu speaking people, like the Kalanga, migrated into Botswana from the North and Northeast. The Tswana tribes split into eight major tribes spread throughout the eastern part of the country and established their rule and culture over other tribes (Tlou & Campbell, 1984:89:109). The term for the country's people, Batswana, refers to national rather than ethnic origin. There are small Asian and Europe populations. The national language is Setswana and the official language is English (Republic of Botswana, 2007).

The intrusion by the Zulu in the 1820s and by Boers from Transvaal in the 1870s and 1880s threatened the peace of the region. In 1885, Britain proclaimed the area as a protectorate, and then called it Bechuanaland. In 1961, Britain granted a constitution to the country and self-government began in 1965. The country became independent on 30<sup>th</sup> September, 1966 (Tlou & Campbell, 1984:142-153).

### **2.2.2 Political structure and developments**

The Botswana political structure is built on multiparty democracy. Elections are contested every five years and the Botswana Democratic Party (BDP) has ruled since independence in 1966 (Tlou & Campbell, 1984:229-237). The President has executive powers and is chosen by virtue of the party with the highest seats in National Assembly. Cabinet is nominated by the President from the National Assembly (Tlou & Campbell, 1984:229). After the 2009 elections, there were three parties in the national legislative assembly namely the ruling Botswana Democratic Party (BDP), the opposition, Botswana National Front (BNF) and the Botswana Congress Party (BCP) (US Department of State, 2010). However, in 2010, there was a split in the ruling BDP that led to the birth of a new political party called the Botswana Movement for Democracy (BMD). There are 4 specially “elected” or nominated MPs by the President. The next elections will be held in 2014. There is also the House of Chiefs, which is advisory, representing subgroups of the Botswana ethnic groupings. Most National Assembly bills of ethnic concern must be referred to the House of Chiefs for input. The roots of



Botswana's democracy lie in Setswana traditions, exemplified by the Kgotla, or Village Council, in which the powers of traditional leaders are limited by custom and law (U.S. Department of State, 2010).

The civil and political rights are entrenched under the Constitution with fundamental human rights enforced by the courts. There is freedom of association, of worship and of expression. The Executive, Legislature, and Judiciary are to a larger extent separated. The Office of the Ombudsman attempts to demonstrate independence and effectiveness. The standards of conduct in political, civil and commercial life are comparatively high in Botswana and the country has been hailed, among the few less corrupt countries in Africa, according to the Transparency International Index (U.S. Department of State, 2010).

### **2.6.3 Overview of the economic status**

According to the Central Statistics Office (CSO), 2005/06 Labour Force Survey (LFS), Botswana had an estimated population of 1,702,829; of which 798,460 (46.9%) were males and 904,369 (53.1%) were female; with 68.3% of this population estimated to be economically active. The number of households was estimated at 515,294 of which 266,331 (51.7%) were male headed households while 248, 963 (48.3%) were female headed (CSO, 2008:3-6). Most of the population (about 76%), live in the rural areas and 27 in urban villages.

Botswana has maintained a stable and steady economic growth since 1966 thus transforming itself into a middle-income country with a per capita Gross Domestic Products (GDP) of income at market exchange rate averaging about \$3,800. The size of GDP at current market prices was approximately \$10.7 billion (CSO, 2008). The country has also made some remarkable investment and progress in education and health. Botswana largely depends on the extraction of diamonds for export. On average, this accounts for over 70-80% of its export earnings and contributes 36% of GDP. Botswana is also a large exporter of beef to the European Union, though this industry now faces a myriad of problems. Agriculture, which sustained the country before the discovery of diamonds in 1967, now only contributes about 3% of GDP. Thus, taken together, agriculture and mining contribute about 39% of the rural GDP to overall GDP. Currently, the country has placed emphasis on diversification of its

economy to other sectors such as tourism which is showing potential for growth (BIDPA, 2006).

## 2.6.4 Total labour force employment

The CSO, 2005/06 Labour Force Survey (LFS)<sup>2</sup> results show that the current total employed population is estimated at 539,150 of which 52.3% were males and 47.7% were females. Major employers were Agriculture (29.9%), Wholesale and Retail Trade (14.4%), Public Administration (11.2%), Education (8%), and Manufacturing (6.7%) while the least were employed in Foreign Missions (0.2%) (CSO, 2008:3-6). Table 1 shows these trends.

**Table 1: Employed population by industry and sex**

Industry	Sex		Total
	Male	Female	
Agriculture	103,924	65,407	169,331
Mining	12,396	1,716	14,112
Manufacturing	16,020	19,963	35,982
Water & Electricity	2,697	1,537	4,234
Construction	22,169	4,265	26,434
Retail & Trade	28,791	50,804	79,596
Hotels & Restaurants	3,848	10,968	14,816
Transport & Communications	10,292	5,381	15,674
Financial Intermediaries	3,018	5,406	8,424
Real Estate	15,338	9,778	25,116
Public Administration	34,372	25,417	59,789
Education	15,190	27,987	43,177
Health & Social Work	5,503	8,612	14,114
Other Community Services	5,277	5,283	10,560
Private Households	8,013	18,247	26,261
Foreign Missions	456	439	895
Not Stated	--	78	78
<b>Total</b>	<b>287,303</b>	<b>261,290</b>	<b>548,594</b>

**Source: Central Statistic Office, Botswana, 2008**

<sup>2</sup> Employed persons were defined as those who did work during the reference period either for payment in cash or in kind (paid employees) or who were engaged in self employment for profit or family gain, and persons temporarily absent from these activities but definitely going to return. Some work was defined as one hour or more in the reference seven days with economic work taking priority over all activities.

The CSO, 2005/06 Labour Force Survey (LFS) also show that the most common occupation was Agricultural workers (26.4%), followed by Elementary Occupations (18.9%), Service workers (16.9%) (CSO, 2008:3-6).

#### **2.6.4.1 Formal employment**

It is estimated that formal sector employment<sup>3</sup> increased by 3% from 308 617 in March 2008 to 317 827 in March 2009 (CSO, 2009:2). However, between September 2008 and March 2009 when the recession deepened, employment increased by about 1 percent from 315 791 to 317 827. In terms of the broad sectors, as from March 2008 to March 2009, the private sector was the largest employer with over 179 000 employees followed by central government (96 167), local government (28 162) and the parastatal sectors (14 497) (CSO, 2009:2). The private sector registered an increase in employment of 3 132 employees from 175 868 to about 179 000, while central government had an increase of 4 712 employees, local government (1 148), and parastatals (217) during the same period. The impact of the global recession in the Botswana labour market was evidenced by, among others, the loss of employment through retrenchments. As of March 2009, employment in mining and quarrying had declined from 11 673 to 10 592 employees, representing a decrease of 9.3 percent (CSO, 2009:3-6). Manufacturing also recorded a small decline of half a percentage point, from 35 888 to 35 704 employees (CSO, 2009:3-6).

#### **2.6.4.2 Unemployment and Under-employment**

The analysis of the LFS reports has shown a perennial and generally increasing rate of unemployment in Botswana since 1991. The LFS show the following unemployment trends: 1991 (13.9%), 1993/94 (21.6%), 2001 (19.6%), 2002/03 (23.8%), 2004 (26.4%), 2005/06 (17.5%) (Ministry of Finance, Annual Economic Outlook 2003; CSO, 2002/03 Household Income and Expenditure Survey [HIES]; 2005/06 LFS). The CSO, 2005/06 LFS also shows that overall unemployment rate was 17.6%.<sup>4</sup> The total number of the unemployed was 114,422 of which the majority, 63,546 were women with a significant number of these being female youth aged 12-29. The male unemployment rate is 15.3% while that for females

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<sup>3</sup> The definition of formal sector employment in Botswana excludes people working in businesses that are not registered and in businesses fewer than five employees as well as those employed in the Botswana Defence Force.

<sup>4</sup> Unemployed persons were defined as those who were not employed as defined above and who were available for work and took some steps to look for work in the last 30 days.

stands at 19.9%. Female youth (12-29 years) unemployment is 31.8% while that of males is 23.3%. Overall youth unemployment rate is 27.4 %. (CSO, 2008:3-5).

## **2.7 CONTEXT OF THE STUDY – LABOUR ORGANISATIONS IN BOTSWANA**

This study focused on the development of the e-records readiness framework for labour organisations in Botswana. In order to understand the context and the location of the study, the sections below discuss the history, structure, membership density and the legislative framework of labour organisations in Botswana.

### **2.7.1 History of labour organisations in Botswana**

The Francistown African Employees Union (FAEU) was the first labour organisation to be formed in 1948 (FES, 2008:16). Owing to the pressure of restrictions imposed by the District Commissioner on the formation of trade unions, the union was only recognised by the colonial government under the Protectorate Proclamation Act No. 16 of 1964 (FES, 2008:16). It collapsed six years later. The late development of trade unions in Botswana has been attributed to under-development of the economy during colonial rule when formal employment was low and unemployment was high (FES, 2008:16). In 1959, Bechuanaland Protectorate Union was formed in Serowe under the presidency of the late Lenyeletse Seretse on the instigation of Chief Tshekedi Khama (FES, 2008:16). In 1962, the Bechuanaland Trade Union Congress was formed under the leadership of Mr. Klaas K. Motshidisi as its first General Secretary. It was closely linked to the Bechuanaland People's Party and collapsed in 1965 (FES, 2008:16). After independence, the local unions financially supported by the International Confederation of Free Trade Unions (ICFTU) formed the Bechuanaland Federation of Labour with Mr. G. M. K. Mmusi as General Secretary (FES, 2008:16). The ICFTU is now called the International Trade Union Confederation (ITUC), formed on 1 November 2006 out of the merger with the World Confederation of Labour (WCL).

The current Botswana Federation of Trade Unions (BFTU) was formed as early as the 1970s with the establishment of the Botswana Trade Union and the Education Centre comprising a handful of trade unions. In April, 1977, the BFTU, the only federation in the country, was formed replacing the Botswana Trade Union and the Education Centre. Five unions:

Botswana Mine Workers Union, Botswana Bank Employees Union, Botswana Commercial and General Workers Union, Botswana Construction Workers Union and Botswana Railways Workers Union, have been cited as forerunners in the establishment of the BFTU (FES, 2008:16). The mission of the BFTU has been to actively promote the interest and welfare of the workers, individual citizens and to create a free and prosperous society for all Batswana. It currently advocates for sustainable economic growth, equitable income distribution, stable prices, full employment and maximum economic security and social welfare (BFTU, 2004; FES, 2008).

### **2.7.2 The structure of labour organisations in Botswana**

The literature shows that from the early 1970s, labour organisations in Botswana have undergone structural, legislative and ideological transformations. After the changes in labour legislation in 2004 that allowed for freedom of association, there has been a proliferation of labour organisations in Botswana. Available statistics indicate that there are 50 registered labour organisations in Botswana (Registrar of Trade Unions, 2010). The main national labour centre is the Botswana Federation of Trade Unions (BFTU) which is a federation of 29 labour organisations, otherwise referred to as affiliates and represents about 58% of all the legally registered trade unions in the country. The other 42% legally operate outside the structure of the BFTU (FES, 2008:17).

Each of the 50 labour organisations has its constitution and its independent structure based on its defined labour interests within the national economy. Labour organisations may affiliate to the BFTU if they so desire based on the established International Labour Organisation (ILO) norms prescribed under Convention 87 and 98 on the freedom of association and right to collectively bargain at a workplace (FES, 2008:17).

Labour organisations in Botswana are not very distinctive. They can, however, be divided into two broad categories: the public and private sector. Public labour organisations are largely those in public service, local government and education sectors. These include: Botswana Public Employees Union (BOPEU) and the Manual Workers Union, Botswana Teachers Union (BTU), Botswana Secondary Teachers Union (BOSETU), Botswana Land Board and Local Government Workers Union (BLLAWU). These constitute approximately 30% of the formal workforce and not affiliated to the BFTU. The other public sector labour

organisations are Botswana College of Agriculture Staff Union, Botswana Government Workers Union (BOGOWU), Trainers and Allied Workers Union (TAWU), University of Botswana Non-Academic Staff Union (UBNASU), University of Botswana Academic and Senior Support Staff Union (UBASSU) which are affiliated to the BFTU (FES, 2008:18).

The private sector labour organisations that are affiliated to the BFTU include Air Botswana Employees Union, Botswana Commercial and General Workers Union, Botswana Construction and Wood Workers Union, Botswana Railways Amalgamated Workers Union (BRAWU), Central Bank Union (CBU), Botswana Mining Workers Union (BMWU), National Development Bank Employees Union, Botswana Bank Employees Union, Botswana Power Corporation Workers Union, Botswana Meat Industry Workers Union, Botswana Agricultural Marketing Board Workers Union, Botswana Postal Services Workers Union, Botswana Housing Corporation Staff Union, Botswana Telecommunications Employees Union, Botswana Diamond Valuers and Sorters Union, Institute of Development and Management Workers Union, Botswana Savings Bank Employees Union, Botswana Wholesale Furniture and Retail Workers Union, Maranyane Staff Union, Botswana Beverages and Allied Workers Union, Botswana Hotel Travel and Tourism Workers Union, Botswana Manufacturing and Packaging Workers Union, Botswana Private Medical and Health Workers Union, and Botswana Vaccine Institute Staff Union (FES, 2008).

The labour organisations in the private sector which are not affiliated to the BFTU include: Botswana Railway Train Crew Union, Citizen Entrepreneurial Development Agency Workers Union, Kents Botswana Workers Union, Barclays Management Staff Union, BCL Citizen Senior Staff Union, Botswana Beverages and Allied Workers Union, Botswana Bureau of Standards Staff Union, Botswana Energy Workers Union, Botswana Media Workers Union, Rural Industries Promotions Workers Union, and Power Corporation Middle Management Staff Union (FES, 2008:17).

The BFTU is currently the only legally registered federation. The structure of the BFTU is that it has principal officers of the Federation who include the President, Vice President, Secretary General, Assistant Secretary General, Treasurer and five additional members elected by the Congress. This constitutes the Executive Board. The delegates' congress is the highest organ and authority. The delegates' congress is held every three years determined.

The Secretary General is a full-time official but the federation has a low regional base in Botswana (FES, 2008:16).

### **2.7.3 Membership density and development in labour organisations**

Over the years there has been a general decline in trade union membership. The overall membership and trade union density is still low in the country (Kalusopa, 2010). Although, there are no conclusive official statistics, recent reports show that there about close to about 100,000 unionised workers out of a total about 301,978 formally employed work force. This represents an estimated union density of about 30% (Kalusopa, 2005:3).

The changes to the labour laws are said to have brought many challenges including the fact that based on freedom of association, there are now eminent dangers of having further proliferation of trade unions/federations that could break away and undermine workers' unity and solidarity. In that regard, five unions namely Botswana Public Employees Union (BOPEU), Manual Workers Union, Botswana Teachers Union (BTU), Botswana Secondary Teachers Union (BOSETU) and Botswana Land Board and Local Government Workers Union (BLLAWU) teamed up to form a splinter federation called Botswana Federation of Public Service Unions (BOFEPUSU). At the time of writing this thesis, this federation had not yet been legally registered.

Most of the labour organisations in Botswana are largely "in-house" unions whose organisation ability has not been consolidated. In most cases, it is often common to find different in-house unions in one organisation "competing" to recruit members and perpetuating leadership in-fighting across similar workforce. Most labour organisations have simply been viewed as "welfare associations" that members look up to for soft loans. With the support of the Friedrich Ebert Stiftung (FES), the BFTU initiated the amalgamation process with the aim of reducing the proliferation thus strengthening the labour movement in Botswana. Some unions have made significant strides to the extent that they have developed constitutions, which were ready for submission to the Registrar of Trade Unions. The target was reducing the Unions from 26 to about 10 or 11. The move towards the merging of different types of unions into bigger and stronger sectoral unions, which was expected to reduce the affiliates has been slow and hampered by several structural problems (FES, 2008:18). This process started in 1997 and has dragged on and there has been no firm

resolution from the BFTU so that the process is implemented with the urgency it deserves (FES, 2008:20).

#### **2.7.4 Historical development in labour legislation in Botswana**

The first legislation in the Bechuanaland Protectorate was the Trade Union and Trade Dispute Proclamation of 1942 which legalised Trade Unions (FES, 2008:6). The legislation provided “what could be regarded as paternalistic protection for workers” but made inadequate provision for the settlements of industrial disputes (Cooper 1985:109). Ten years later, the Employment Law No. 15 of 1963 was enacted but still failed to provide for the settlement of disputes. The attainment of independence in 1966 did not bring any immediate change in the legal framework although the Bill of Rights (Section 13 (1) and (2) of the Constitution of Botswana) guaranteed freedom of association with certain limitations (Cooper 1985).

It was not until 1969 that the first pieces of legislation were passed by the new government after independence to improve the Trade Unions and Trade Dispute Proclamation and Employment Law No. 15 of 1963. These were the Trade Unions Act No. 24 of 1969, the Trade Dispute Act No. 28 of 1969 and the Regulation of Wages and Conditions of Employment Act of 1969 (Cooper 1985). The Trade Unions Act No. 24 of 1969 came into force on the 8 August 1969 and provided for the amendment and the consolidation of the law relating to the registration of Trade Unions and other purposes. The Trade Dispute Act No. 28 of 1969 came into force on 1 August 1969 and provided for the establishment of the Industrial Arbitration Tribunal and Board of Inquiry as well as to make provisions for the settlement of Trade Disputes and to control and regulate strike action and lockouts. The Regulation of Wages and Conditions of Employment Act of 1968 which also came into force on 1 August 1969 provided for the establishment of Wages Councils and regulation of remuneration as well as conditions of employment (FES, 2008:6).

These Acts were overtaken by events and as a result amendments were introduced in 1982/83 and later in 2004. These included an overhauled Employment Act, a comprehensive Trade Dispute Act and Trade Union and Employers Organisations’ Act which for the first time made provision for employer organisation.



### **2.7.5 Current legal environment for labour relations in Botswana**

Eight ILO Conventions have been identified by the ILO's governing body as being fundamental to the rights of human beings at work, irrespective of levels of development of individual member States. These rights are a precondition for all the others in that they provide for the necessary instruments to strive freely for the improvement of individual and collective conditions of work. Botswana has ratified fifteen Conventions including all the eight Core Conventions. The ratification of the ILO Conventions must go hand in hand with enactment of these laws so that they have a bearing on the protection of workers. The amendments to the Botswana laws passed in 2004 to align with ILO Conventions were meant to achieve the following:

- Bring Botswana more in line with relevant international labour standards;
- Strengthen collective bargaining;
- Strengthen the development of trade unions; and
- To give effect to Botswana's international obligations.

The changes to the labour laws were effected by a series of amendments to key labour statutes which included the enactment of a new Trade Disputes Act, and significant amendments to the Trade Unions and Employers' Organisation Act. But to what extent have the key principles to which the labour laws seek been addressed? The section below attempts to show the extent of impact of these amendments on the workers' rights in Botswana. Currently, the major pieces of legislation governing labour relations and the rights and activities of trade unions include the following discussed below.

### **2.7.6 Trade Unions and Employers' Organisations Act (Cap 48:01)**

The Trade Unions and Employers' Organisations Act (Cap 48:01) came into force on 1 September 1984 and was repealed on 9 July 2003 and enacted on 23 April 2004. The Act embodies the rules on formation and registration formalities for trade unions, amalgamation of trade unions, federations of trade unions as well as employers' organisations. It also sets out the consequences of registration of the afore-mentioned bodies. More importantly, it reiterates each employee's entrenched right to form and/or join trade unions and outlaws discrimination on the basis of trade union membership. Some of the key 2004 amendments include among others the following:

- allowing public servants to unionise for the first time, with the exception of the Botswana Defence Force, the Botswana Police, the Local Police and the Prisons Services;
- the condition requiring more than 30 employees to form a union was removed and (replaced with one where the requirement was at least one-third of the employees of an employer. Such a trade union could also apply for recognition under section 32 of the Trade Dispute Act;
- powers of the Registrar to de-register a trade union of federation if one of their officers is a non-citizen were abolished;
- restriction for members to relinquish the membership of their trade union when moving to another industry was removed;
- allowing the amalgamation of trade unions by informing the Registrar “within 14 days of it taking place” and also the formation of joint industrial councils under section 36 of the Trade Disputes Act; and
- allowing trade unions to “accept funds originating from outside Botswana”.

#### **2.7.6.1 Employment Act (Cap 47:01)**

The Employment Act CAP. 47:01 of 1984 came into force on the 14 December 1984. It repealed and replaced the Employment Act of No. 29 of 1982 in order to amend the law relating to employment and to make comprehensive provisions. Among, the 2004 key amendments is the protection of the employees if their employer becomes insolvent, by means of privilege on the employers’ assets before non-privileged creditors are paid their shares. It also specifies the functions of the Labour Advisory Board setting out the composition and process of appointment to the Board. This means the role of the Labour Advisory Board was clarified and clearly established in the law.

The Act provides the central link between the State and the employee in the form of the so-called “floor of rights”, a set of statutory entitlements purporting to provide a protection by prescribing labour standards in the employment relationship. The principal functions of the Act were to lay down basic minimums required for contract of employment e.g. sick leave, maternity leave, notice pay, hours of work, overtime and severance pay to prevent exploitation of workers.

The beneficiary of such entitlement must fall within the definition of an employee, which with the 2004 amendments has been broadened as follows: “an employee is any person who has, either before or after its commencement, entered into a contract of employment for the hire of his labour provided that expression does not include members of the Botswana Defence Force, Botswana Police Service, Local Police Force and the Prison Service”. This means public officers and those employed by a local authority were free to form and belong to union. Currently, two teacher unions, one college lecturers’ union and one local government union have been recognised.

#### **2.7.6.2 Trade Dispute Act, 2003**

The Trade Dispute Act establishes the procedures for settlements of trade disputes and regularizes the Industrial Court. It also sets the standards for collective labour agreements, and most important, it defines and governs unlawful industrial actions. Dispute resolution is one of the hallmarks of good labour relations. The establishment of dispute prevention and resolution system could address labour conflict and promote labour peace and thus strengthen social partnership for good governance. The Trade Disputes Act, which was promulgated on 23 April 2004, has incorporated a new concept of mediation and arbitration as methodologies of resolving disputes in a less formalized set up than adjudication. These concepts are also meant to bring about speedy and cost effective justice to the worker. With the help of the ILO-Swiss project, mediators and arbitrators have been trained. However, though Mediators and Arbitrators have been appointed, the process has been too slow and has not fully taken off as envisaged. Most contend that in order to promote independence and instil a sense of credibility, there is a need to have an Independent Commission rather than having the Labour Commissioner to deal with matters of dispute resolution (Kalusopa, 2005; FES, 2008).

#### **2.7.6.3 Public Service Act**

The Public Service Act of 2008 (PSA) was passed by parliament on 11 December 2008, bringing to a close a process of employment law reform spanning just over a decade. It came into effect on May 1, 2010. The PSA could be categorised into three subject areas: Parts I – VI deal with the exceptionality or exclusivity of public administrative structures, policy and structures, which are fundamentally distinct from private entities. Parts VII – IX are about

individual labour law as it applies in the public service, whereas the subject matter in Parts X – XIII of the Act is collective labour law. This piece of legislation is part of a set of employment laws that were identified for amendment as a result of the ratification of the International Labour Organisation's (ILO) labour standards (ILO Conventions) in 1997, namely Conventions 87, 98 and 151, with respect to freedom of association and the right to organise and bargain for public service employees. This law reform process is referred to, in legal parlance, as domestication - the alignment of national laws to the ratified international treaties. The effect of this ratification was to introduce unionisation to the Botswana public service, which also opened a door for the conversion of previous staff associations into trade unions with the power to bargain (Dingake, 2008; Solo, 1997). The implementation of this Act has just begun and its implications are yet to be felt.

#### **2.7.6.4 Factories Act (Cap 44:01)**

The Factories Act (Cap: 44:01) that commenced on 1 January 1979, provides for the regulation of the conditions of employment with particular regard to safety, health and welfare of persons employed in factories and for the safety and inspection of certain plant and machinery in order to ensure that workplace safety is observed at all times.

The Act provides for the prevention of fire in that all inflammable substances should be kept in a fire resistant place. It also provides that adequate means of escape should be provided in case of fire for persons employed in factories having regard to the circumstances of each case. The factories Act has welfare general provisions as follows: an adequate supply of potable drinking water shall be provided and maintained at suitable points conveniently accessible to all persons employed; there shall be provided and maintained, so as to be readily accessible, a first aid box or cupboard. Moreover, the Minister is empowered by the Act to make regulations for the implementation of the Act.

#### **2.7.6.5 Worker's Compensation Act (Cap 43:07)**

The Worker's Compensation Act (34:07) commenced on 28 November 2001. Most social schemes will try to provide an income replacement for those persons affected by a loss of the ability to earn whether this is due to an accident or sickness. The need arises to wherever

possible, restore the status quo ante of the individual by either helping him to return to work or providing for full or partial replacement of the individual's previous income.

Occupational accident and injury schemes are among the most widespread systems of social security. If various branches of social security from different countries are examined, it is clear that almost every country, regardless of continent, will be found to have an insurance scheme to cover these risks.

In Botswana, there is a Workmen's compensation Act which is intended to provide for compensation of workers for injuries suffered or occupational diseases contracted in the course of their employment or for death resulting from such injuries or diseases. This Act obliges employers to keep all their employees insured or for them to set aside sums of money as may be determined by the Commissioner of Labour for purposes of compensating the employees for injuries suffered or occupational diseases contracted in the course of their employment or for death resulting from such injuries or diseases. It applies to any worker employed by the Government, any local authority or statutory corporation in the same way and to the same extent as if the employer were a private person. The employer will be found liable if the accident arose out of and in the course of a worker's employment and resulting in personal injury. An employer whose worker suffers personal injury or an occupational disease arising out of and in the course of the worker's employment shall be liable to pay compensation in accordance with the Act.

## **2.8 ROLE OF LABOUR ORGANISATIONS IN NATIONAL DEVELOPMENT**

It has been observed that, like other countries in the SADC, Botswana's economy remains monolithic and export-oriented with a weak industrial base. The dependence on the extraction of the primary resources such as diamonds and copper has not led to expansion in job creation while many other sectors have not shown any significant growth (Kanyenze, Kondo & Martens, 2006). In addition, the implementation of fiscal and macroeconomic measures such as the devaluations of the currency, increases in interest rates and inflation targeting have reduced the capacity of the private sector in creating employment. Efforts towards

diversification and attraction of Foreign Direct Investment (FDI) as a drive for employment creation have also remained elusive (Kanyenze, Kondo & Martens, 2006).

There are therefore several challenges arising out of the synergy of national economic policies, employment and poverty in Botswana. These challenges have reawakened labour organisations in Botswana to look beyond the core functions of collective bargaining to broader socio-economic issues that have a bearing on the workers and populace (Kalusopa, 2005:2). Labour organisations have thus over the years been engaged in issues that centre on influencing the course of national development.

On a broader analysis, as argued by many labour researchers/scholars, labour organisations are a result of capitalism, while at the same time they are in opposition to it (Good 2004; Mogalakwe, 1997; Seara, 2005). Labour organisations have played a pivotal role in the struggle against the social injustice of the capitalist system around the world. However, as ably observed by several scholars, in Botswana, a liberal democratic peripheral State, labour organisations have not yet developed as threatening pressure groups to the neo-liberal capitalist system (Good, 2004; Mogalagwe, 1997; Seara, 2005). It has often been argued that the role of the State in Botswana tends to be dualistic in nature in that while it has adopted the liberal capitalist democracy; there have also been some attempts to embrace the welfare/developmental paradigm as well. Thus government has over the years facilitated the provision of essential services such as housing, telecommunication, water, electricity and transportation through government departments and parastatals. The end result has been the dominance of government in the economy, in terms of the contribution to national output and employment.

Nevertheless, in the recent years, it has become clear that the State has been in the process of transformation from a more welfare/developmental state to a more liberal capitalist one (Kalusopa, 2009; Nthomang, 2005; Seara, 2005). In this context, it has been difficult to define clearly the relationship of the State with the different social classes such as labour organisations. It is thus important to look at the history of collective labour law to understand the role of the labour movement in national development in Botswana. As aptly put by Tswaipe (2009), there is convergence in Dingake's (2008), Mogalagwe's (1997) and Selolwane's (2009) views that indicate that the evolutionary phases of Botswana's post-independence collective labour law dispensation tend to follow developments in the growth

of the economy at the national and regional and international trends. Accordingly, in the period immediately after independence up to 1969 there was ‘fluidity’ and a general liberal environment that allowed general unionism, political unionism and secondary strikes – classic democratic expressions (Selolwane, 2009). The year 1969 marked a turning point in that the State ushered in an era of tight control over the functioning of trade unions and the industrial relations system. The constitutional amendments that brought the restrictions over white-collar civil servants came that year, so did three other pieces of legislation all aimed at controlling labour, including an Act on Regulation of Wages and Conditions of Employment, perhaps the predecessor to the present National Policy on Incomes, Employment, Prices and Profits (FES, 2008). Selolwane (2009) views the behaviour of the State over this period to be motivated by its weakness, reliance, dependence and desperation to attract private capital. Indeed this view is buttressed by the expression of official policy in the speeches of government ministers, especially in the aftermath of the major industrial action episodes such as the Miner's Strike of 1974 and the 1991 Manual Worker's Strike (Mogalakwe, 1997).

However, the new labour legislation that was promulgated in 2004 has opened up active involvement of the labour organisations in the development process. Consequently, labour organisations in Botswana can be said to be a cornerstone to economic development in that they are part of a mechanism of an effective system of industrial relations and productivity that seek to balance the need for enterprises to remain competitive with the aspiration of workers for higher wages and better working conditions. Labour organisations act as agents for labour, organizing large numbers of workers into a single entity whose collective bargaining power matches that of the employer. Labour organisations can also monitor employers’ compliance with government regulations, and can help raise workplace productivity and reduce discrimination.

At organisation level, unions provide workers with a collective voice and at micro or national level they provide advice to Government. The primary responsibility of individual labour organisations is to act as a negotiating body on behalf of its members on all matters that have a bearing on the relationship between the employer and employees who are its members (FES, 2008:). Their other responsibilities, which are by no means less important include taking up of employees’ grievances as well as the settlement of trade disputes that arise in the workplace. Where the internal mechanisms fail and/or the labour organisations and the employer cannot amicably resolve any trade dispute, they are normally taken through the

mechanism established by the Trade Disputes Act (from the labour office through to the Industrial Court).

Literature on contemporary labour relations also shows that there is now a paradigm shift towards the social trade unionism orientation (ICFTU, 2001; Wood, 2001). This is the kind of trade unionism that “has a social sense and is concerned with broader socio-economic, political as well as the immediate concerns of its members” (ICFTU, 2001:1).<sup>5</sup> This philosophical foundation is grounded in the belief of a fair social transformation and justice and aims to influence society based on “its organized power, capacity to mobilize” and building affective “political and social alliances” (ICFTU, 2001:1). It is “committed to workers’ control and democracy and to maintaining its character as a movement” (ICFTU, 2001:1). Such a trade union movement is supposed to be effective and “proactive and able to negotiate and monitor complex agreements with government and employers” as well as making meaningful contributions to national development (ICFTU, 2001:1).

However, the realisation of this global orientation to society and workers’ justice can only be realised if labour organisations adapt to the global, regional and national challenges through collectivism and solidarity with other stakeholders. Thus, in recent times, there has been a pressing call for the labour organisations to modernise their activities and business processes given that such activities and their respective processes are to a larger extent information and knowledge intensive (Kalusopa, 2008). Accordingly, the management of information in an e-environment has been singled out as one such catalyst that can provide an enabling framework that could enhance this solidarity and partnership for the good of the workers and society.

Particularly, given that globalisation continues to shape the socio-economic and political agenda, the level of information and knowledge management, skills and practices are therefore underlining success factors of most labour organizations (Kalusopa, 2008). In this context, several labour relations scholars (Hoffer, 2008; Holly & Herman, 2001; Kalusopa, 2008; Lee, 1999) have conclusively highlighted the fact that most labour organisations have embarked on a fundamental process of comprehension and utilisation of ICTs in information

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<sup>5</sup> The ICFTU is now called the International Trade Union Confederation (ITUC), formed on [1 November 2006](#) out of the merger with the [World Confederation of Labour](#) (WCL).



management. To support such a contentions and observation, Holly and Herman (2001:35) have, for example, outlined a persuasive summary of at least five ways that show labour organisations now appreciate the changing nature of the work place and the value of information and knowledge management in an e-environment for the purpose of:

- Countering the information balance in bargaining;
- Understanding and addressing industrial and social change;
- Gaining benefits from working with supportive, union-friendly organisations;
- Countering and reversing the tendency of information flows to follow and reinforce the given power structures; and
- Underpinning democratisation both within unions and in the world in which they work.

Nonetheless, as elaborated in detail in Chapter Three, it has also been observed that labour organisations have been too slow and less eager to embrace and utilise or recognise the importance of information management through the adoption of ICTs especially in any of the three broad categories of their core activities, that is, collective bargaining, providing mutual insurance and campaigning for legal change (Hoffer, 2008; Lax, 2001). However, as explained in Chapter Three, section 3.2.3, if labour organisations have to remain relevant and survive, they need to change their ways of functioning just as government and industry or business have transformed in the face of the ICT revolution. This therefore signifies that the labour organisations ought to cultivate ‘ground-breaking’ cutting-edge skills in ICTs and management of electronic records. This is, therefore, core to their participation in a competitive e-environment. It is in that respect that the current study investigates e-records readiness in labour organisations in Botswana.

## **2.9 TRENDS AND DEPTH OF E-READINESS IN BOTSWANA**

It has been argued in Chapter One, section 1.1.5 and subsequent chapters that e-readiness is the precursor to e-records readiness; and that the development of ICT infrastructure, policy and regulatory framework are the cornerstone of an effective e-environment in any country. While the concepts of e-readiness in general, and e-records readiness in particular, are reviewed and well articulated in chapter three, it is important that in discussing the context of

the study, the evolution and depth of e-readiness in general in Botswana is well understood. The following sections thus provide this background.

The Government of Botswana is said to be making remarkable progress in the development and expansion of the ICT infrastructure in the country. As alluded to in chapter one, section 1.2, government is the main driver as evidenced by the growing expenditure on ICTs since 1992 - National Development Plan 7 (NDP7).

Earlier in 2004, as a prelude to the development of the National ICT policy, an e-readiness assessment was extensively carried out. This culminated into the National ICT Policy, Maitlamo (a Setswana word which means commitment) in 2007. The e-readiness assessment showed that while Botswana holds promise, there was low incidence in the use of e-commerce; activities such as remote data entry, and programming were still low while the ICT industry remains foreign dominated with limited local content. Further, the quality of the network access by telecommunication operators was said to be wanting. The level of policy and legal framework and human resource development also remained weak (Maitlamo, 2004).

Arising from the above, the country has now put in place the National Information and Communications Technology Policy (NICT), adopted by government in May, 2007, which identifies a number of initiatives that underline the development of an e-environment in Botswana. For example, Section 2.4.2 of the NICT states that government services will be available electronically and underscores the need for all organisations in the country to make efforts to ensure that they adopt ICT to ensure access to government services electronically as well as share with other sectors of the economy. Following from this, most organisations (public, private, NGOs, trade union, etc) are now taking the initiative and have computerised their business processes and functions to support service delivery, thus generally contributing to the move towards an effective e-environment and information society (see Table 2). Accordingly, this is being supported by massive development of major network infrastructure and security initiatives including the liberalization of the telecommunication sector, telecommunication and broadcasting services, consumer protection and social responsibility in the telecommunication sector.

**Table 2: Priority e-government services as identified by Maitlamo**

SNO	Service	Description
1	OMANG Registration	Registration of National Identity Cards (Oman). Oman provides all Batswana over 16 years of age with a national identity card & number. This should be linked with Births & Deaths Registration service.
2	Birth & Death Registration	Registration of births and deaths will go along with OMANG Registration service.
3	Vehicle Registration & Licensing	Providing license plate renewal, tax stickers, change of address, booking of road tests, booking for driver training, disabled parking permits etc.
4	Company Registration & Business Licensing	Registration of companies, name search & approval, business start-up information etc.
5	Electronic Tax Filing	Filing of both personal & corporate taxes as well as VAT claims etc.
6	Construction Permits	The issuance of construction permits is an important companion to the Land Allocation Process service.
7	Work & Resident Permits	Processing of all the work & resident permits etc.
8	Passport applications	Application of Passports etc.
9	Patents & Trademarks	The issuance of Patents, Trademarks and Industrial Designs on-line.
10	E-post	All possible postal services like letter & package tracking, digital storage etc.
11	Integrated Justice	Electronic case management/tracking, document tracking, video based testimony etc.
12	E-laws	Providing electronic access to up-to-date official versions of the laws of Botswana.
13	Electronic Tendering	Government procurement process.
14	E-publications	Providing all government forms and publications.
15	Pension benefits	Registration for pension benefits.
16	E-tourism	Providing tourism related services i.e. VISA, Tourism Sites, booking etc.
17	Job On-line	Providing Government Vacancy information, applying for the vacancy etc.
18	Marriage Registration	Registration of all the married couples
19	E-policing	Traffic offence, Case registration, Application for a police clearance certificate etc.

Ministry of Communications, Science and Technology (2007)

The NICT policy is thus a framework that sets guidelines on the development and utilisation of ICTs in national development and supports an effective e-environment in the country

(Ministry of Communications, Science and Technology, 2007). It is often stated that the overall objective of the NICT Policy is to complement and build upon Botswana's Vision 2016 strategy (Botswana's long term development strategy) by cultivating an enabling e-environment for the growth of the country's ICT industry, providing universal service and nationwide access to information and communication facilities, and positioning Botswana as a global competitor in the ICT sector.

The NICT Policy envisions wide-ranging objectives that among others include the provision of an efficient and cost-effective ICT infrastructure, establishing universal access to local and relevant information, instituting an ICT legal framework, and enhancing government services and health care through the use of ICTs. This, it is asserted, is with the view to preparing the nation to participate, learn and innovate in the information and knowledge based society and an economy that is diversified and attractive to foreign investment (Ramaribana, 2005). In this context, the NICT Policy can therefore be seen as a roadmap for the effective utilisation of ICT as a vehicle for social, economic, cultural and political development in the country. The NICT Policy covers agriculture, civil society (including labour organizations), economy, education, government, health, law, and infrastructure among other sectors.

The NICT Policy also envisages creation of a legal framework through instituting legislation relating to the regulation, privacy, security, and cyber crime. In terms of infrastructure development, the NICT Policy espouses the need for technical and physical infrastructure development, network quality, infrastructure standards, ICT systems security and privacy standards, emerging technologies, human resource development, and ICT infrastructure management. The NICT Policy has a component on connecting communities whose goal is to provide residents of rural, remote and urban areas affordable access to information and communication technologies, especially computers and the Internet (Ministry of Communication Science and Technology, 2007).

The NICT Policy is also explicit about Botswana becoming a globally competitive, knowledge and information society where lasting improvements in social, economic and cultural development is achieved through effective use of ICTs. Through the NICT Policy, the government has created an enabling environment for mainstreaming information and communication technology into the development agenda of the country. The NICT Policy is buttressed by the National Research Science and Technology Plan which identifies two key

ICT development focus areas, namely: a) appropriate access technology; and b) software engineering respectively. Appropriate access technology, focuses on research aimed at improving communications. Botswana has almost completed the liberalization of the telecommunication sector resulting in pervasive and ubiquitous use of mobile phones in the general population in Botswana surpassing fixed-line by eight times. The NICT Policy creates opportunities for all sectors of the economy (government, labour, NGOs, communities, business, health, education, etc) to apply ICTs to solve organisational and national problems as well as share such experiences with other countries.

Besides the NICT Policy, Botswana has in place Universal Access and Service Policy aimed at facilitating the provision of communications throughout Botswana. The emphasis of this policy will be on improving telecommunication services and connectivity to underserved areas by broadening its service base from the formal sector (corporate services) to extending services to households in both urban and rural areas. The Botswana Telecommunication Company (BTC) has also a policy of providing at “least one pay phone in every village of the country with more than a population of 500” (Mbarika, Raymond & Byrd, 2002:724). The Universal Access and Service Policy advocates for establishment of a Universal Service Fund that would assist service providers by subsidizing the installation and provision of communication service areas, which would otherwise not be commercially viable (Odirile, 2007).

## **2.10 E-RECORDS MANAGEMENT IN LABOUR ORGANISATIONS IN BOTSWANA**

As the literature review in Chapter 3 will show, there is a dearth of literature on e-records and information management practices in labour organisations in Botswana. A snap exploratory study by Kalusopa (2009) shows that most of the labour organisations experienced several challenges that include:

- the inability to reach the majority of the workers (failure to reach critical mass). The BFTU has not been successful in bringing all of their national union affiliates on-line. The failure to reach critical mass has been a result of various reasons such as the design of information support systems and lack of information resources.

- limited budget for training in information management, limited information and lack of training development policy in information management.
- slowness in the adaptation to the use of ICTs or resistance to the use of e-forms of communication or interaction as confirmed by most respondents indicating that the e-mail even at their workplaces was least used for trade union activities such as building solidarity.
- high dependence on personal experience, internal manual communication with slow indication of the existence and use of websites.

Though the study focused on information management in general and did not go into depth regarding the depth of e-records readiness, it does provide some baseline information on the challenges of information management in labour organisations in Botswana. This, therefore, underlines the need for understanding the breadth and depth of e-records readiness in such organisations that the study explored.

## **2.11 SUMMARY**

This chapter has provided an overview of the context and location of the study – labour organisations in Botswana; the political economy of Botswana; historical trends of labour organisations in Botswana; the role of labour organisation in the national development process and the operations of labour organisations in an e-environment; trends and depth of e-readiness in Botswana, and the importance of records and information management in labour organisations in Botswana.

The key themes that have emerged from Chapter Two were that labour organisations are key partners in national development and their participation in the development process underscores the need for such organisations to embrace the effective management of records and information. This is so because labour organisations' activities are largely knowledge-based and information intensive and that the challenges of conception, initiation, implementation, monitoring and evaluation of their activities requires the provision of reliable, pertinent and timely information. The chapter thus alludes to the fact that although labour organisations have been slow to adapt modern information management techniques, there is a general consensus that points to the fact that well-managed records and information delivery systems in labour organisations in the world, particularly in Botswana, can actually

facilitate problem definition, measurement and analysis, taking inventories and gainful decisions, and evaluation of the plans and programmes.

The context of the study as articulated in this chapter thus lays ground for the subsequent chapter that discusses the theoretical framework and literature review on the ICT uptake; e-records management and e-records readiness models and their relevance to the understanding of the depth and breadth of e-records readiness in labour organisations in Botswana.

## **CHAPTER THREE**

### **LITERATURE REVIEW AND CONCEPTUAL FRAMEWORK OF THE STUDY**

#### **3.1 INTRODUCTION**

The underlying importance of literature review and conceptual or theoretical framework has been well articulated and acknowledged as the basis for any scholarly work such as this thesis (Creswell, 2003; Kemoni, 2007; Ngulube, 2003). Chapter Three, therefore, presents a theoretical or conceptual review of the key contending theories and models relevant to the current study based on the research objectives at hand. These include the innovation diffusion model; technology acceptance model; records life-cycle and records continuum models. The chapter also reviews literature related to the adoption of ICTs in labour organisations. Further, in this chapter, a discourse on the review of related and empirical literature on the dynamics and status of the management of e-records in selected parts of the world, ESARBICA and Botswana is presented. E-readiness assessment models in general and e-records readiness assessment models/tools in particular and their relevance to this study are critically reviewed and discussed.

#### **3.2 LITERATURE REVIEW**

According to Hart (1998), literature review is the selection of available documents both published and unpublished on the topic of study which contain information, ideas, data and evidence written from a particular standpoint to fulfill certain aims or express certain views on the nature of the topic and how it will be investigated. Aina (2004) also posits that literature review is the guide that assists researchers to accomplish their research tasks. It enables the researcher to choose an appropriate research topic, prepare an adequate research plan and formulate reliable objectives, research questions and hypotheses. Literature review further assists researchers in designing appropriate research methodologies and data collection instruments. A researcher wishing to review literature can use books, scholarly



journal articles, dissertations and government documents or policies. Cooper (1988:104) also observes that:

...a literature review uses as its database reports of primary or original scholarship, and does not report new primary scholarship itself. The primary reports used in the literature may be verbal, but in the vast majority of cases reports are written documents. The types of scholarship may be empirical, theoretical, critical/analytic, or methodological in nature. Second, a literature review seeks to describe, summarise, evaluate, clarify and/or integrate the content of primary reports.

Further, the Emerald Publishing Group (2010:1) authors guide on writing literature review notes that:

... literature review may be purely descriptive, as in an annotated bibliography, or it may provide a critical assessment of the literature in a particular field, stating where the weaknesses and gaps are, contrasting the views of particular authors, or raising questions. Such a review will not just be a summary but will also evaluate and show relationships between different materials, so that key themes emerge. Even a descriptive review however should not just list and paraphrase, but should add comment and bring out themes and trends.

As observed by Kaniki (2002), literature review can thus be historical, thematic, theoretical or empirical and it is usually recommended that a combination of these may be adopted. This current study also adopts a combination of these.

Both Ngulube (2003) and Creswell (2003) underscore the link between literature review and the conceptual framework and thus concur that irrespective of whether a study pursues a deductive or inductive model, literature review assists in identifying theories and ideas that are tested for the purpose of developing a theoretical or conceptual framework.

The purpose of this literature review is to establish the theoretical and conceptual framework of the study on e-records readiness. In this regard this chapter reviews literature on ICT adoption and use as the first premise of understanding e-record readiness. It further reviews the strategies in the management of electronic records within the context of understanding the usefulness of existing e-records readiness assessment models and tools. This is because understanding e-readiness and e-records readiness assessment models forms the basis for first, establishing the general picture and extent in terms of benefits and challenges of the electronic records management in general; and second, providing a framework for the

development of a methodology in assessing the depth of the e-records readiness in the labour organisation in Botswana which is presented in Chapter 4. For the purpose of this study, the sources of information for the relevant literature reviewed was developed based on the various sources collected in documentary and electronic form that were a review of broader and specific issues relating to the ICTs adoption and use; management of electronic records in developed as well as developing countries, e-readiness, and e-records readiness in the ESARBICA region, particularly Botswana.

### **3.3 THEORIES, MODELS AND CONCEPTUAL FRAMEWORK**

Theories exist in different fields of study. Theories are analytical tools for understanding, explaining and making predictions about a phenomenon or subject matter. A scientific theory can be thought of as a model of reality, and its statements as axioms of some axiomatic system (Cornford, 1991). In this context, the world is an interpretation (or model) of such scientific theories, only insofar as the sciences are true (Cornford, 1991). Models can therefore be used to explain theories. A model is a simplified representation of a real situation including the main features of the real situation it represents (Botha, 1989; Cornford, 1991; Kemoni, 2008). Koutsoyiannis (1979) explains that models serve the purpose of analysis and prediction. As aptly put by Kemoni (2008:1), their validity is normally “judged on several criteria, namely: its predictive power, the consistency and realism of its assumptions, the extent of information it provides, and its generality and simplicity”. This implies that it is usually complex to study the physical world without recourse to models.

On the other hand, “conceptual or theoretical frameworks are a type of intermediate theory that attempt to connect to all aspects of inquiry” (Botha, 1989:1). Botha (1989) posits that the problem definition, purpose, literature review, methodology, data collection and analysis of any inquiry are woven by a conceptual or theoretical framework. He further adds that conceptual frameworks can act like maps that give coherence to empirical inquiry. This means that because conceptual frameworks are potentially so close to empirical inquiry, they take different forms depending upon the research question or problem. Creswell (2003) also confirms the role of theories in any research and adds that the use of theories can be placed to deductively (as in quantitative methodology), inductively (in qualitative methodology) or both deductively/inductively (as in mixed methods) to explain the phenomenon under study.

As articulated in Chapter 4, this study used largely quantitative paradigms but was complemented by methodological triangulation of both quantitative and qualitative data collection techniques. As is alluded to in subsequent sections, the question of understanding e-records readiness in labour organisations is certainly a complex one. This therefore requires the collaboration of different theories and models to give grounded coherence to such an inquiry. In this context, the current study uses a combination of technology acceptance models, records management and archival science conceptual frameworks to both deductively and inductively guide the inquiry.

In records management, archival science and information management, experts and practitioners have acknowledged the complexity and dynamism of the theory and practice of managing records and information in the electronic age over the years (Bantin, 2002; Cox, 1996; Keakopa, 2006; McKemmish, 1997). As earlier acknowledged in Chapter 1, the last decade has witnessed an unprecedented diffusion of ICTs through the spread in the “use of personal computers and local area networks, the maturing of the Internet, and the development of the World Wide Web and its enabling browser interface software” (Bantin, 2002:47). This resulted in “the emergence of networking and the widespread sharing of information, of the transformation from personal to work group computing, and of enterprise architecture and integrated systems” (Bantin, 2002:47).

It is during this time that “the power of computing and document creation passed out of the hands of traditional centralized providers of data and into the hands of individual workers” with the “resultant transformations in the flow of inter and intra-organisational information and in workflow and business processes dramatically and irrevocably altering the workplace” (Bantin, 2002:47). This transformation, it has been argued, has altered the form of a record into hypermedia documents, dynamic documents, e-mail, etc, promoting challenges in the definition, theory and practice of the management of records in most organisations.

As indicated, there are various theories and models that are relevant to this current study based on the objectives cited in Chapter 1. They include among others: the diffusion of innovation theory, technology acceptance model, the records life-cycle model, the records continuum model and the integrated records management model. These theories and models were chosen because of their substantial research base and that in literature they discuss closely the issues and variables pertinent to this current study. More so, they seem to be the

most commonly used in records and information management related studies. Thus, for example, over the years, the issue of ICT adoption or uptake in organisations has been discussed in many disciplines including information science (Davis, 1989; Rogers, 1995; Sechele & Kalusopa, 2009; Straub, 2009); while strategies for managing electronic records have been explained and illustrated by key contending records management models or theoretical framework such as the records life-cycle model (Shepherd & Yeo, 2003) and the records continuum (Upward, 2005; Xiaomi, 2003). The centrality and influence of these theories and models in understanding the level of ICT uptake on one hand; and the management and assessment of e-records readiness in any organisation, on another, are further described below.

### **3.3.1 ICT uptake and use theories and models: an overview**

One of the key objectives of the current study was to establish ICT uptake and use in labour organisations. In Chapter One and Two, it was demonstrated that the advent of ICTs has transformed the way many organisations create, store, disseminate, and use records and information. It was advanced that owing to this, organisations world over are conducting their business functions using different ICT platforms. As a result of this, more and more records are being generated electronically. It was further argued that the creation and management of e-records and information has thus gained significance and is premised on this. This current study, therefore, found it appropriate to discuss the question of ICT uptake and use in labour organisations. That is so because such a discussion should be able to provide background information to understanding the assessment of e-records readiness in these organisations. ICTs are the basis and platform on which e-records thrive and understanding the level of their uptake and use is therefore fundamental to the question of e-records readiness. In this context, it was also equally appropriate to discuss the technology adoption and diffusion models as conceptual and methodological frameworks for the assessment of the ICT uptake and use in labour organisations. The next section presents discussions around the technology adoption and diffusion theories and models.

#### **3.3.1.1 ICT adoption and diffusion theories models**

This decision of whether an individual, let alone an organisation will adopt a particular technology and the time frame involved with that decision has been a long source of research

across multiple disciplines (Davis, 1989; Roger, 1995; Straub, 2009). ICT adoption is a complex, inherently social and developmental process (Straub, 2009:625). People and organisations will therefore react differently to the introduction of new technology. Some readily accept and adopt new technologies while others resist new technology; another category may simply wait for some time before they accept new technology. It is thus said that individuals construct unique perceptions of technology that influence the adoption process. The successful facilitation of technology adoption needs to address cognitive, emotional, and contextual concerns. Some pertinent and generic questions relevant to the current study are that:

- What type of ICTs do organisations adopt and use?
- How and why do organisations adopt ICTs?
- How could one understand the basic ICT adoption construct of usefulness in organisations?
- What are the possible effects of the continuous cycle of adoption in organisations and society today?
- What do people know about technology adoption outside of the formal organisation?

Arising out the above, many models drawn from different fields of knowledge have been developed as an attempt to understand and explain the behaviour of people and organisations towards technology. According to Straub (2009:625) the adoption theory “examines the individual and the choices an individual makes to accept or reject a particular innovation”. As advanced in some models, adoption is “not only the choice to accept an innovation but also the extent to which that innovation is integrated into the appropriate context”. Straub (2009:625) also argues that “adoption theory, then, is a micro-perspective on change, focusing not on the whole but rather the pieces that make up the whole” and that “in contrast, diffusion theory describes how an innovation spreads through a population”. It may consider factors like time and social pressures to explain the process of how a population adopts the technology. Consequently, diffusion theory takes a macro-perspective on the spread of an innovation across time.

For the purpose of this current study, adoption and diffusion refers to ICT uptake and use. This implies the examination of how labour organisations adopt, adapt to, or reject particular ICTs and the associated innovations thereof. ICTs in this case are broadly defined as

technologies used in the collection, processing and dissemination of information. The terms adoption and diffusion are thus collectively used to imply uptake and use of ICTs in labour organisations.

It is important to note that no one theory or model can be easily and exclusively used to understand the processes in which an individual or organisation engages before adopting technology. Thus, although adoption and diffusion theories address different aspects of behavioural changes, most share certain commonalities and assumptions (Straub, 2009:626). The literature shows that most of the models see the adoption process not as a single event; whereas the decision to or not to adopt technologies can be a one-time event. In addition, the approach taken by one does not necessarily take place in a vacuum but in a particular context. Further, most argue that beliefs and attitudes formed over time can also influence decisions in adopting technologies.

Though there are several theories and models that have been developed, this current study focuses on Rogers' (2003) innovation and diffusion theory and the technology acceptance models. The key tenets of these models and their influence on the current study are discussed below.

#### ***3.3.1.1.1 Innovation Diffusion Theory (IDT) Model***

The Innovation Diffusion Theory (IDT) was developed by Rogers (1995). Rogers' (2003) IDT has provided a rich framework for understanding the factors and processes involved in the adoption of innovations or technologies in a wide range of areas (Rogers, 2003). Rogers (2003) viewed the diffusion of innovation as “a process whereby an innovation is communicated through certain channels over time among members of a social system” (Rogers, 1995:10). Rogers' model covers innovation and diffusion of that innovation. An innovation according to Rogers (1995:12) is “an idea, practice, or object that is perceived as new by an individual or other unit adoption”. An innovation does not have to be “objectively new” but rather perceived as new. Moreover, “newness of an innovation may be expressed in terms of knowledge, persuasion, or decision to adopt (Rogers, 2003:12). According to Rogers, the rate of adoption impacts on the following five attributes, namely:

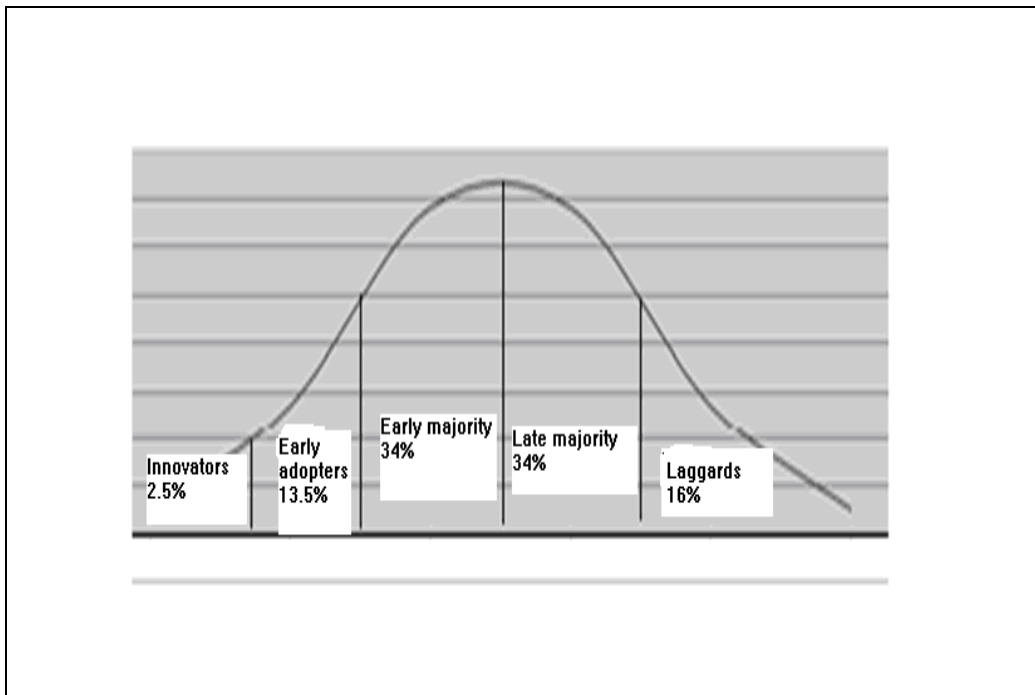
- Relative advantage;
- Compatibility;

- Complexity;
- Trialability; and
- Observability.

Relative advantage is the degree to which an innovation is perceived as better than the idea it supersedes. In other words, it is the perception of an individual that the innovation will be better or worse than similar ideas. Those innovations that are perceived to be better will be adopted more rapidly than others. Compatibility refers to the degree to which an innovation is perceived as being consistent with the existing values, past experiences and needs of potential adopters. Complexity on the other hand is the degree to which an innovation is perceived as difficult to understand and use. Trialability is defined as the degree to which an innovation may be experimented with on a limited basis. Observability is the degree to which the results of an innovation are visible to others. The idea behind observability is similar to unspoken peer pressure; if everyone else has an innovation, an individual will be more likely to adopt it as well. Observability leads to a social threshold, the point when an innovation becomes so pervasive in a culture that even those who would not normally adopt, consider adoption of an innovation (Rogers, 2003:12).

Rogers' (2003) model is shown in figure 1. This widely used model demonstrates that adopter distribution over time can be represented by a normal bell shape curve which depicts innovators, early adopters, early majority, late majority, and laggards. Innovators are usually intrinsically motivated to use new technologies and tolerate ambiguity and setbacks. Early adopters are opinion leaders or role models. They have extrinsic reasons to adopt innovations. The early majority are well respected by their peers, but not leaders, while the late majority group includes followers and skeptics. This group may adopt an innovation as a result of peer pressure.

**Figure 1: Rogers' adopters' categories**



(Source: Rogers, 1995:262)

The model is represented by a normal, bell-shaped (frequency) curve, where the first segment (2.5%) represents innovators, the second segment (13.5%) represents early adopters, followed by the early majority (34%), located between the mean date of adoption and the mean minus one standard deviation, and late majority (34%), the segment between the mean date of adoption and the mean plus one standard deviation. The last 16% are described by Rogers as laggards, and include those who resist change.

Rogers' (1995) IDT theory provides the fundamental groundwork synthesis of adoption-diffusion literature across disciplines. Over the years, the theory has been used in the research either directly or implicitly through its influence and integration into other theories. Rogers' theory has influenced other research of adoption and diffusion (Boyne; Gould-Williams & Walker 2005; Deffuant, Huet & Amblard, 2005; Pennington, 2004; Venkatesh, et al.; 2003).

One of the criticisms of the model is that, although it provides a framework, "the breadth and depth of the theory, makes it difficult to frame a single study within the structure" (Straub, 2009:630). The model is also seen to be "primarily descriptive rather than prescriptive, in that it does not tell how to facilitate adoption but rather why adoption occurs" (Straub, 2009:630).



Further, it has been argued that since it can be applied to any discipline, a specific implementation of the model may require some modification to suit different contexts. The major strength of the model, however, is that the framework is flexible enough to fit both a formal and informal adoption environment.

In relation to the current study, Rogers' model presents variables that are relevant in understanding the ICT uptake and in labour organisations in Botswana. Specifically:

- Innovation (this refers to variety of ICTs being adopted in labour organisations);
- members of the social system (Executive members and membership in labour organisations);
- Communication channels (these refer to information sources, resources and services in support activities in labour organisations); and
- Complexity (these are intricacies and challenges of the applications of ICTs in labour organisations) and social system (labour organisations).

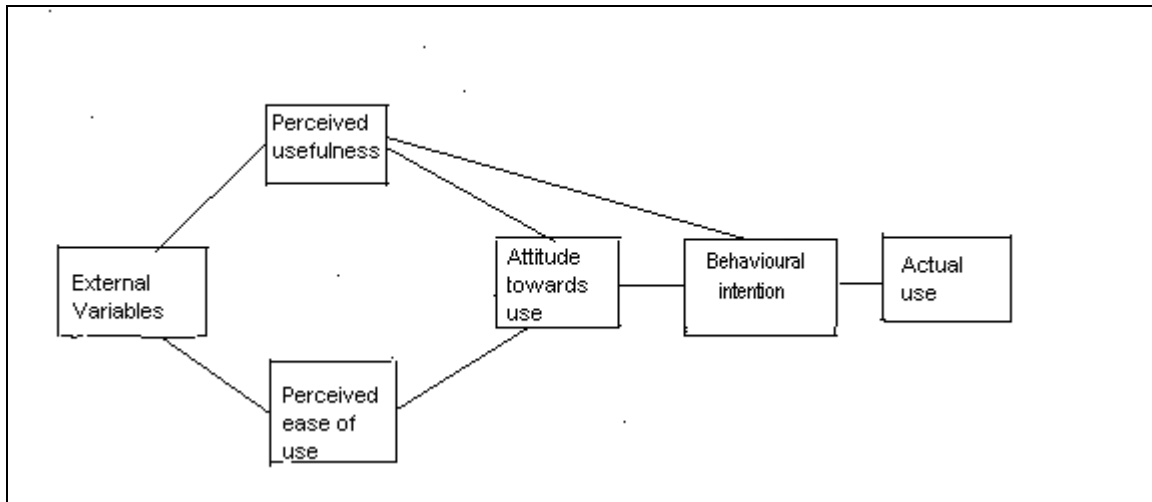
#### ***3.3.1.1.2 Technology Acceptance Model (TAM)***

Technology Acceptance Model (TAM) was developed by Davis in 1989. TAM was developed to provide an explanation of the determinants of computer acceptance across a broad range of end-user computing technologies and user populations, while also being both economically and theoretically justified (Davis, 1989). TAM is an adaptation of the Theory of Reason Action (TRA) in literature. According to TRA, a person's performance of a specified behaviour is determined by his or her behavioural intention (BI) to perform the behaviour and (BI) is jointly determined by the person's attitude (A) and subjective norm (SN) concerning the behaviour in question (Ajzen & Fishbein, 1980). TAM posits that when users are presented with a new information technology, a number of factors influence their decision about how and when they will use it. Notable among the factors are:

- Perceived Usefulness: This is defined as the degree to which a person believes that using a particular technology would enhance his or her performance.
- Perceived Ease of Use: This is defined as the degree to which a person believes that using a particular technology would be free from effort.

These two factors, according to Davis (1989) determine an individual's intention to use the technology. Perceived usefulness is seen as being directly impacted by perceived ease of use. Figure 2 shows the graphical representation of the TAM model.

**Figure 2: Technology Acceptance Model (TAM)**



(Source: Davies, 1989)

TAM has strong behavioural elements and assumes that when someone forms an intention to act, she/he will be free to act without limitation. In practice, constraints such as limited ability, time, environmental or organisational limits, and unconsciousness affect the freedom to act. This is to say that in an electronic environment, a user that forms an intention to use ICTs is free to do so to an unlimited extent; but challenges and problems encountered in the process may limit such intention.

Several researchers have replicated Davis' original study (Davis, 1989) to provide empirical evidence on the relationships that exist between usefulness, ease of use and system use (Adams, Nelson & Todd, 1992; Davis, Bagozzi, & Warshaw, 1989; Hendrickson, Massey & Cronan, 1993; Segars & Grover, 1993; Subramanian, 1994; Szajna, 1994). Earlier studies were mostly focused on testing the robustness and validity of the questionnaire instrument used. For instance, Adams, Nelson and Todd (1992) replicated the work of Davis (1989) to demonstrate the validity and reliability of his instrument and his measurement scales. They also extended it to different settings and, using two different samples and demonstrated the internal consistency and replication reliability of the two scales. Hendrickson, Massey and Cronan (1993) also found high reliability and good test-retest reliability. Szajna (1994) found that the instrument had predictive validity for intent to use, self-reported usage and attitude

toward use. The sum of this research is said to have confirmed the validity of the Davis' (1986) instrument, and to support its use with different populations of users and different software choices. Some other research on the technology acceptance model (TAM) by Venkatesh and Davis (2000) was also developed to further strengthen a complete idea of ICT use (Taylor & Todd, 1995). Following from this, there are more empirical data to support TAM (Hu, Chau, Liu Sheng, Tam & Yan 1999; Keil, Beranek & Konsynski, 1995) and critical reviews about why to use TAM with ICT (Legris, Ingham & Collette, 2003).

Others have criticised TAM as a theory that lacks falsifiability; has questionable heuristic values; limited explanatory and predictive power; is trivial, and lacks any practical value (Chuttur, 2009). However, Venkatesh and Davis (2000) extended the original TAM model to explain perceived usefulness and usage intentions in terms of social influence and cognitive instrumental processes. The extended model, referred to as TAM2, was tested in both voluntary and mandatory settings. The results strongly supported TAM2 (Venkatesh & Davis, 2000). In an attempt to integrate the main competing user acceptance models, Venkatesh, Morris, Davis and Davis (2003) formulated the Unified Theory of Acceptance and Use of Technology (UTAUT).

In information science literature, several theories and models have arisen particularly out of the TAM, trying specifically to predict computer use through personal factors. For example, Venkatesh, Morris, Davis and Davis (2003) presented a comprehensive review and history of the various theories used to predict computer use in the past few decades. These are primarily quantitative theories used to inform organisations about who will adopt an innovation most quickly. TAM has thus been used in many settings to explain acceptance because it provides quantifiable variables for understanding predispositions to adoption. However, most of the individual theories have been criticised as being fragmented, lacking a cohesive model that accounts for the numerous factors that influence technology use. For instance, Southern and Tilley (2000:142) argued that most of the earlier studies on ICTs adoption in the large organisation had taken a strong influence of “quantitative approaches” and “falls into technologically deterministic approach” which underplay qualitative aspects of why ICTs are adopted in small firms. In all, it has been argued that TAM and UTAUT, as theories and models have shown easy applicability in various settings.

The TAM models are relevant to this study in many ways in understanding the various factors that determine the uptake and use of ICTs in labour organisations. These could include attitudes of users that could be based on perceptions of usefulness to their goals or ease of use or application to their work. Thus variables relevant to the current study from this model include: usefulness (i.e. use and utilization of ICTs by labour organisations in Botswana), constraints or factors limiting use (i.e. challenges of using ICTs in labour organisations in Botswana), attitude towards use (i.e. attitudes of staff in labour organisations), and external variables (e.g. information management skills needed to use ICTs, and infrastructure or technologies available in labour organisations).

In terms of ICT adoption and its impact, many empirical studies have been carried out over the years all over the world. Most of the research has tended to focus on ICT adoption at certain levels in organisations, sectors, or groups of people. For example, Daniel and Wilson (2002) have compared the intension and benefits of e-commerce adoption by small medium enterprises (SMEs) in the United Kingdom. Coombs, Doherty and Loan-Clarke (1999) surveyed the three areas of best practice of adoption, level of organisational impact, and performance of the system. Karahanna, Straub and Chervany (1999), studied the pre-adoption and post-adoption of ICT processes and concluded that the belief and attitude of IT usage and benefits are limited. There are also a number of studies undertaken in Southern Africa focusing on organisations, sectors or groups of people in the recent past. Some notable ones that present useful insights in terms of background literature, conceptual analysis and methodology largely focused on e-business such as SMEs to access business information services (Chiwara & Dick, 2008); e-readiness or ICT adoption among SMEs (Chiwara & Dick, 2008; Gibbs, Sequeira & White, 2007; Mutula & Van Brakel, 2006); internet adoption in advantaged and disadvantaged groups (Brown & Licker, 2003); adoption (bolus) information systems in agriculture (Sechele & Kalusopa, 2009). Others have tended to focus on ICT adoption in the public sector in the context of e-government (Bwalya, 2009; Bwalya & Healy, 2010). With specific reference to labour organisation, there appears to be some dearth of empirical literature in developing countries, particularly in Botswana as elaborated in Section 3.2.3. While this may be an area for further in-depth study, the current study only assesses the ICT uptake and use as a basis for understanding the status of e-records readiness in labour organisations in Botswana.

### **3.3.2 Records management theories and models: overview**

The overall objective of the current study was to assess e-records readiness in labour organisations in Botswana. Arising from this, one of the key specific objectives was to establish the current records and information management practices in labour organisations in Botswana. In the same vein, the study also sought to ascertain the best-practice framework of the integration and managing e-records in the labour organisations in Botswana. In this context, it was, therefore, considered appropriate that both the records life-cycle and records continuum models inform the current study. The underlying assumption was that labour organisations, like any other organisation, may be grappling with the management of both paper and electronic records hence the need to understand the extent of their management of such records. Further, understanding the integration of ICT with records management practices was also premised on these existing records management theories and model. Following from this, both models have an influence in understanding the guidelines and strategies in the management of records as well as the depth of the e-records readiness in labour organisations in Botswana.

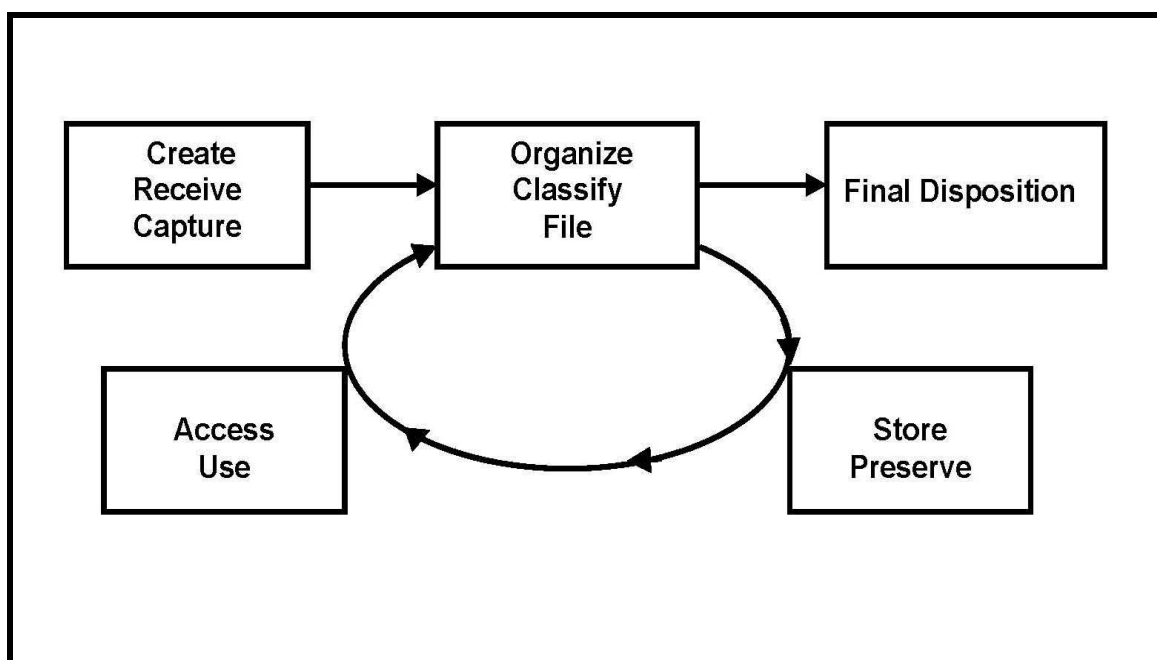
#### **3.3.2.1 The records life-cycle theory**

The life-cycle model espouses the management of records as involving different stages and also defines specific records management responsibilities (Shepherd & Yeo, 2003). Bantin (2002) posits that this model is predominantly applied by North American archivists and likens the record to a biological organism. In this context, records are born at the creation stage, later used and maintained within the office of creation; and in their old state (disposition stage), they are either transferred to the archives or destroyed (Shepherd & Yeo, 2003). Thus records can be said to undergo three main phases, namely; the active stage (current), semi-active stage (semi-active), and inactive stage (non-current stage) where the responsibility for their upkeep begins with the office of creation, to the records centre and lastly disposition or permanent storage as archives (Parker, 1999; Shepherd & Yeo, 2003). During the creation stage, records are actively used in the conduct of daily business operations. Records creators have the primary responsibility for managing the records.

Records are created in Records Management Units, in offices and received from external organisations. Records management personnel are actively involved in this stage to ensure that correspondence is placed in the correct files. At the usage stage, records are transmitted

to those who need them and upon receipt are used in the conduct of business activities. During the storage and maintenance stage, records are stored according to a logical scheme to allow for easy retrieval. They are put in storage equipment, protected and maintained to safeguard the integrity of the information contained in the records. At the disposition stage, records decline in value. Those with no permanent value are destroyed and those of archival or enduring value are transferred to archival institutions for permanent preservation. Figure 3 illustrates this classical view that has guided the theory and practice of the management of records and archival materials over the years.

**Figure 3: Records life-cycle model**



(Source: IRMT, 1999)

Most records management and archival experts argue that controlling records throughout the life-cycle is the basis for effective records management. Thus the definition and concept of records management rests on the basis that records pass through phases during their life which makes it possible for an organisation to control the quality and quantity of the information that it creates, from the active, semi-active and inactive phases of the life-cycle (Parker, 1999; Shepherd & Yeo, 2003). The life-cycle model of records has attracted a lot of criticism in favour of the continuum concept since the 1980s. McKemmish (1997) asserts that under the life-cycle model, the archives and the archiving functions would be located within the walls of the archival repositories. Accordingly, records managers would often be confined to managing records in the central filing systems and the registries, while archivist would

handle records at end of the life-cycle. McKemmish (1997) thus maintains that all versions of the life-cycle concept share a demarcated view of the work of records managers and archivists and reiterates that the competencies and responsibilities of records managers and archivists are represented as being concerned exclusively with different stages in the life-cycle, and with the different recordkeeping purposes associated with these stages. It is this worldview that is fundamentally challenged by records continuum thinking and practice.

### **3.3.2.2 The records continuum model**

Bantin (2002) posits that the records continuum model resulted as a critique of the life-cycle model. The model was viewed as an alternative model with the advent of electronic records. This arose out of the fact that some records do not need to go through all the stages in the life-cycle model. Thus, for example, some records could be appraised and destroyed immediately after creation. It is thus argued that the primary motivation for formulating this model was the lack of strategy for active and early intervention by the archivist in the records process in the electronic environment. In this context, the major distinction between the continuum and life-cycle models is that the life-cycle model proposes a strict separation of records responsibilities whereas the continuum model is based upon an integration of the responsibilities and accountabilities associated with the management of records.

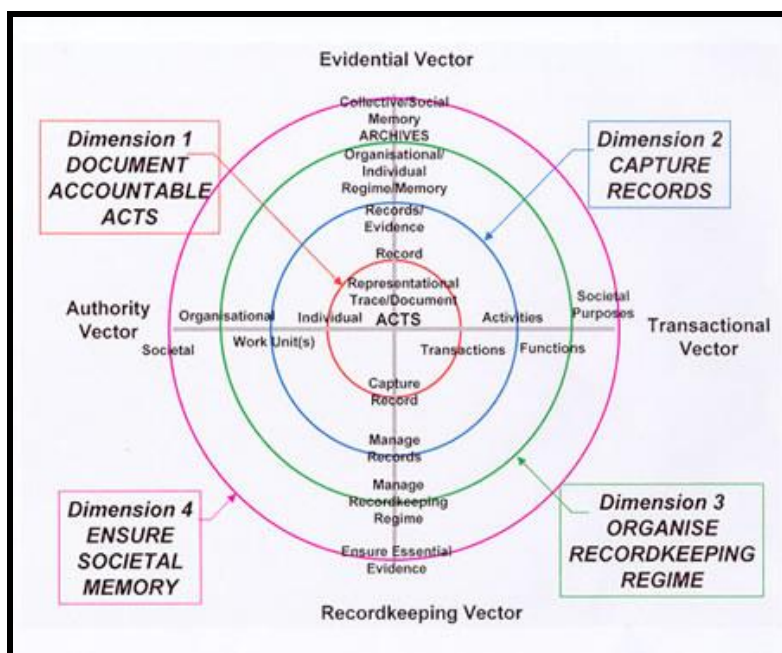
The model focuses on the nature of records, the recordkeeping processes, the behaviours and relationships of records in certain environments, and the digital world. In terms of elements of definition, the continuum model emphasis is on content, context and structure. Atherton (1985) affirmed that all stages of the records life are thus interrelated, forming a continuum in which both records managers and archivists are involved, to varying degrees. This model was refined in the 1990s by Australian archival expert Frank Upward. Upward (1998) put forward the following four principles:

- a) A concept of 'records' which is inclusive of records of continuing value (archives), which stresses their uses for transactional, evidentiary and memory purposes, and which unifies approaches to archiving/recordkeeping whether records are kept for a split second or a millennium;
- b) A focus on records as logical rather than physical entities, regardless of whether they are in paper or electronic form;

- c) Institutionalisation of the recordkeeping profession's role requires a particular emphasis on the need to integrate recordkeeping into business and societal processes and purposes; and
- d) Archival science is the foundation for organising knowledge about recordkeeping. Such knowledge is revisable but can be structured and explored in terms of the operation of principles for action in the past, the present, and the future.

The records continuum model provides a useful framework for the exploration of the continuum of responsibilities that relate to recordkeeping. Upward (1998) argued that the continuum model was a departure from the traditional approach taken by archival institutions that acknowledge that in the electronic age since physical custody is no longer an essential element of the preservation strategy. According to Upward (1998) the continuum model has four dimensions mainly creation, capturing, organising and pluralising. These dimensions, it is argued, are coordinated and integrated as different recordkeeping activities and can take place simultaneously across all the stages. These are called the evidence, transactional and identity axis. Records continuum model involve records of continuing value known as archives. It stresses their uses for transactional, evidentiary and memory purposes which codifies approaches to archiving and recordkeeping. The above description is presented in Figure 4.

**Figure 4: Records continuum model**



(Source: Upward, 1998)



A records continuum perspective can be contrasted with the life-cycle model which argues that there are clearly definable stages in recordkeeping. While the stages of a document may be quite evident in a paper environment, this may not be the case in an electronic environment (Cook, 1994; McKemmish, 1997; Upward, 1998; Xiaomi, 2003). Kennedy and Schauder (1998), argue that the emergence of the continuum model in the 1990s has made records managers and archivists to be recognised as the recordkeeping professionals. In other words, records managers and archivists are now performing common tasks which design systems which capture records suitable for continuing value. The records continuum model has gained acceptance among record-keeping professionals world-wide as best practice model for managing both paper and electronic records.

### **3.3.2.3 Integrated records management framework**

Xiaomi (2003:26), while advocating an integrated “best-practice mechanisms behind the records continuum model” brought out some of the differences between the two models. These focused on elements of records definition, major concerns in records management, records movement patterns, recordkeeping perspectives, recordkeeping processes, criteria for selecting archives, time of appraisal, role of recordkeeping managers and undertaking records management tasks. These are summarised in Table 3.

**Table 3: Records Continuum Model vs. Life-cycle Model**

<b>Model Aspect</b>	<b>Life-cycle Model</b>	<b>Records Continuum Model</b>
Origins	Evolved from the need to effectively control and manage physical records after World War II (half a century ago)	Evolving from the more demanding need to exercise control and management over electronic records for digital era (today)
Elements of records	Physical entity definition	Content, context and structure
Major concerns in the management of records	Records-centered, product-driven in records focus on records as tangible physical management entities the physical existence of records themselves paper world	Purpose-centered, process and customer driven, the recordkeeping process, the behaviors and relationships of records in certain environments, digital world
Records movement patterns	Time-based: records pass through stages until they eventually die (except for the chosen ones that are reincarnated as archives); time sequence: records processes take place in a given sequence	Multi-dimensional: records exist in space/time not space and time; simultaneity: records processes can happen at any point in the record's existence or even precede it
Recordkeeping perspectives	Exclusive, single purpose, organizational or collective memory, current or historical value	Inclusive multiple purposes, can be organizational and collective memory, can have current, regulatory, and historical value from the time of creation <i>simultaneously</i> not <i>sequentially</i>
Recordkeeping process	There are clearly definable stages in recordkeeping and they create sharp distinctions between current and historical recordkeeping.	The recordkeeping and archiving processes should be integrated.
Criteria for selecting archives	Currency or historical value	Continuing value, including current and historical value
Time of archival appraisal	End of records movement	From beginning to end
Role of records professional	Passive and reactive locked into custodial role and strategies	Proactive post-custodians: recordkeeping policy makers, standard setters, designers of recordkeeping systems and implementation strategies, consultants, educators/trainers, advocates, auditors.
Records management tasks	Things are done to the records in fixed stages, in a given sequence by particular professional groups. Records managers and archivists have no business directing what records create; they are relegated to receiving the physical objects once created; fragmented and disparate accountabilities of creators, users, records managers, and archivists	Integration of business process and recordkeeping processes: the tasks can happen in almost any sequence by any professional group. Records managers are accountable for not only the maintenance, but also for the creation of evidence of an organisation's purposes and function; integrated framework for the accountabilities of players and partnerships with other stakeholders

(Source: **Xiaomi**, 2003:30)

Xiaomi (2003:28) posits that the “ideal of integration” advanced in the records continuum model could be viewed as a best-practice framework for managing records within a broader

context of archival science; more especially electronic records. Accordingly, such a best-practice framework should consist of three components namely:

- Integrated frameworks that provide levels of integration for best practice;
- Integrated approaches that provide positive ways of thinking about archival concepts; and
- Integrated control that provides a set of unified criteria for measuring models and methods.

Xiaomi (2003:30) sees integrated control as a means of “increasing total contribution and completeness of records delivery, improving collaboration among creators, users, archival administrators, and custodians for better quality of service” as key to the management of electronic records.

Although in a slightly different way from Xiaomi (2003), the idea of an integrated approach to records management has also been advanced by several authorities including the IRMT as well. The IRMT (1999:20), for example, argued that the integrated approach is a blending of the life-cycle and continuum models in an integrated records and archives management system. Their view was that the four actions of identification of records; intellectual control of them; provision of access to them; and physical control as advocated in the continuum model, do also recur in the life cycle model (IRMT, 1999:21).

As elaborated in Chapter 5 and 6, the IRMT, like other records management experts, also acknowledge, that with the advent of ICTs, there is no longer the traditional boundary between records management and archival administration in terms of practice. This implies that work among records managers, records centre managers and archivists should be undertaken “within an integrated structure, with no rigid boundaries to limit professional collaboration and development” (IRMT, 1999:23).

It can be observed from literature that depending on the context and emphasis, the application of the two contending theories may vary. Thus Xiaomi (2003) tends to focus on the context of the electronic environment. Xiaomi (2003:30) seems to emphasise the demonstrated advantages of the records continuum model over the life-cycle model; and argues that it is the “ideal best practice” for the integration of the management of documents, records, and archives in an electronic environment. Other scholars such as Ndenje-Sichalwe (2010:67),

while appreciating integration in the advent of ICT, have however, advocated for the life cycle as a theoretical underpinning in their research work. In that regard, Ndenje-Sichalwe (2010:67) was of the view that the “majority of records in the government ministries in Tanzania have been created and maintained in paper format; thus, employing...[the life cycle] model that provides a full picture of the current records management practices in the public sector”.

Nonetheless, in terms of theory and practice there is some general consensus on the fact that the emergence of the records continuum concept underscores the view that records and archives management have to move towards integration. As discussed in Chapter 6, other scholars such as Keakopa (2006); McKemmish (1997); Shepherd and Yeo (2003); all allude to the recognition of a hybrid or integrated approach in whatever form as a practical way to deal with the current environment that have both paper and electronic environments.

For the current study, one of the key specific objectives was to establish the current records (both paper and electronic) management practices in labour organisations in Botswana. In the same vein, the study also sought to ascertain the best-practice framework of the integration and managing e-records in the labour organisations in Botswana. Arising out of this conception, it would be instructive to assert that both the records life-cycle and records continuum models appropriately informed the current study. The next sections now deal with the review literature on ICT uptake and use in labour organisations.

The preceding sections have indicated the relevance of key theories and models to the current study that sought to assess e-records readiness in labour organisations in Botswana. It has been argued that the need to understand the ICT uptake is fundamental for understanding the e-records management and e-records readiness in labour organisations. Such an understanding should assist in proposing an e-records readiness framework that may be appropriate for labour organisations. In order to underscore the link between the literature review and the conceptual framework, it is appropriate that empirical literature on the adoption of ICTs in labour organisations, strategies of the management of e-records and the e-records readiness is reviewed to provide grounding to the conceptual and methodological underpinnings that guide the study. The following sections present this literature review.

### **3.4 LITERATURE REVIEW ON ICT UPTAKE AND USE IN LABOUR ORGANISATIONS**

As earlier observed in Chapter Two (Section 2.3), literature on contemporary labour relations shows that there is now a paradigm shift towards social trade unionism orientation. This is the kind of trade unionism whose philosophical foundation is grounded in the belief in fair social transformation and justice. It aims to influence society based on its organised power, capacity to mobilise and build effective, political and social alliances (ICFTU, 2001; Wood, 2001). It is committed to workers control and democracy, and to maintaining its character as a movement. Such a trade union movement is supposed to be effective and proactive and able to negotiate and monitor complex agreements with government and employers as well as making meaningful contributions to national development (ICFTU, 2001; Wood, 2001). It was also argued that in order to attain this global orientation to society and workers' justice, labour organisations would need to adapt to the global, regional and national challenges through collectivism and solidarity. In such a context, the management of records and information in an e-environment could provide an enabling framework that could enhance this solidarity and partnership for the good of the workers and society (Kalusopa, 2008; Lax, 2001). Like in other organisations, the adoption and use of ICTs and the level of e-records readiness could therefore be one of the underlining success factors of most labour organisations today. However, compared to other sectors such as business and government, relatively speaking, there is a dearth of literature on the adoption of ICTs in labour organisations in the world and particularly in Sub-Saharan Africa. It has also been observed that trade union literature has been painstakingly slow to deliberate upon the categorising opportunities that the modern ICTs proffer (Kalusopa, 2008; Lax, 2001). From literature reviewed, the following can be discerned as the possible underlying factors for the adoption and use of ICT in labour organisations and challenges hitherto:

- Erosion of traditional labour organisation structures;
- Networking proximity for solidarity;
- Advocacy on social justice;
- Trade union outreach programme;
- Modernisation of labour organisations;
- Democratisation of labour organisations; and
- Collective bargaining.

### **3.4.1 ICTs and erosion of traditional labour organisation structures**

The idea about the erosion of traditional labour organisation structures due to the application of ICTs has been based on the “ideas of populist direct forms of democracy stimulated by the communication possibilities brought about by the Internet” (Ward & Lusoli, 2002:4). The belief has been that as individuals increasingly participate in governance through e-voting, e-referenda, and e-discussion, most of the representative organisations such as the labour organisation will eventually “wither away”. Though this has not happened, most agree that the application of ICTs have to a considerable extent, weakened the traditional areas where the labour movement used to recruit their members.

Others have even argued that globalisation and growth of a new economy arising out of ICT use has in itself resulted “in a more individualistic, consumption-oriented culture... (and thus) undermine the collective strength of unions allowing workers to negotiate individually with management” (Ward & Lusoli, 2002:5). Bamber and Lansbury (1989:4) also assert that changes brought about by the adoption of ICTs could for instance convey or bring about “variation of the output or of the application of knowledge and skills which results in a significant alteration in the management techniques, work organisation, raw materials and the relationship between capital, labour and the state”. Furthermore, Holly and Herman (2001) note that a lack of access to ICTs hinders democracy within unions and equally weakens collective bargaining with employers. Consequently, it has been argued that principles of transparency and accountability, and prosperity of democratic tenets within labour organisations chiefly depend on the momentous role of ICTs as a driver to trade union administration, processes and activities (Hogan & Grieco, 1999; Holly & Herman, 2001; Kalusopa, 2009; Ward & Lusoli, 2002). It is also believed that this has ultimately made traditional hierarchical and conservative labour organisation less active in using ICTs as compared to other social movement organisations (Hogan and Grieco, 1999; Holly and Herman, 2001; Kalusopa, 2009).

### **3.4.2 ICTs and networking and proximity for solidarity**

The Internet and the World Wide Web have completely revolutionised the manner in which people communicate and interact in almost all spheres of life. This has included the world of work and labour relations as well. These electronic modes of communication now provide labour organisations with numerous benefits and advantages. Greene, Hogan and Grieco

(2001), Lewis (2007), Kalusopa (2009) all concur that the following, among others, are the benefits of the Internet to labour organisations:

- Reinvention of trade unions;
- Recruitment of new and attraction of more members;
- Development of ‘virtual trade unions’;
- Improvement of services offered;
- Enhancement of democracy within unions;
- Strengthening of the international labour community;
- Reduction of administrative costs; and
- Improvement of trade unions’ public image.

ICTs could therefore be said to provide the “imminent logic” (easy networking), in that on-line trade unionism can transform the decision making process by increasing the interaction across a wide geographical spread. Most multinationals (who are owners of capital) and employers (their agents) now make use of Intranet and Internet in organising their daily business strategic transactions. Labour organisations can also make use of information technology for political campaigns at grassroots and achieve visibility on a variety of issues that affect their members.

Further, the membership spread across the countries and the regions that are traditionally separated from solidarity by distance are highly proximate with ICTs and can daily reach each other and share experiences at local, regional and global levels on achievements and challenges. Electronic adjacency or proximity thus provides opportunity for new enhanced forms of solidarity at each level and reconnects the workforces and other stakeholders with similar interest and facing similar challenges (Hogan & Grieco, 1999).

Ward and Lusoli (2002) have alluded to the fact that new ICTs could be used as a vehicle for targeting and recruitment of members. New union member recruitment is important for advancing and strengthening the efforts and cause of the labour movement. It has, for instance, been established that “unions and trade union congresses around the world that are employing successful recruitment techniques are generally those that have (at least implicitly) understood this experiential nature of union membership” (Gomez, Gunderson & Meltz, 2004:246). One such example is a project by the Norwegian Union of Graphical Workers

(NGF) for instance. This labour organisation, tried out the 'Digital Trade Union' concept with the aim of using ICTs to attract new employees as potential members (Gomez, Gunderson & Meltz, 2004).

The 'Digital Trade Union' concept yielded positive results in that, apart from increased membership (grew by almost ten percent); there were other unforeseen benefits such as the reduction of the anticipated danger or risk of joining a union for the new employees. The 'Digital Trade Unions' had lured young workers that were more intrigued with the use of the Internet. For example, younger voters (so called e-generation) were reached easily through the Internet even though they are more conservative and not quite keen to be part or join labour organisations that they perceived to be traditional (Ward & Lusoli, 2002).

Apart from union member recruitment, Freeman and Rogers (2002) asserted that the Internet could also be used to advertise and offer trade union services directly to members as opposed to doing it literally at the work place. The Internet or the web could be an effective way, for instance, through which labour organisations could maximise costs. For example, labour organisations can hold virtual meetings, discussions, garner support for campaigning issues without moving an inch from their office spaces (Diamond & Freeman, 2002). The Internet could also be utilised inexpensively for purposes of communication by "bombarding" authorities with e-mail protests on pertinent issues. Furthermore, Diamond and Freeman (2002:578) assert that the Internet could relatively or considerably reduce trade union expenses through its use by union members and authorities to interact and make decisions or engage in meetings which are otherwise quite taxing, time consuming and expensive to organise. Accordingly, members in labour organisations can consequently use the 'ample time' to map out strategies on other crucial matters such as collective bargaining. Thus, "chat rooms, discussion forums and list servers create virtual communities that can spontaneously develop new thinking on issues as well as share information outside official settings" (Diamond & Freeman, 2002:578). Gomez, Gunderson and Meltz (2004) observe and contend that the 'digital trade union' concept does not actually involve much costs as it has no shop stewards (shop floor representatives) and does not engage in traditional or conservative trade union meetings.

Another example of minimizing cost by the use of ICTs is whereby labour organisations can conduct activities or events, such as commemorations of annual events (for example Labour



Day Celebrations), at a minimized cost. To clearly illustrate this point, Diamond and Freeman (2002:576) have drawn attention to a case in point that "...in September 2000 the American Federation of Labor and Congress of Industrial Organisations (AFL-CIO)<sup>6</sup> used its portal [www.workingfamilies.com](http://www.workingfamilies.com) to develop a virtual Labour Day for members to replace what had become a day of dwindling marches with ancient banners in ever fewer cities. The virtual Labour Day contain various interactive games, quizzes, music, and similar amusements revolving around union issues that might otherwise have been found at a traditional Labour Day March". This is still evident today. In South Africa, one of the major federations, Congress of South African Trade Unions (COSATU) uses the COSATU Daily News which has more than 1,600 subscribers and its website <http://www.cosatu.org.za> to deliver policy statements, speeches, news, publications and daily press releases (Lewis, 2007)

Labour organisations, according to Ward and Lusoli (2002) are perceived to be antagonistic with some sectors of the public, thereby causing misunderstandings and creating a negative image outlook. However, Ward and Lusoli (2002) are of the view that the use of ICTs can be fundamental in overturning such negative stereotypes by constructing a more favourable and positive image. Save for utilising the Internet to reduce and minimize costs for the labour organisations, proficient and competent management of information can also effectively be used to uplift and boost the trade unions' image to the public in a less costly manner. The creation of union websites would therefore be essential and significant as a way of opening up to the public so as to enlighten them on their roles in society. Labour organisation websites, for instance, can be used as reservoirs of critical information from which the public can tap in order to limit all manner of biasness and thereby helping the public or society to obtain a comprehensive perspective and mission statement of the labour organisation. Diamond and Freeman (2002:577) have thus outlined three main opportunities that the Internet and the Web has to offer to labour organisations:

- To present the union case on various issues to the online population through provision of information;
- To communicate directly with union members or potential members through targeted electronic messages, and

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<sup>6</sup>American Federation of Labour and Congress of Industrial Organizations, commonly AFL-CIO, is a [national trade union center](#), the largest federation of [unions](#) in the [United States](#), made up of 56 national and international unions (including [Canadian](#)), together representing more than 10 million workers.

- To engage in interactive discourse with members or others by responding to queries and by online discussion forums.

### **3.4.3 ICT and advocacy on social justice**

Labour organisations need to strengthen their advocacy through linkages with strategic professional and technical allies in the struggle to monitor and achieve social justice. This engagement with strategic allies on key issues would enable the labour organisation to be more pro-active in their socio-economic campaigns. Ultimately, through the use of ICT, focal points for labour organisations should be able to provide guidance to the affiliate trade union centres on issues of labour relations. Through this strategic partnership, the labour organisations, for example should, be able to assemble and disseminate well-researched policy positions. Kalusopa (2008) has put forward the following as the expected benefits of such a strategic use of ICTs for labour organisations:

- Strengthening the technical and professional capacity in information management through the creation of databanks and maintenance of the web sites through updates and dissemination of information through all relevant delivery systems;
- Strengthening the technical and professional support in terms of policy development as well as administrative back-up such as collating information into briefings or reports, to inform and create labour policy; and
- Providing technical assistance by specialist knowledge and experience to assist in the development, of national, regional and global campaigns.

### **3.4.4 ICTs and trade union outreach programmes**

It has unanimously been observed that there has been a conspicuous and relative dearth of academic reflection on trade union organizing in a ‘network society’ (Castells, 1996; Hogan & Grieco, 1999; Hoffer, 2008). However, for any labour organisations, education and training at all levels is a critical weapon to build solidarity among the affiliates (Kalusopa, 2007). In addition, for workers to participate fully in economic decision-making processes, they need to understand the current dynamism of government, employers, regional and global frameworks. In this regard, through the use of ICTs, labour organisations can co-ordinate the training of members on various issues that affect them in order to build their information

literacy on various labour issues. It is feasible and practical for labour organisations to provide on-line courses with a local content for their members (Kalusopa, 2007).

### **3.4.5 ICTs and modernisation of labour organisations**

The call for the labour organisations to modernise their tradition structures is part of the modernisation and globalisation drive. The other impact involves labour organisations on harnessing ICTs to “update their traditional functions” and market their organisation hence boost their dwindling image in the political process. ICTs could thus radicalise the traditional trade union structures and facilitate processes of “distributed discourse” hence entrench democratisation (Lee, 1999; Hogan & Grieco, 1999; Diamond & Freeman, 2001). Ward and Lusoli (2002:5) identified the following as the basis for those that advocate such a modernisation approach:

- Building their administrative portfolios through websites that would have capacities for information bases containing personnel, policy documents and regular news releases - in such cases, there are efficiency gains in terms of time;
- Provision of on-line services of offering professional assistance and training to deal with the individualistic culture - this will also provide useful communication forum for the isolated workers;
- Enhancing the recruitment drive of those members especially the younger generation that resent the traditional trade union culture; and
- Building the image of the stereotyped “old fashioned, male dominated, confrontational” trade unions into more positive social movements.

### **3.4.6 ICT and democratisation of labour organisations**

Social trade unionism advocates for the democratisation of trade unions to entrench members’ control. In that context, the utilisation of ICTs plays a decisive role in the process of decision making which subsequently strengthens the substance of trade union members’ role, right and responsibility of making informed decisions. The process of making informed decisions is pertinent to the level and concord operations of labour organisation (Kalusopa, 2007). The utilisation of ICTs could also strengthen and enhance the relationship between union leaders and members. In addition, ICTs could assist in promoting worker empowerment, a sense of participation and an increased understanding between employers

and employees (Kalusopa, 2007). In this context, the utilisation of ICTs could potentially assist the process of decentralization and democratization of power within hierarchical trade union structures. This implies that the utilisation of ICTs could reduce membership alienation and increase participation in labour organisations since members would become more informed.

Holly and Herman (2001) posit that in the information age, it is imperative for labour organisations to not only collect information but should also manage information owing to the fact that information is phenomenal to empowering union members to possess and heighten their voices in making informed decisions. In addition, Lax (2001) affirms that the utilisation of ICTs in trade unions is very fundamental to the efficient internal operations and sound management of resources. Economic effectiveness, according to Fiorito, Jarley and Delaney (2002:627) can be achieved through means such as:

- Creation of a ‘virtual presence’ in an organising campaign, for instance, through a dedicated website. This approach can reasonably and considerably reduce costs and expenses;
- Reduction of transaction costs - this can be achieved through the employment of electronic communications rather than other expensive traditional face-to-face communication methods;
- Use of websites for the benefit of provision or transmission of information to union members about issues that concern their working condition;
- Conduction of ‘virtual union meetings’ especially in situations where members are geographically challenged; and
- Efficiency and synergy reasons achievements that are crucial for the bloodline of the union, members (old and new) and maintenance of a political and public image.

### **3.4.7 ICTs and collective bargaining**

Collective bargaining is a process where labour organisations exert their power to influence decisions about improvement to their condition or terms of employment. It extends to all negotiations which take place between an employer, a group of employers or one or more employers' organisations, on the one hand, and one or more labour organisations, on another. The significance of collective bargaining in labour organisations cannot therefore be overemphasised. However, the traditional and central process of collective bargaining in

labour organisations is undergoing several paradigm shifts world over (Kalusopa, 2007). The influence of globalisation has meant the integration of the product and factor markets: trade, investment and labour. Consequently, the transformation of decision-making processes of most employers such as governments and multinational companies are now often facilitated by the ICTs. This has now increased their global interactions of a high geographical spread and enhanced their competitiveness. Accordingly, this has reawakened the labour organisations to realise that, in the information age, it is now a matter of necessity, to equally exploit the capabilities of ICTs to confront globalisation for their survival.

For instance in the United States of America (USA), ICTs have been used as an effective tool in organisation labour activities such as collective bargaining, enhancing democracy and accountability. A study by Fiorito, Jarley and Delaney (2002) found out that there were three main new ICT aspects that were important and had practical significance to labour organisations:

- Playing a critical role in negotiations, conflicts with employers, organizing campaigns and communication with members;
- Computer skills have increasingly become important as a criterion in union staff hiring decisions; and
- E-mail has become part of the first level representative's daily routine in many workplaces.

The study further ascertained that ICTs have in a way assisted and supported trade unions and their members in collaboration with management to reach common grounds on issues and concerns such as negotiations, bargaining, recruitment and communication. Therefore, utilisation of ICTs in the process of bargaining becomes central to the functioning of any labour organisations.

### **3.4.8 Challenges of ICTs uptake and use in labour organisations**

Despite the numerous benefits of ICT adoption that have been articulated above, it has been observed that labour organisations have been too slow and less eager to embrace and utilise or recognise the importance of ICTs especially in any of the three broad categories of their core activities, that is, collective bargaining, providing mutual insurance and campaigning for policy and legislative reforms (Lax, 2001; Kalusopa, 2008). It has also been noted that,

overall, labour organisations have been sluggish to take full advantage of the benefits of ICTs as compared with the manner in which commerce and government have grasped the new phenomenon (Hogan & Grieco, 1999). Other scholars have echoed similar sentiments and pointed out that if labour organisations have to remain relevant and survive, they need to change their ways of functioning just as the worlds of industry, business and politics have transformed given the emergence of ICTs (Kalusopa, 2009; Lax, 2001). Thus challenges of the use of ICTs remain daunting for labour organisations. For example, the June/July 2001 'British Workplace Representation and Participation Survey on Internet Usage by Union Status', revealed that, among other things, age was importantly a major contributing factor that hindered Internet usage (Diamond & Freeman, 2002:570). The survey also established that:

- The union workers were more interested in using the Internet to search for information about jobs. However, the survey also revealed that union workers did much less job search on the web than non-union workers; and
- In a situation where union workers had access to the Internet, the survey showed that union workers did not use the full potential and advantages of the Internet. For instance, union workers made less use of discussion/online chats, accessing bulletin boards, or seeking information on financial and legal rights. This attitude could be premised on the notion that union workers have an alternative forum or channel of information and discussions.

More recently, the labour organisations in the world have had difficulties in creating an effective global labournet and network. In this respect, Hoffer (2008) notes that the general obstacles to the realisation and achievement of the goal of the global labournet has been due to:

- Inability to reach the majority of the workers who are the critical mass in labour organisations;
- Non-existent information support systems in unions;
- Lack of access by the intended consumers; and
- Lack information skills base Holly and Herman (2001:35) have, for example, outlined a persuasive summary of at least three ways to improve to counter challenges to ICT uptake and use in terms of internet access. These points are still prevalent

today. Holly and Herman (2001) thus contend that there are three levels of internet access that are significantly and relevantly pertinent to labour organisations:

- Information quality and quantity;
- Technological infrastructure; and
- Availability of skills.

First, labour organisations should have access to quantifiable information that has superior quality if they are to successfully engage in discussion or dialogue discourses. Quality and quantity information according to Holly and Herman (2001:37) is important for the labour movement “because this might have a profound effect on the outcome of collective bargaining or campaigning on specific issues”.

Second, the lack of technological infrastructure could impose constraints on the ability to access ICTs. Poor technological infrastructure, lack of it, or high costs could threaten internal union democracy. According to Holly and Herman (2001:38), this may affect the tenets of centralized accounting systems and create a shift to “centralised management information systems for the hierarchical control of the organisation”.

Third, if trade unions are to maximise the use of ICTs, to improve management of information and consequently knowledge, and have increased access to the Internet or the web, they need to be well grounded and equipped with ICT skills. Trade unions therefore might be impeded by the non-availability, in most cases, of relevant ICT skills or maintenance of such technical skills in cases where they exist. The acquisition of technical skills by union workers equally and more importantly calls for and involves for instance; maintenance and support of hardware and software; use of applications; problems of back-up and security and an investment in new organisational and technical skills (Holly & Herman, 2001; Hoffer, 2008; Kalusopa, 2009).

Despite all these challenges, the utilisation of ICTs in labour management practices in labour organisations cannot be ignored as it is at the very core of the creation of opportunities that enhance trade union activities such as member recruitment and negotiation skills or mediation and advocacy. The adoption and use of ICTs is thus very essential and central to the achievement of positive results in labour organisations.

### **3.4.9 ICTs uptake and use in labour organisation in ESARBICA region**

Since the 1990s, most of the labour organisations in the ESARBICA have recorded decline in organisational structure evidenced by structural or institutional incapacity, fragmentation, unfocused education programmes, poor information support base, lack of clear regional linkages and networks and eroded trade union solidarity and consciousness (FES, 2008; Kalusopa, 2007).

In most of the Southern African Development Community (SADC) countries, for example, retrenchments arising out of privatization have reduced the membership to all time low levels (Kalusopa, 2007). Further, in most SADC countries there has been a proliferation of “in-house” unions rather than sectoral or industrial. These “in-house” unions have a small membership in most cases without organisational ability and strength. This in itself is a challenge since the unity of purpose has in most cases been lost and employers have exploited the low rate of unionization against workers pursuit of solidarity and better conditions of service in a workplace. In addition, most of these national unions including the Southern Africa Trade Union Co-ordination Council (SATUCC) which is the umbrella regional body for the labour movement in the SADC region lack the capacity and resources to carry out their missions (Kalusopa, 2007).

Fragmentation of the labour organisations continues to be a problem. In most countries there are parallel national federations operating. For example South Africa has three national centres; Botswana, Zambia, Zimbabwe, Malawi, Lesotho have more than two (Kalusopa, 2007). In most cases, it is often common to find different unions in one country or organisation “competing” to recruit members. Clearly, the rate of unionization is extremely low. In essence, labour organisations are vehicles that seek to balance the organisational needs and the aspiration of the workers for better conditions of service and are supposed to provide a collective voice in solidarity for the productivity of the workplace. This decline in proactive trade union activities and lack of exploitation of the potential or opportunity to activate the sense of progressive renewal has become a matter of serious concern to the labour organisations in southern Africa. Several suggestions now point to the fact that to remain viable and relevant, the labour organisations must modernize by building more “participative unionism” through better communication and providing effective leadership to support members in their workplace. At the core of the process of renewal lies the need to



harness information as a critical resource (FES, 2008; Kalusopa, 2009). However, this can only happen if unions adapt to the global, regional and national challenges. Kalusopa (2009) has argued that there is need to re-orient the operations of labour organisations if workers are to benefit from their engagement with labour collectivism and solidarity; and that ICTs provide a framework to enhance this solidarity and collectivism.

However, literature on ICT adoption in labour organisations in Southern Africa remains scanty. Most general labour reports however give sweeping statements that indicate that the information on the infrastructural base and networking linkages of most of the national labour centres in the southern Africa has remained elusive (FES, 2008; Kalusopa, 2007). The creation of network linkages through strong regional information centre and the information support systems for most labour centres were still evolving (FES, 2008; Kalusopa, 2007). Further, the problem of failure to reach critical mass has been underlined by a central example that there is little literature on how far SATUCC, a trade union body for SADC, has developed a labour market information system that would ensure, among other things, that its affiliates are on-line for tracking or monitoring and keeping up-to-date information such as registration, type of union activities and financial standings (Kalusopa, 2007).

Given the foregoing, despite the growing interest in the benefits that the adoption of ICT may present as elaborated above, the following can be deduced from the literature reviewed:

- There is generally limited literature on the adoption of ICT in labour organisations in Botswana;
- There appears to be a lack of or limited analytical clarity or conceptual framework to explain the adoption of ICTs in labour organisations in Botswana;
- There is limited information of the type and level of usage of ICTs in labour organisations in Botswana;
- There is limited information on the rationale or “business case” why labour organisations adopt and use ICTs;
- There is lack of depth on how labour organisations view ICTs as an opportunity;
- There is limited information on the determinants of use, what are motivating and inhibiting factors to the use of ICTs in Botswana;
- The extent of the success and failure of ICTs use in labour organisations in Botswana is not well established; and

- The extent of how labour organisations are e-ready and have been integrated into the information society in Botswana remains an uncharted terrain.

Given the foregoing, the current study therefore sought to examine e-records readiness in labour organisations based on a mixture of interrelated components deduced from literature review. These are ICT uptake and use; standard records management practices (hybrid of paper and electronic); selected tenets of existing e-records readiness assessment tools and national e-readiness framework. This, it had been argued, would provide the basis for recommending a framework that may be appropriate for understanding the depth of e-records readiness in labour organisations in Botswana.

### **3.5 STRATEGIES AND GUIDELINES IN THE MANAGEMENT OF E-RECORDS IN SELECTED PARTS OF THE WORLD**

In Chapter One (Section 1.1.4), the current study underscored the fact that e-records management emerged in parallel with the evolution of ICTs. E-records management was defined as the application of records management principles in an electronic environment. This implies e-records management involves the planning, controlling, directing, organizing, training, promoting activities related to the creation, maintenance and use, and disposition of records in the ICT environment. It was also advanced in Chapter One (Section 1.1.5) that e-records readiness assessments are meant to guide development efforts by providing benchmarks for comparison and gauging progress in countries or organisations in understanding the depth of e-records management. Consequently, it would be useful to understand the current dynamics with regard to the strategies that have been employed in dealing with the challenges of the management electronic records in selected parts of the world. The following sections, therefore, discuss trends in the development of guidelines and strategies in the management of electronic records in selected parts of the world based on the stipulated international records management standards.

Cox (1996) observed that the management of electronic records in the developed world, particularly in North America and Europe, began to generate more interest in the 1980s. It was during this period that most countries started generating e-records as well as harnessing the use of computers to manage such records. Literature is also replete with examples of several countries around the world that have taken steps in initiating strategies and guidelines in the management of electronic records outside North America and Europe. However, for

the purpose of the current study, Chapter Two alludes to the fact that the location of the study is Botswana, an active member of East, Southern Africa Regional Branch of the International Council of Archives (ESARBICA). In most countries in ESARBICA, there is an observable trend that most of the standards and practices adopted in the management of records have had considerable influence from Europe, UK, Australia, USA and Canada. For example, Reed (1997:1) observed that the records in most Commonwealth states have been influenced by the British colonial legacy of the 18<sup>th</sup> and 19<sup>th</sup> century registry systems. Thus, while it is acknowledged that there have been a lot of efforts elsewhere in the world, the current study will therefore focus on initiatives advanced in these countries. The notable ones include the following:

- In Europe such developments include the Documents Life-Cycle Management (DLM) Forum under the European Union, the Electronic Records in Office Systems (EROS) and the National Digital Archive of Datasets (NDAD) in the United Kingdom.
- In Australia they have the Victorian Electronic Record Strategy (VERS) and the Strategic Partnerships with Industry-Research and Training (SPIRIT), Clever Recordkeeping Metadata Project; and
- In the United States of America (USA) and Canada, those that stand out include among others, the Pittsburg Project, University of British Columbia (UBC) Project and the InterPARES.

These are discussed in light of the efforts being made in management of electronic records and challenges presented hitherto in ESARBICA.

The sections that follow below highlight the major tenets and challenges of the projects Europe, UK, Australia, USA and Canada.

### **3.5.1 Europe**

In Europe, through the European Commission, several EU member states have been involved in projects and have developed strategies aimed at addressing the challenges of managing records in the electronic environment since 1994 (Brady, 2006:1). One of the notable projects has been the Document Life-Cycle Management (DLM) Forum. The DLM Forum was created through an initiative of the European Commission in 1997 with support from the

public archives from European Union member states (DLM, 2010). Up until 2002, the DLM Forum was an inter-disciplinary cooperative effort led by the EU member states and the European Commission. Thereafter, the DLM Forum has transformed into a broader “community of interested parties in archive, records, document and information lifecycle management throughout Europe” (DLM, 2010). It has several forums that attract both the public and private sector that includes suppliers, end users, consultants, regulatory bodies and associations. The DLM Forum is well established as an influential European centre, setting standards and guidelines within the disciplines of electronic information archiving and management. In this context, in 2001 the DLM Forum published the European standard MoReq, Model Requirements for the Management of Electronic Records. In 2008, MoReq2 was published, which now includes a testing programme and certified compliance. Information about the standard and the related certification programme can be found at the website (<http://www.dlmforum.eu/index>). In 2010, the DLM Forum was incorporated to become a not-for-profit foundation dedicated to furthering the aims and supporting the activities of a broad and expanding community drawn from many different disciplines, countries and sectors on electronic records. Several meetings have been held since the formation of the DLM-Forum (DLM Forum, 2010). Every three years, a general conference on a specific theme is organised by the Member State that holds the presidency of the European Union (DLM Forum, 2010). These meetings have facilitated information sharing, technology and knowledge transfer, education and skills development and research in the area of electronic records.

It is important to note that the DLM-Forum has created some consensus platform for “presentations, discussions and development of approaches and solutions to the challenges of managing electronic records” in Europe (Keakopa, 2006:78). It has thus enhanced collaboration through various media such as the DLM web-site on the valuable contributions on how best to address the challenges of managing electronic records.

Although the DLM Forum research has been criticised as lacking “a more universal approach” and being largely Eurocentric, this current study concurs with Keakopa (2006:78) that African countries, more particularly in the ESARBICA regions could learn from such a forum on ways of how the various stakeholders could pool their efforts together in finding practical solutions to the management of electronic records. As has been elaborated in the subsequent sections, one of the challenges in the ESARBICA region has been the need to

strengthen co-operation amongst key stakeholders in academia and industry. In that regard, efforts such as those by DLM Forum present an opportunity for benchmarking in the developing strategies for the management of electronic records in the ESARBICA region.

In the UK, the National Archives (TNA) has been spearheading efforts in the development of strategies in the management of electronic records. Thus in 1998, two key projects namely the Electronic Records in Office Systems (EROS) and the National Digital Archive of Datasets (NDAD) were initiated to provide advice and guidance to records managers across central government (Irvine & Baron, 2000:12). It is said that these projects were part of the e-government reforms to modernise government and to secure the preservation of, and provision of access to electronic records. The TNA provided a framework in the form of a route map and milestones to guide the agencies and help them meet the set targets. The milestones included development of policies, strategies, identifying requirements for electronic records management appraisal and preservation plans. On the other hand, EROS was started as a specialised programme to ensure that electronic records of long-term value, created across government, are available for future access (Irvine and Baron, 2000:12; National Archive, 2002).

To achieve the overall aim of the EROS programme, TNA, worked closely with government agencies, published functional requirements together with metadata standards, a reference document, an optional module and implementation guidance, which formed a framework for a strategy to manage electronic records in the UK government (Irvine and Baron, 2000:12; National Archives, 2002). The functional requirements provide support for government agencies in developing their own requirements for the management of electronic records. Further, they define a benchmark for software suppliers for developing and upgrading products (Irvine and Baron, 2000:12). The statement of functional requirements covers two main sections: core requirements for an electronic records management system and optional modules for additional features which may be incorporated in an electronic records management system (Irvine and Baron, 2000:12).

It has been said that the UK has been successful in its efforts at tackling the challenges of managing electronic records because of government commitment to making resources available as part of its overall ICT strategy. The TNA project has successfully developed generic functional requirements for the management of electronic records: the MoReq and

Requirements for Electronic Records Management systems. The TNA's toolkits give guidance on practical implementation of the functional requirements to help match the agencies' particular needs (National Archives, 2002). These two specifications can, therefore, be used to complement each other where gaps exist. Their generic nature means that they can be employed in a flexible manner with minor modifications to take into account the agencies' specific requirements. Thus though intended for use in the UK, the TNA "should be viewed as an additional European initiative in an attempt to manage the challenges associated with electronic records" (Keakopa, 2006:79).

From the foregoing, it is informative to argue that one of the major lessons that the ESARBICA countries could learn from this initiative is the leadership provided by the National Archives in developing specific guidelines on how government and other organisations could handle the challenges of management electronic records. As will be discussed in Chapter 6, section 6.5, the National Archives is a suitable public recordkeeping authority that should serve the needs of the total society and therefore ensure that adequate guidelines are promulgated.

### **3.5.2 Australia**

Australia has been notable in spearheading the implementation of the management of records using the continuum model that has been discussed in some depth in section 3.2.2. With regard to developing strategies on the management of electronic records, the Victorian Electronic Records Strategy VERS and the Strategic Partnerships with Industry-Research and Training (SPIRT) could be said to be part of the pioneering efforts in Australia.

The VERS project was initiated by the Public Record Office Victoria (PROV) in 1995 to assist agencies in developing systems for managing electronic records, archiving systems and policies that fit their existing business processes and records management structures (Smith, 2004:3). The overall aim of the project was to ensure the capture of accurate, reliable and authentic electronic records to support good governance and preservation of digital heritage. According to Smith (2004:3), the project had three broad key stages: preliminary investigation into potential solutions, building and testing a demonstrator system (prototype), and implementation of the system. The first stage of the VERS project involved an investigation of how digital records could be safeguarded against obsolescence caused by changes and developments in

computer software, hardware and storage media (Smith, 2004:3). The key goals were to understand the government processes which led to records creation, and the ways in which these records were used, managed and archived. The examination culminated in a report, *Keeping electronic records forever*, which was published in 1997 (Smith, 2004:3; Keakopa, 2006:80).

It can be inferred that the major outcomes of VERS has been its contribution of the application of its methodology in different agencies in Australia. The major contribution is therefore that it is feasible to capture electronic records in a long-term format, archiving and accessing them. VERS has also been endorsed globally by several archival institutions, governments and global product vendors (VERS, 2006:1). It is important to note that the strength of this project has largely depended on the collaboration between Monash University (Australia) and the National Archives and Record Administration (USA). These have provided the requisite technical support (VERS, 2006:1). The VERS project still represents a major achievement in tackling issues of long-term preservation and management of digital records.

The development of the SPIRT project (1998-1999) was led by researchers at Monash University. It developed the Australian Recordkeeping Metadata Schema (RKMS), which is a framework for creating metadata sets for use in domain-specific recordkeeping systems. Using the records continuum model and Australian series system as a conceptual frame of reference, the research team, developed three classes of entities: the business entities, people entities and records entities (Acland, Cumming & McKemmish, 2006:4). The external and internal mandates associated with these entities, which govern the relationship between them, were also considered. The developed elements identify and describe significant features of business contexts in which records are created, managed and used. They identify and describe the people or agents involved and the records themselves. They also link the business context to the people or agents carrying out business and the records that document it, and reference the mandates that authorise and control business activity (Acland, Cumming & McKemmish, 2006:7). One important observation is that the metadata schema stresses the need to document business transactions by maintaining close links between the people/agents involved in a business process, the specific transactions they carry out, and the resulting records. The RKMS includes elements which are common to all entities and those which are unique to a particular class of entities.

One of the key features of this high level metadata schema is that when it is implemented, it can apply to records at any level of aggregation, to business activities ranging from individual to societal transaction, to the conceptual purpose it serves and to agents at any level of organisational and societal hierarchies (Acland, Cumming & McKemmish, 2006:10). In addition, in mapping this metadata, the SPIRT was guided by other existing metadata standards such as The US Department of Defense standard and Pittsburgh's Business Acceptable Communications (BAC) model.

Another interesting collaborative project on metadata in Australia is the Clever Recordkeeping Metadata Project (CRKM Project) that was established as a joint research project involving the Records Continuum Research Group at Monash University, the National Archives of Australia (NAA), the State Records Authority of New South Wales (SR NSW) and the Australian Society of Archivist's Committee on Descriptive Standards (ASA CDS). (Evans, Reed & McKemmish, 2008:118). It ran from mid 2003 to 2006. The rationale behind the project arose out of the challenges associated with the implementation of metadata standards. It was argued that recordkeeping metadata developed by archival institutions has had no desired impact on industry because the "...way they have been designed and configured...has not provided the spur for better integration of recordkeeping into electronic processes as anticipated..." (Evans, Reed & McKemmish, 2008:1178). They thus developed a prototype to demonstrate how to overcome major barriers to the implementation of recordkeeping and resource discovery metadata standards, particularly in e-government. It was intended to provide an implementation model for the clever use of metadata in quality recordkeeping systems that capture and manage information that can support the reliability, authenticity, accessibility and usability of evidence of government decisions and activities for as long as that evidence is required (Evans, Reed & McKemmish, 2008:117-127). Though the project was not conclusive, it does provide some lessons of "meeting metadata challenges of the digital and networked environment" (Evans, Reed & McKemmish, 2008:127).

It can be deduced from above, that Australian projects have contributed immensely in developing a framework to support the management of electronic records in the networked environment more particularly on long-term preservation of electronic records. This has in turn made records "accessible in sustaining environments in which electronic records can continue to function over time as evidence for governance and accountability" (Keakopa, 2006:83). Thus whatever the pros and cons of these projects, they represent a lot of lessons for the ESARBICA



region in stepping up research on the management of electronic record through collaborative efforts.

### **3.5.3 USA and Canada**

In the USA and Canada, three main projects, namely the Pittsburgh project, UBC's School of Library, Archival and Information Studies Project, and the International Research on Permanent Authentic Records in Electronic Systems (InterPARES) provide useful insights on the management of electronic records.

The Pittsburgh Project in the School of Information Sciences, Pittsburgh University, can be said to be the pioneer in developing a framework to use in designing recordkeeping systems as part of a solution to the management of electronic records. The project started in 1993 as a concerted effort to draw up specific methods and functional requirements for evidence in recordkeeping. In particular, the project established generic guidelines in four areas: compliance with best practice, accountable recordkeeping systems and the capturing of complete records, their maintenance and usability (Bearman & Sochats, 2006:3). The core intent of the project was to:

- develop a warrant for recordkeeping from best practice;
- develop functional requirements of contextual 'recordness' based on evidence and best practice;
- translate these requirements into technical product rules that could be used to automate the creation of 'records' through metadata encapsulation;
- field-test these approaches and implementation tactics;
- refine the requirements, specifications and tactics accordingly; and
- promulgate the results to software companies, business, government and standards organisations for widespread implementation.

One of the major contributions of the Pittsburgh project was that it produced a general model with functional requirements. Though related specifically to electronic systems, this was also applicable to manual or hybrid systems (Hunter, 2000:262).

The other notable project was the UBC's School of Library, Archival and Information Studies Project (1994-1997) on the preservation of the integrity of electronic records. This project sought to identify the best methods and define requirements for creating, handling and preserving the reliability and authenticity of electronic records during their active and semi-active life (UBC, 2006). The UBC's methodological approach devised some general premises about the nature of records and examined if these were supported in electronic records. These premises generated a number of hypotheses expressing the necessary and sufficient components of a complete, reliable, and authentic electronic record (MacNeill, 2000:90). Thus, the first phase of the project was to articulate a conceptual framework, namely, reliability and authenticity of the record. These specific goals have been stated as to:

- establish what a record was in principle and how it could be recognised in the electronic environment;
- determine electronic systems that generated records;
- formulate criteria that allowed for the segregation of records from all other types of information in electronic systems;
- define the conceptual requirements for guaranteeing the reliability and authenticity of records in electronic systems; and
- assess these requirements against different administrative, judicial, cultural, and disciplinary points of view (MacNeill, 2000).

On the whole, like other projects, it contributed to an understanding of the nature of records in electronic environments with reference to ensuring their reliability and authenticity. The project also provided some useful answers to what constitutes a complete, reliable and authentic record in an electronic environment. It also recognised that procedural, administrative context of electronic creation were all important in assessing the nature of records. It is said that the research also culminated into a set of standards and rules, particularly the DoD 5015.2 standard, for developing and implementing a trustworthy electronic recordkeeping system (Keakopa, 2006:87).

Another project is the International Research on Permanent Authentic Records in Electronic Systems (InterPARES) that began in 1999. This is a major international research initiative bringing together archival scholars, computer engineering scholars, national archival institutions and the private industry collaborating to formulate international, national and

organisational policies, strategies and standards for long-term preservation of authentic records created in electronic systems (Duranti, 1996:159). It is composed of national research teams mainly from Canada, America and Australia. There are multi-national contributions from Europe, Asia and Africa.

Building on the UBC research work, InterPARES arose out of the need to determine conditions for preserving records no longer needed for current business. The project pooled multi-disciplinary expertise on the challenges of guaranteeing authenticity of the electronic record over time (Hunter, 2000:271). InterPARES 1, 1999-2001, which was the first phase of the project, sought to address the long-term preservation of electronic records that were no longer needed in the day-to-day business; and which had to be preserved for future operational, legal or historical use (Hunter, 2000:271). The research therefore focused on four main domains:

- Identifying requirements that are necessary for preserving and maintaining the authenticity of electronic records over time;
- Investigating and establishing the effect/influence of digital technologies on the methodology of appraisal and whether there is a need to change these methodologies;
- Developing methods, procedures and rules for preservation of electronic records according to requirements identified in domain one and defining responsibilities for implementing them; and
- Developing a framework for the formulation of principles that will guide the development of international, national and organisational strategies, policies and standards for the long-term preservation of authentic electronic records.

The project underwent the second stage, InterPARES 2 that began in 2002 and was concluded in 2007. This phase aimed to develop theory and methods capable of ensuring the reliability, accuracy, and authenticity of electronic records from their inception and throughout their preservation. The research focused on records created in dynamic, experiential and interactive systems in the course of artistic, scientific and governmental activities. InterPARES 3, which began in September 2007 and will continue until August 2012, has as its goal the implementation of the findings of the first two phases of the project in archival organisation or units with limited resources (InterPARES Project, 2010).

It has been observed that both the Pittsburgh, UBC and InterPARES projects were all concerned with the design of long-term preservation systems that ensure the reliability and authenticity of electronic records as evidence. The Pittsburgh Project, however, emerges as a pioneering project “which set the pace for the development of generic guidelines for evidence in recordkeeping systems” (Keakopa, 2006:90). Like the other projects discussed earlier, the UBC and InterPARES, are the research initiatives that would assist ESARBICA countries to learn the exploits of managing e-records in the context of ensuring reliability and authenticity.

### **3.6 LITERATURE REVIEW ON E-RECORDS MANAGEMENT AND E-RECORDS READINESS IN EAST AND SOUTHERN AFRICA**

Africa is said to have made very little progress with regard to putting in place strategies and guidelines in the management of electronic records. Reed (1997:1) posits that prior to the 1990s, the management of e-records management was not well addressed in most colonial commonwealth states and that computers were only used as “facilitative tools to hasten the creation of documents”. Elsewhere, literature review indicates that in comparison with others elsewhere in the world such as in Europe and the Americas, most countries in Africa, have lagged behind in the application of ICTs in general and in the management of e-records in particular (Keakopa, 2006; Kemoni, 2008; Moloji, 2006; Mutasa & Mashingaidze, 2005; Wamukoya & Mutula, 2005).

In one of the earliest studies, a survey of e-records management in the countries of east and southern Africa, Mutiti (2002), attributed this to limited progress in the management of electronic records by public institutions in the region to the lack of legal and administrative frameworks within which they operate in order to develop and implement electronic records management software. Similarly, in a recent review of literature on the management of electronic records in the ESARBICA, Kemoni (2009:196) agrees that “few studies have been conducted on the uses of computers in electronic records management” and identified only seven major studies from 1999 to 2009. These studies have mainly focused on South Africa (Abbot, 2001), ESARBICA region (Mutiti, 2002), Lesotho (Sejane, 2004); and other sub-Saharan Africa countries (Ngulube, 2004); selected ESARBICA countries (Wato, 2005); South Africa, Botswana and Namibia (Keakopa, 2006); Kenya (Kemoni, 2007). The other empirical studies that Kemoni did not review include studies by Moloji (2006) in Botswana, Nengomasha (2009) in Namibia and Luyombya (2010) in Uganda. Other studies such as

those by Akotia (2005), Mnjama and Wamukoya (2006) provide some useful information to this current study on the challenges of the management of electronic records in the East and Southern Africa region even though they are not based on empirical research.

Abbot (2001) presented an overview of electronic records management in South Africa. The study used structured interviews with members of NASA regarding the use of documentary records. The key findings of the study were that electronic records were being produced in both the public and private sectors in South Africa and that NASA had established an electronic records management programme based on three control strategies, namely:

- involvement of the National Archives in the design and maintenance of electronic records systems;
- the transfer of electronic records deemed of archival value into archival custody; and
- identification of electronic records of archival value that should remain in the possession of the creating body.

The study also established that critical issues regarding standards, metadata, migration strategies, preservation format and security for electronic records management in government institutions was being pursued in a joint project by the National Archives and the State Information Technology Agency (SITA). The co-operation of the two institutions also involved in “developing specifications for an integrated document and records management solution for state departments that took into account the Southern African context” (Kemoni, 2009:197). At the time of the study, NASA was also planning to run a number of in-house pilot projects utilizing commercially available records management applications with the view to gaining hand-on experience. In all the, the study recommended that the National Archives should be involved in the “planning and design of electronic systems that contain records” (Kemoni, 2009:196).

In a case study undertaken by the Ministry of Finance in Uganda on the management of financial records in government, Akotia (2000) established that throughout the government of Uganda, ICT was considered an indispensable tool for enhancing productivity but that little attention was paid to information management issues and to understanding the forces of change that affect the form and integrity of the record created within an IT environment. Akotia (2000) also observed that the Ministry had no capacity for managing the basic

elements of an electronic records programme including: staff who understood the functional requirements for record keeping and had the competencies and skills required to manage electronic information delivery systems; legal and administrative requirements for managing electronic records; and accurately documented policies, standard operating procedures and formal methodologies for managing e-records.

Mutiti (2002) conducted a study to determine the application of computers in records and archives management and the issues of electronic records keeping within the ESARBICA region. Mutiti (2002) emphasised that the study not only sought established computer applications in records management but investigated the challenges registry personnel faced in managing electronic records. In this study, data was collected through the search of websites of archives institutions in the ESARBICA region, supplemented by questionnaires to archival institutions. The study established that computers were used to perform several recordkeeping functions such as word processing, control of holdings, retrieval of records and document imaging. The study also found that though electronic recordkeeping systems were absent in ESARBICA, the responsibility of managing electronic records systems was vested in national archival institutions in countries such as Botswana, Kenya, South Africa, and Zimbabwe. It also established that many archivists were not conversant with techniques of managing electronic records. Since it was merely exploratory, as a direction for further research, the study recommended that national surveys of public institutions should be conducted to take a full assessment of electronic records as a sound basis for managing electronic records in the ESARBICA region. Following from this recommendation, there have been some attempts, albeit isolated and uncoordinated, of subsequent empirical studies on the management of electronic records in the region in general as discussed in the sections that follow.

In Lesotho, an investigation by Sejane (2004) revealed that e-records in the public sector were not being well managed. Sejane (2004) investigated how the electronic records were currently created and the strategies and policies used in managing them. Interview schedules and observations were used to collect data from records management personnel from 19 ministries and the National Archivist. The study revealed that there was a lack of enabling legislation, policy, strategies, qualified personnel and guidelines in the managing of e-records in Lesotho. The study recommended that there should be public sector policy formulation, allocation of more resources and ICT infrastructure as well as trained personnel in Lesotho.

Sejane (2004) also recommended a model based on the South African model that espouses the transfer of archival electronic records into archival custody. Critiques have however rightly argued that the study did not explain why South Africa had departed from this practice by letting electronic records stay in the custody of creating institutions (Kirkwood and Venter, 2000 cited in Abbott 2001: 64). In addition, others argue that the model recommended did not take into account hybrid systems and the fact that electronic records in Africa are being created in an environment where the status of records management is very poor (Nengomasha, 2009).

Ngulube (2004) conducted a study to ascertain how electronic records were managed in sixteen selected countries in Sub-Saharan Africa (SSA). In this survey, data was collected through the administration of questionnaires to 34 respondents from the National Archives of Angola, Botswana, South Africa, Kenya, Lesotho, Mozambique, Malawi, Namibia, Seychelles, Swaziland, Tanzania, Uganda, Zambia, Zanzibar and Zimbabwe. The findings of the study revealed that the surveyed institutions largely used the available computers used for basic word-processing activities. It showed that South Africa and Kenya National Archives were the only institutions that had procedures for appraisal and disposition, manuals and guidelines, as well as personnel with formal training to manage electronic records in public agencies. In addition, the study revealed that there was a lack of staff trained to deal with information generated by modern computer technology and that out of the 16 institutions surveyed, only one (6.3%) had procedures for periodically migrating records. South Africa was the only country with legislation that specifically addressed the management of electronic records.

Ngulube (2004) recommended that there is need for archivists to formulate policies that specifically address the management of electronic records, as well as their access and active involvement in the entire life-cycle of records. Other recommendations of the study included the call for deliberate efforts in increasing the pool of archivists with ICT skills through partnership with institutions of higher learning in SSA, legislation to protect electronic records, and the funding and use of appropriate document management strategies and models. The study, however, did not go into measuring the depth of electronic records management and did not elaborate on the kind of strategies or models alluded to in the recommendations. The current study builds on this and sought to, among other objectives, examine the current

records management practices in the context of understanding e-records readiness in labour organisations in Botswana.

Unlike, Ngulube (2004), Wato (2005) specifically explored the concept of e-records readiness in the ESARBICA region. Like other previous studies, questionnaires were sent to all National Archives in the ESARBICA region and responses were received from Botswana, Kenya, Mozambique, South Africa, Swaziland, Tanzania, Zambia, Zanzibar and Zimbabwe. The e-records readiness issues investigated included the policy and legislation framework, standardization, authenticity, preservation, training, and physical infrastructure regarding the management of electronic records. The key findings were that while in South Africa the authenticity of e-records was supported by the Archives Act, Tanzania and Mozambique did not even have a national ICT policy. The study also confirmed other findings from previous studies and showed that all the nine (9) surveyed institutions showed inadequate skills in e-records management. Further, six (6) of the respondents (Kenya, Tanzania, Botswana, South Africa, Mozambique and Zambia) said they sensitized record creators on e-records management while all National Archives in the all nine countries said had not carried out any survey on the status of e-records created by the public sector. They also indicated that owing to poor storage facilities and specialized skills, they had no ability to preserve electronic records. On a rating of ICT infrastructure, six countries (Kenya, Tanzania, Botswana, South Africa, Mozambique and Zambia) felt that their ICT infrastructure was moderate, while three (Zambia, Swaziland and Zanzibar) rated theirs as poor. Of those surveyed, only (4) four (South Africa, Tanzania, Zanzibar, Swaziland) had archival legislation that addressed the unique challenges of e-records. The study recommended that archival institutions in the ESARBICA region acquaint themselves more with electronic records rather than just the traditional focus on paper-based records. It further recommended the need for archival institutions to understand the impact of ICTs on records management, improve their ICT competencies and skills in creation, use, maintenance and preservation of e-records as well as formulate minimum standards for e-records in the ESARBICA region.

However, Wato's (2005) study was also exploratory and superficial in that it did not delve into detail of the key tenets that guide the measurement of e-record readiness in organisations. In other words, the study was more general and did not interrogate the e-records readiness tools and their applicability to any sector specific organisations as this current study is doing. The current study sought to complement this and goes beyond



National Archives institutions to focus on assessing e-records readiness in non-governmental institutions, in this case, labour organisations.

While this was not an empirical study, Mnjama and Wamukoya (2007) presented general literature on ICT, records management and e-governance and the challenges faced by archivists and records managers particularly in developing countries as they deal with records generated by ICT. The paper presented general literature on ICT, records management and e-governance and the challenges faced by archivists and records managers particularly in developing countries as they deal with records generated by ICT. It was argued that while many governments have systems and procedures for managing paper-based records, the same cannot be said for electronic records. The paper demonstrated that, without proper planning and adoption of various methods, e-records created using modern ICT are likely to become inaccessible in future, thus compromising the ability to remain accountable to the citizens. The paper indicated that while various e-records readiness tools are available in developed countries, none of them addresses e-records readiness issues in Africa; and that systems and procedures for managing records both paper and electronic are inadequate. The paper provided a simple tool for assessing a country's e-readiness for the adoption of e-records in an e-government environment and underscored the fact that in designing any e-records management system, it was important to ensure the essential characteristics of comprehensiveness, authenticity (audit trails) and fixity (e-records should be tamper proof) were taken into account.

Though generally descriptive and not based on an empirical study, Mnjama and Wamukoya (2007:283) also provided some guidance on areas, adopted from the IRMT e-records readiness assessment tool, with regard to assessing e-records readiness. These areas which may be in methodological respects useful to this study include the following:

- Is there a law(s) governing the management of public sector e-records?
- If no law(s) exists for managing e-records are there any policies, regulations or procedures developed for the management of e-records?
- Do these policies, regulations or procedures cover the entire life cycle of the e-records?
- Is there any government institution charged with the responsibility of managing e-records?

- Is this institution responsible for the formulation of government-wide policies and procedures for managing e-records?
- Do government-wide procedure manuals exist for managing e-records?
- Does the e-records management manual if it exists:
  - Identify and assign responsibilities on who manages e-records?
  - Have step by step procedures for managing each stage of the life cycle of e-records?
  - Indicate the retention periods for each type of e-record?
  - Contain arrangements for selection and preservation of permanent e-records?
  - Provide guidelines on issues relating to access of e-records?
  - How often are these procedures manuals reviewed in order to comply with technological developments?
- Are there any linkages between the e-records programme and the paper-based records management programme?
- How are e-records captured and classified?
- Is there a system in place for tracking changes made on the e-record?
- Do procedures exist for regular transfer of e-records from current to semi-current or non-current storage?
- Is there an established system for the review and disposal of e-records no longer required by the organisation?
- Are staff adequately trained to manage e-records?
- How often is the e-records programme audited for compliance with local, regional or international best practice?
- Are there adequate facilities for the storage of e-records?
- Are there any disaster preparedness plans for e-records?
- Are regular backups made for all valuable e-records?
- Is there regular migration of information from one medium to another or from one system to another?
- Are these procedures for data migration documented?
- How is the system protected against authorised access?

Moloi (2006) also investigated the management of e-records in a government setting in Botswana. The study sought to determine the status of the policy and legislative framework

as well as the challenges of the management of electronic records. In this study, a two-stage research design strategy involving a case study of government ministries and a survey of the respondents within government ministries was used. The population of study consisted of Director, Botswana National Archives and Records Services (BNARS), representative of the Director, Department of Information Technology (DIT), records staff, IT specialists, and action officers. The key findings showed that, unlike the developed countries e-records management had not received immense interest in Botswana and that e-records management in government in Botswana was in its formative years and is relatively new. The study underscored the fact that Botswana lacks an e-records management policy making it difficult to identify, maintain and preserve e-records. The study made key recommendations which included the need for Botswana government to consider among other things, benchmarking against best practices of developed countries with regard to the systematic management of e-records.

As in Keakopa (2006), this study was also generally on e-records management in the public sector. Though it does provide some useful background information to this current study, it did not examine in some detail the concept of e-records readiness and its applicability to the public sector or other agencies such as labour organisations. It only recommended further research on the management of e-records in parastatal organisations.

Keakopa (2006) investigated the opportunities and challenges in the management of electronic records in Botswana, Namibia and South Africa. The study explored the background to information communication and technology (ICT) development and how it impacts on recordkeeping practices in the three countries. In addition, it examined strategies employed by the national archives of the three countries in the management of electronic records and outlined and examined the environment in which ICT in the three countries is developing. The study exposed the computerisation strategies in government agencies and examined the role of the national archives in the management of electronic records in these countries. Like other previous studies reviewed, data was collected using qualitative methods using the questionnaires, interviews and discussions with key personnel within the ICT industry, government agencies and national archives in the three countries.

The key findings cited several challenges that included limited ICT infrastructure, scarce human and financial resources. However, governments in the three countries, together with

the private sector were making significant efforts and the increasing use of ICT in the three countries has impacted on recordkeeping practices in government agencies by enabling creation, capture, maintenance, use and disposition of electronic records. Like other previous studies, Keakopa (2006) found that in Botswana and Namibia no policies and procedures were in place to enable the management of electronic records whereas these were present in South Africa. The study also confirmed that gaps in staffing levels and professional training for the management of electronic records in the three countries were evident. It also confirmed, like other studies that while Botswana and Namibia did not have clearly laid out strategies for managing electronic records, South Africa did and that amongst the three countries, South Africa emerged as a good model since it had updated its legal provision to enable the management of electronic records.

The study also indicated that in spite of the challenges faced, ICT had developed well and positively impacted recordkeeping in the three countries with South Africa having taken great strides in developing policies, procedures, strategies and legislation for the management of electronic records in government agencies Botswana and Namibia are seen as lagging behind. The key recommendations, like other previous studies, included the need for training and human capacity building for the management of electronic records. Like Moloji (2006), Keakopa's (2006) study, though providing more comparative depth on the management of electronic records in South Africa, Namibia and Botswana, was generally on e-records management and did not discuss e-record readiness in these countries under study. It does, however, provide rich information on electronic records management that will guide the current study. The current study complemented this to examine e-records readiness in labour organisations in Botswana.

In a recent empirical study, Kemoni (2007) investigated the records management practices in government ministries headquarters in Kenya. The study was conducted in that context to find out how records management affected public service delivery. Although the study was not specifically on electronic records, one of the key objectives was to establish the extent of application of computer technology to records management. The study collected data through questionnaires that were administered to 157 registry, personnel and interviews with 10 senior ministerial officers and six Kenya National Archives and Documentation Service (KNADS) archives personnel. In this study an observation checklist was further used to

verify data obtained from registry personnel and senior ministerial officers in the ministries surveyed.

The key findings of the study were that existing policies and practices for managing records throughout their continuum were not effective and affected. In terms of management of electronic records, the study established that most registry personnel did not have computers or did not use computers to create records. Like in Wato (2005)'s study in the ESARBICA region, archives personnel had not undertaken a survey to determine the extent of electronic records created in the public sector. Similarly, they faced challenges in managing electronic records. The study underscored the need for KNADS to expand the scope of records management guidance offered to records creating agencies, review records and archives legislation, provide ICT education and training to archives and records management personnel and empower them to conduct surveys to establish the extent of electronic records generated in the public service and the conditions under which they were kept if the record management practices were to ensure effective improved public service delivery in Kenya. However, like others, Kemoni's (2007) study though useful to this current study tended to focus more on general record management rather than electronic records and e-record readiness in particular.

A recent empirical study by Nengomasha (2009) provides essential insights to this current study. Nengomasha (2009) aimed, among other objectives, to establish the e-records readiness of the public service of Namibia by applying the IRMT Electronic Records Readiness Tool discussed in detail in Section 3.5.2. The study was conducted in Namibia from February to August 2007 and just like Keakopa's study, used a qualitative approach through observations and interviews as data collection techniques. Accordingly, face to face interviews were conducted with 85 respondents including 43 action officers, 20 records keeping staff, 10 heads of records keeping function and 8 information technology (IT) staff in 8 ministries (from a total of 20), 2 regional councils (from a total of 13) and 2 municipalities (from a total of 18). Convenience sampling was used to select the ministries, regional councils and one of the two municipalities. The municipality in the capital Windhoek was selected based on critical sampling which implied purposefully selecting information rich cases due to its size and critical importance to the study. The selection of individual respondents in the categories of records keeping staff, IT officer, head of records keeping function and action officer was based on both purposive and convenience sampling in that

each category was represented by whoever was available for interview in that category. Also interviewed were two respondents, each purposively selected from the National Archives, which is mandated to provide a records management service to the public service. Two officers were selected from the Office of the Prime Minister, which is spearheading the plans to acquire and implement an electronic records management system in the public service.

Confirming Keakopa's (2006) observations, the findings pointed to the fact that the existing records management policies, systems and procedures in the public sector in Namibia were weak. The study further observed that since the country had adopted e-government strategies, there were now corresponding challenges arising out of the increasing reliance on electronic records. Nengomasha (2009) recommended an integrated (paper and electronic records) records management programme as a model for managing public service records to support accountability, transparency and good governance in Namibia. The model was also based on compliance with the best practices on the policies, methods, procedures, tools and processes that were already being used to address the challenges of records management in the public service of Namibia. The proposed model explains the steps that would have to be undertaken for the public service in Namibia to strengthen the electronic records environment within the context of e-government. These included determining resource requirements, reviewing the legal and regulatory framework, reviewing records management standards and procedures, developing records centres, managing archives, implementing an electronic records management system and sustainability of the records management programme. This model or framework for the records management programme is said to have been adapted from the World Bank (2000) while the various components of the programme were drawn from established records management theory and best practices such as Public Record Office [UK] (1999), New South Wales (2003), International Organisation for Standardisation (ISO) (2001) and Kansas State Historical Society (2005). Therefore, like the current study, Nengomasha (2009), among other objectives, assessed e-records readiness based on selected existing IRMT indicators.

In his recent thesis Luyombya (2010) also examined the framework for effective management of digital records in Uganda by surveying 23 ministries that form the Uganda Public Service (UPS). The study sought to establish the current state of digital records in the UPS and determine the factors hindering the managing of digital records. The study adopted a multiple methodology in data collection like earlier studies (Kemoni 2007, Keakopa, 2007,

Nengomasha, 2009) and drew on the 'records continuum' concept for its conceptual framework. Primary data was collected using questionnaires and semi-structured interviews that provided insight and illuminated personal experiences of those involved in the management of records and of digital systems in Uganda. Data was collected from senior and middle managers, ICT managers and records managers, through a total of 40 interviews. The findings of the study revealed that the problems with Digital Records Management (DRM) were due to the absence of ICT facilities with recordkeeping functionality, a lack of clear policies, guidelines and procedures, and to the fact that the Uganda Records and Archives legislation is not fully implemented and not properly enforced. The study posits that the failure to fully implement the National Records and Archives Act has led to a lack of appropriate institutional and managerial structures. The study cited similar problems like the other studies such as the lack of a reliable power supply and of sufficient financial resources and human capacity. Although no UPS ministry has a complete Electronic Document and Records Management System (EDRMS), the survey of many ministries provided comprehensive evidence of the dynamism in the use of ICT that led to the generation of digital records.

The study recommendations are in four key areas: the need for formal legal infrastructure; the need to establish formal instruments in particular a national archives agency with appropriate policies, procedures and guidelines; and the development of both robust DRM infrastructure and of appropriately skilled human resource capacity. It underscores the fact that these factors were necessary and needed to be addressed urgently in order to assure government that it is accountable to its citizens in the digital world. Although this study was not specifically on e-records readiness, it provided insights into the methodology and understanding of the depth of electronic records management in the public sector in general and in Uganda in particular.

From the studies above, it is evident that both developed and developing countries are grappling with the challenging issues of managing and preserving e-records for continued access and posterity. For most countries in the ESARBICA region, these challenges include among others, the lack of support and recognition for quality records management; lack of understanding by public officials and decision makers about the importance of records management; the absence of or weaknesses in legislation, policies and guidelines; technological obsolescence of both hardware and software; inadequate education and training; and poor preservation of electronic records. The studies also point out that in the

ESARBICA region, electronic records are being created in public institutions and some are being mismanaged or lost. In Botswana for example, a lot of electronic records are being generated within government and other agencies in several forms such as word-processed documents, spreadsheets, databases and e-mail. However, most organisations do not seem to have a framework for managing e-records, resulting in the danger that the e-records generated may not be retained and preserved as e-archives. In most of the cases, poor records management has resulted in information gaps, leading to incomplete public records and documentary heritage.

The empirical studies also established that the public sector did not only have legislation that specifically dealt with managing electronic records but that it also lacked written policies, strategies and guidelines. It is also evident that limited institutions have procedures for appraisal and disposition of electronic records, manuals and guidelines, for management of electronic records in public agencies, as well as personnel with formal training in managing digital records. As indicated in the subsequent sections, other studies by IRMT also confirmed these challenges and advocated for developing countries to develop assessment tools that will assist governmental organisations and other agencies to assess their e-records readiness against internationally accepted standards of managing records. This current study also focused on the assessing e-records readiness in labour organisations in Botswana. The details about this e-records readiness tool and its relevance to this thesis are well documented in section 3.2.5.1

With specific reference to e-records readiness in Botswana, the literature reviewed above shows that the concept is still evolving and there are few studies that have been devoted to assessing e-records readiness. The only available recent studies by Mutula (2005), Keakopa (2006) and Moloji (2006) have tended to have limited focus on e-readiness or have largely focused on discussing e-records management in government, business or private sector in Botswana. For example, Mutula's (2005) study was largely on developing e-readiness models with an emphasis on information access in small and medium enterprises in Botswana; Keakopa (2006) had a comparative case study approach that looked at the challenges and opportunities for the management of electronic records in Botswana, Namibia and South Africa; while Moloji (2006) investigated e-records management in government in general with a proposal for future research to be extended to parastatal organisations in Botswana. Other studies reviewed above that were carried out elsewhere in the region as well



as scholarly contributions within ESARBICA by Akotia (2002), Mutiti (2002), Katuu (2004), Ngulube (2004), Wamukoya and Mutula (2005), Wamukoya and Mnjama (2007) and Wato (2006) have generally looked at the challenges of e-records management capacity and have made attempts to recommend, among others, the need for e-records readiness as critical to an effective e-records management strategy in the region. In terms of proposing a model or framework, Ngulube's (2004) study, for example, goes in only as far as recommending for an "appropriate document management and model". However, only Nengomasha's (2009) study, suggested a model in support of e-government in Namibia based, in part, on selected indicators adapted from the IRMT's e-records readiness tool.

In conclusion, the literature reviewed points to the fact that although most of the studies do allude to e-records readiness in some way, none particularly examined the concept in depth, more so with reference to labour organisations in Botswana. As a point of departure, the current study attempts to build on these studies to assess e-records readiness in labour organisations, a sector not covered in any of the studies.

### **3.7 ELECTRONIC RECORDS MANAGEMENT, E-READINESS AND E-RECORDS READINESS**

As indicated in Chapter 1 Section 1.1.5, the literature reviewed shows that e-readiness, electronic records management and e-records readiness are conceptually distinct but highly complementary terms. Electronic records management has emerged in parallel with the evolution of ICTs. It is usually defined as the application of records management principles in an electronic environment. E-records management is the planning, controlling, directing, organising, training, promoting, and other managerial activities related to the creation, maintenance and use, and disposition of records ICTs. This is meant to achieve adequate and proper documentation of an organisation's policies and transactions and effective and economical management of agency operations (Dearstyne, 2002; Wamukoya & Mutula, 2005). E-records readiness, on the other hand, has been defined as the depth and breadth or the capacity of organisations in having the required institutional, legal framework, ICT infrastructure anchored on a systematic records and information management programme. In other words, whereas e-readiness may be described as the generic degree to which a society is prepared to participate in an e-environment; e-records readiness goes far beyond to measure the extent to which organisations have e-records management systems that ensure that e-

records, like counterpart traditional paper records, are captured, managed and conform to the obligatory recordkeeping practices that ensure that records are protected for informational and evidential purposes (IRMT, 2004). It is the depth and breadth or the capacity of organisations in having the required institutional, legal framework, ICT infrastructure, and records and information management programme based on the generic information and recordkeeping practices (IRMT, 2004).

E-records readiness assessments are, therefore, meant to guide development efforts by providing benchmarks for comparison and gauging progress in organisations in understanding the depth of e-records management. The assessments assist in the ability for organisations to accurately establish, articulate and prioritise e-records and information management needs based on institutional capabilities thus illuminating the potential opportunities and challenges that the electronic and information age presents. Accordingly, e-records readiness assessment tools are instruments or methodologies that can be used to evaluate e-records readiness capacity of organisations through assigning several measurement criteria that address the required institutional, legal framework, ICT as well as the records and information management infrastructure in an e-environment (IRMT, 2004; McLeod, Childs & Heaford, 2006). The present study focused on assessing and developing a framework for understanding e-records readiness in labour organisations in Botswana. These concepts and their relevance to the current studies are articulated in the sections that follow.

### **3.7.1 E-readiness assessment models/tools**

Over the past years, e-readiness assessment has increasingly taken centre stage in the planning and development of the technical and institutional capabilities required for the electronic age in most countries of the world. In this regard, a number of e-readiness assessment models and tools have been developed and applied across the breadth of most countries. There is common consensus from the literature reviewed that such e-readiness assessment models and tools can be divided into two main categories: those that focus on assessing the basic infrastructure or a nation's readiness for business or economic growth; and those that focus on assessing the ability of the country to benefit from ICTs. Particularly, Bridges.org (2001) suggests that most assessments are focused on assessing:

- Physical infrastructure (telephone, electricity etc) with high bandwidth, reliable, and affordable;
- High-speed access to ICT in government, healthcare facilities and homes;
- Integration and use of ICT in everyday life;
- Existence of government policies that support and promote connectedness;
- Existence of legislative and regulatory framework;
- Provision of adequate information communication channels;
- Existence of legislative and regulatory framework;
- Provision of adequate information communication channels;
- Guaranteed user privacy and online security; and
- Universal access – technologies which are accessible and usable by all citizens including the very young and the elderly, and people with different disabilities.

For example, some models and tools assess the readiness of communities for living in the networked world (Computer Systems Policy Project [CSPP], 1988) or for e-commerce (Centre for International Development at the Harvard University [CID], 2000: [http://www.schoolnet africa.org/english/policy\\_centre/assessment\\_tools.html](http://www.schoolnet africa.org/english/policy_centre/assessment_tools.html)). There are those models and tools that target countries and assess their readiness for e-commerce (Asian Pacific Economic Co-operation [APEC], 2000: <http://www.ecommerce.gov/apec>) or the growth of e-commerce in such countries (World Technology and Service Alliance [WITSA] 2000). Other models and tools focus on countries and seek to assess their capacities for effective participation in the emerging global digital economy (McConnell 2000); while others, such as the Centre for International Development and Conflict Management at the Maryland University [CIDCM], 2001: <http://www.bsos.umd.edu/cidcm/projects/leland.htm>), specifically target developing countries and seek to assess the diffusion of ICT and more specifically the Internet use. As observed by Little and Bose (2004), it is important to note that in most developing countries like Botswana, such assessments have thus formed the basis for the development of ICT policies that have guided the development of an information society and facilitated e-government. The National Policy (Botswana) for ICT (2007:5) also acknowledges this:

...formal ICT benchmarking and e-readiness assessments were conducted in June of 2004. These studies were invaluable in helping to determine the current state of ICT

diffusion in Botswana and thereby clearly identifying the level of effort required to achieve the National ICT vision, goals and objectives.

It is also important to note that the objectives of e-readiness assessment models and tools can be varied and wide, each with its own designed focus hence the need to strive for comprehensiveness. In a comparison of e-readiness assessment models and tools, Bridges.org (2001:1) pointed out that while many have common characteristics between them, each has its own definition of e-readiness and something unique about its measurement criteria. This multiplicity of individual standards of e-readiness clearly entails that there is no one and accurate tool or way of measuring e-readiness. Bridges.org (2001:1) thus argued for the need for a more “comprehensive model than was available, one that offers a holistic view of the need for ICT and the constraints that hamper ICT access and use”.

Mutula and van Brakel (2006:212) concur and recommend the need for a comprehensive tool that should be integrated, with an emphasis on information access, and should cover information readiness; enterprise readiness, human resource readiness, ICT (infrastructure) readiness and external environment readiness.

In a critical review Dada (2006:6), also concurs that most e-readiness studies were simplistic narrow national ICT assessments with a wider or macro focus that ignored the micro or organisational level. According to Dada (2006:6), most of e-readiness studies neither “explain what is required for an organisation to gain benefits from ICT and how this may vary depending on the type of technology” nor do they clarify the “the perception of the individuals [that] actually [use] the technology to gain benefits.” Dada (2006:6-12), then proposed an integrated approach or model that outlined the significance of both “e-readiness (the environment level)” and the “user technology acceptance (the organisational level)” as key factors to having a “richer understanding” of e-readiness in developing countries.

It is instructive from this analysis that most scholars agree that while the e-readiness assessment tools are essential, they have “their own benefits and limitations” and thus require to be “carefully studied in order to fulfill the required goals”; and that every model may “require re-designing in order for it to be a comprehensive assessment tool.”

Though this analysis focused on the general review of e-readiness, and not e-records readiness per se, it does lend credence to the approach in the current study that emphasised the need to embrace both user ICT acceptance and national e-readiness environment as part of the broader and richer understanding of e-readiness in labour organisations.

### **3.7.2 E-Records readiness assessment model/tools**

The IRMT, one of the forerunners to the development of e-records readiness assessment tools, observed that most of the generic e-readiness assessment tools alluded to in section 3.5.1 above though they refer to records and information, do not accurately assess the e-records readiness per se since they “do not permit an accurate assessment of e-records readiness in organisations” (IRMT, 2004:1). The IRMT (2004:1) argues that in most countries, “early stages of e-government implementation tend to focus on enabling technologies and architectures to support online delivery of government services and information [and] as these architectures mature”, the focus is increasingly directed to the quality and integrity of the digital information and e-records that are being created, managed and delivered as a result of electronic applications. The IRMT (2004:5) carried out several studies which revealed various challenges and impediments to the management of both paper and e-records in developing countries as follows:

- absence of organisational plans for managing e-records;
- low awareness of the role of records management in supporting organisational efficiency and accountability;
- lack of stewardship and co-ordination in handling paper-based as well as e-records;
- absence of legislation, organisational policies and procedures to guide the management of both paper and e-records;
- absence of core competencies in records and archives management;
- lack of appropriate facilities and environmental conditions for the storage and preservation of paper as well as e-records;
- absence of dedicated budgets for records management; poor security and confidentiality controls;
- lack of records retention and disposal policies;
- absence of migration strategies for e-records; and
- absence of vital records and disaster preparedness and recovery plans.

To address these issues, IRMT and the World Bank initiated a programme in 2003 with the aim of developing an assessment tool that will assist governmental organisations and other agencies to assess their e-records readiness against internationally accepted standards. The e-records readiness tools were intended to provide a benchmark for organisations to assess themselves and to determine where they stand relative to the above issues cited above. The IRMT (2004) argued that most e-readiness tools were general in nature and that while they assessed e-readiness in general, they did not make specific reference to records management requirements ISO15489/1 (2002) and the European Commission Model for the Management of E-records (MoReq).

The next section critically discusses some key e-records readiness tools such as the IRMT e-readiness tools, UK NHS Information Governance Toolkit (IGT), National Archives of Canada Information Capacity Check Model (IMCC) and the Risk Profiler for Records and Information Management by Archives and Records Management Association (ARMA)

### **3.7.2.1 IRMT e-records readiness tools**

The IRMT developed e-readiness assessment tools to assist governmental organisations and other agencies to assess their e-records readiness against internationally accepted standards. The IRMT e-records readiness tool was intended to provide a benchmark for organisations to assess themselves and to determine where they stand relative to the challenges of management of electronic records. The e-records readiness tool was designed to be used in conjunction with existing e-government readiness tools to permit a high-level assessment of the infrastructure and capacity required to manage records and information. It was intended to provide information to assist organisations to develop plans and strategies aimed at improving both their paper-based and e-records environments. The tool uses a brief questionnaire that provides a risk assessment of e-records readiness in government, at national and enterprise levels. The areas addressed by the tool include among others: staff competencies in maintaining software and hardware; human resource capacity; telecommunication infrastructure to support growing volume of work; adequacy of electric power; information management policies and responsibilities; information management products and technologies; internal and public awareness programme of information management; compliance with information management procedures such as security,

documentation standards and system engineering procedures for ICT; guidelines for management of electronic records; national ICT strategies; supportive legal and regulatory framework for information management; and freedom of information and protection of privacy. Specifically, the tool addresses the following issues:

- Awareness and ownership;
- ICT – records management integration;
- Laws, policies, and procedures;
- Resources and training;
- Records management program management; and
- Long-term preservation and accessibility.

**(a) Awareness and ownership**

This has to do with the extent to which senior management are aware, understand, and demonstrate commitment to a clear vision and set of objectives for the management of both paper and e-records. The level of awareness and commitment can be used to gauge where an organisation is placed in terms of records management readiness on a scale of 1-5 as follows:

- (1) Level 1: Senior management has no understanding of and commitment to the management of the organisation’s records.
- (2) Level 2: Senior management has a broad understanding of and recognises the need to embrace and support records management in the organisation.
- (3) Level 3: Senior management is highly committed to and is supportive of records management programmes in the organisation.
- (4) Level 4: Senior management has created an environment whereby records management is highly valued as part of the organisation’s overall information management strategy.
- (5) Level 5: The organisation is recognised for its stewardship and leadership role in implementing records management programmes.

**(b) ICT – records management integration**

The level of integration between paper-based systems and electronic systems should therefore be assessed adequately in an organisation. The IRMT posits that research has established that in Africa, with such examples being Ghana and Tanzania, the nexus between paper-based records systems determines the success or failure of electronic records management projects. It has been cited that in most instances filing systems are unreliable and inconsistent,

resulting in poor information capture and access. It has been pointed out that “automated systems cannot simply be super-imposed on dysfunctional or chaotic paper systems” (IRMT, 2004:2). Thus there is need to manage paper records first and that when a decision is reached to automate, there is a necessity to maintain some sort of hybrid system which allows for parallel or complimentary paper and electronic systems to co-exist for a period of time. It is also important to allow for gradual integration of the manual/paper system with the computerised system by focusing on specific products that support the business process. Further, it is critical to consolidate the computerised system by focusing on e-records legislation, policies, systems, procedures, standards and resources.

### **(c) Laws, policies and procedures**

The level of commitment to managing e-records can be gauged by the existence or non-existence of such things as the existence of records management policies and procedures. However, the mere existence of a law or policy is not enough evidence that the organisation is committed to managing its e-records. It has been observed that in many governments and other agencies, policies and guidance for managing the records of government are often non-existent and the legislative and regulatory framework is often weak or out-dated. In some countries the responsibility for managing the information on which government and citizens depend is often not properly assigned or is unclear. It is also important to note that the existence of a records management policy that does not embrace all forms of records and particularly electronic and digital records is inadequate. In assessing laws, policies and procedures, it is of vital importance to examine whether the government accepts electronic records as evidence.

### **(d) Resources and training**

The availability of trained personnel and resources therefore become an assessable area in determining a country’s or organisation’s e-records readiness. Key resources such as trained staff, equipment, basic supplies and money, are critical strategic functioning of an organisation.

### **(e) Records management programme management**

Records management programmes that not only address the traditional aspects of managing paper records, but also which to a large extent address the new challenges posed by e-records need to be assessed. Such records management programmes must be supported by well-



defined policies and procedures, trained personnel and well-equipped storage facilities. The effective and systematic creation, distribution, maintenance, use and disposal of records, regardless of the format, demonstrate an organisation's ability to reflect the internationally acceptable records management standards.

In addition to the e-records readiness tool, the IRMT indicated that where problems are identified that require further analysis, it recommended Records Management Capacity Assessment System (RMCAS) software tool to support a more in-depth evaluation and to identify relevant capacity building resources. RMCAS was developed as part of the Trust's Evidence-Based Governance in the Electronic Age Project, which has been funded by the World Bank. To develop RMCAS, the Trust drew upon previous research, which demonstrated the relationship between records management, financial management and accountability. One of the aims of the Evidence-Based Governance project was to build on this work and to develop tools to diagnose problem areas and indicate pathways for improvement, taking into account organisational capacity. In developing RMCAS the Trust's aim has been to provide a means not only of evaluating whether the infrastructure of laws, organisational structures, policies, procedures and facilities exist to manage records effectively, but also to provide a methodology with which to identify problems and begin to plan solutions.

RMCAS was designed to be used in conjunction with existing e-government e-readiness tools to permit a high-level assessment of the infrastructure and capacity required to manage e-records and information (IRMT, 2004:1). It was also developed to supplement self-assessment tool that can "provide a risk assessment of e-records readiness both at the government-wide, national level and at the agency-specific levels". This self-assessment questionnaire consists of "twelve components of e-records readiness. The first six components address national, government-wide e-records readiness, while the last six components address agency-specific e-records readiness. Each e-records readiness component is described at three possible stages of capacity" (IRMT, 2004:1). Thus going through the description of each of the components, one can "decide whether the government or the agency best fits stage 1, 2 or 3 descriptions. The tool is meant to provide a high-level assessment". The "statements in the stage description" may not always apply in all situations and one may have to "choose the description that most closely matches" ones scenario.

In addition, the IRMT developed another tool that could complement the assessment of e-records readiness in organisations called Integrating Records Management in ICT Systems: Good Practice Indicator. Though this tool was designed to assist governments determine whether or not records management requirements are integrated in ICT systems, it could be adapted to other organisations as well. It was envisioned that the tool would assist in identifying and measuring if records management good practices could be achieved, from the planning and design stage through to implementation. The specific purposes of the tool are threefold:

- to provide a high-level guide to integrating record management in ICT systems;
- to define good practices for managing records created and held in ICT systems; and
- to provide selective indicators that can be used to determine whether or not good records management policies and practices are integrated in ICT systems.

The good practice statements that underpin this tool were derived from generally accepted international standards and records management requirements which include:

- Module 3, Guidelines and Functional Requirements for Records in Business Systems, ICA: Functional Specifications. Business Information Systems Software, National Archives of Australia;
- MoReq 2, Model Requirements Specification for the Management of Electronic Records;
- ISO 15489: 2001: Information and Documentation – Records Management; and
- The E-Records Readiness Tool, International Records Management Trust.

The tool was designed to measure the strengths and weaknesses of records management integration in three separate categories:

- the laws, policies, governance, strategies and evaluation mechanisms that must be in place to provide a compliance framework to ensure records management requirements are included in ICT systems;
- the integration of records management requirements in ICT systems during the systems development life cycle; and
- the capability of an existing ICT system to meet record management requirements.

While the tool does not address in detail the broader requirements for an overall records management programme, it recognises that there must be a framework of records management policies, strategies and responsibilities within which records management integration takes place. This implies that records management in ICT systems must be governed by the same organisational policies and accountabilities as records management in all other forms, including paper filing systems and records created and held by office systems (email, correspondence, memoranda, reports, spreadsheets, etc). The good practice statements could be used for a high-level assessment of the legal, policy and accountability framework that supports all forms of records management. The statements of good practice and their corresponding indicators were organised in three categories (IRMT, 2008).

1. Records Management Framework: A framework must be in place to ensure that recordkeeping is taken into account when designing and implementing ICT systems. The category is subdivided as follows:
  - legal and policy framework;
  - management structure;
  - records management strategy; and
  - evaluation and audit.
  
2. Integrating Records Management in the Systems Development Life Cycle: This category is based on the premise that the integration of recordkeeping functionality in ICT systems is best accomplished in the context of system planning, design, testing, implementation and review. The sub-categories are:
  - project initiation;
  - planning;
  - requirements analysis;
  - design;
  - implementation;
  - maintenance; and
  - review and evaluation.
  
3. Integrating Records Management Functionality in ICT Systems: This addresses the extent to which records management has been integrated in existing ICT systems. It

considers what the system must do to support the creation, organisation, use, retention and final disposition of records. The sub-categories are:

- creating and capturing records;
- managing and maintaining records;
- managing hybrid records;
- searching, accessing and retrieving records; and
- retaining and disposing of records.

One of the objectives of the current study was to ascertain the best-practice framework of the integration of ICTs in the management of records in the labour organisations in Botswana. Some of the key indicators for such an assessment were derived from the IRMT framework described in the foregoing paragraphs.

### **3.7.2.2 Information Governance Toolkit (IGT)**

The Information Governance Toolkit (IGT) was developed by the UK Department of Health and the National Health Services (NHS) Information Authority (now called the NHS Connecting Health). This tool was intended for internal use to NHS and NHS organisations. The IGT is applied organisation-wide and covers elements of information governance management, records management (health, freedom of information, data protection, confidentiality, data quality/accreditation and information security (McLeod, Childs & Heaford, 2006).

This toolkit was developed in 2003-04 by the department of Health and the National Health Service (NHS) information Authority. This is a UK government department that has the aim to improve the health and wellbeing of people in England. It manages health and social care at the national level. The delivery of their services is through the NHS and social services. The purpose and intended audience of the toolkit is internal to the NHS and NHS organisation. It is accessible via the NHS intranet only. The toolkit is used as a mandatory annual requirement as part of the NHS assurance framework. Its aim is to assess NHS organisation information governance and their compliance with legal and regulatory requirements. The toolkit was first issued in the NHS financial year 2003-04 and is revised annually. An NHS records management code of practice has been developed and this informs the content of the IGT. IGT applies organisation wide and covers elements such as information governance management, records management (primary health records), freedom

of information (including records management for administrative records), data protection confidentiality, data quality accreditation, information security and the NHS national Plan for IT. It is a wide based tool that provides for simple benchmarking/auditing across a large organisation. Although this tool gives some background information, the study did not draw much on it in terms of devising the indicators to measure e-records readiness because of its restrictive focus on organisation information governance and their compliance with legal and regulatory requirements.

### **3.7.2.3 Information Management Capacity Check (IMCC) Tool/ Methodology**

The IMCC tool and methodology was developed by the National Archives of Canada which is now part of the Library and Archives Canada. The tool was developed to help Canadian Federal departments and agencies assess their current IM capabilities against industry standard and best practices and developed a strategic plan to improve their IM capacity and practices. It was intended to be used as a diagnostic tool for senior management to self-assess their organisation's information management capabilities with the objectives to:

- assess the state of information management practices within each organisation against a common standard;
- bring together all the elements of information management practices;
- compare against best practices; and
- develop plans for improvements to their information management practices.

The methodology comprises setting up a project team, collecting data from staff through workshops and interview and analyzing the documents, establishing results, assessment through discussion, and producing a report.

It comprises six key elements of the information management practices namely the organisational context; organisation capabilities; management of IM; compliance and quality; records and information life-cycle and user perspective with criteria under each element (32 in total) where each criteria is assessed at one of the five capacity levels (1-5) (McLeod, Childs & Heaford, 2006). This tool also provided useful information in understanding the combination of information management and records management in the assessment of e-records management in labour organisations in this current study.

### **3.7.2.4 Risk Profiler for Records and Information Management**

Risk Profiler for Records and Information Management is produced by the Archives and Records Management Association (ARMA) International in conjunction with NetDiligence. This tool is an automated, guided self-assessment tool that provides a diagnostic analysis of the Records Information Management (RIM) programme's strengths and weaknesses focusing on policies and procedures; program structure classification plan effectiveness; records security and protection; active and inactive programme effectiveness; monitoring and training (McLeod, Childs & Heaford, 2006).

The records and information management questions used in the tool were created by a group of experienced RIM professionals, some of whom are actively involved in developing records management standards in the United States and internationally. These entire professionals are certified records managers. To determine whether a records management program is an asset or potential liability is to conduct a self-assessment. ARMA International in conjunction with NetDiligence, developed an online assessment solution. This Web-based tool allows organisations to assess and document records management programs against ARMA-interpreted best practices in the spirit of ISO 15489, the international records management standard. The standard is recognised worldwide as establishing the baseline for excellence in records management programs.

The assessment is a user-friendly, automated, guided self-assessment tool that provides a diagnostic analysis of RIM program's strengths and weaknesses. The assessment consists of approximately 90 questions (yes, no, and text response), developed by a team of experienced RIM professionals, spanning the following categories:

- Policies and procedures;
- Program structure;
- Classification plan effectiveness;
- Records security and protection;
- Active program effectiveness;
- Inactive program effectiveness; and
- Monitoring and training.

On completion of the questionnaire, one will receive a summary report card with scores for each section, including a brief summary of the pertinent best practices and a copy of the questions and the user's answers with best practice comments. The toolkit was used to assess a government ministry in Holland. The ministry had approximately 4,000 employees and the user that tested the tool was a member of staff. The user is said to have been a member of the Dutch Records Management Convention (RMC) and required to make a records management case at their congress.

There was also the interest in finding out where the ministry stood in light of a large digitisation process that it had started. The toolkit achieved the purpose set out for it which was to conduct a quick scan of the organisation's compliance with ISO 15489. The tool was described as very effective in giving a rather complete overview of where the user stood in the battle of compliance and in the goal to establish good overall record and information management. The user found that in certain areas the ministry was better than had been expected. The strength of this toolkit was the focus on information management more than document and records management alone. Further, use of the tool was considered probable through integration within a system for quality management. There was also a request for more comprehensive help information and best practices. As with the other tools, this was useful to the current study in that it provided the practical aspects on how an assessment could be carried out based on records management standards, the ISO 15489. In the current study, these are some of the indicators that were used to examine records management practices for within the context of e-records readiness in the labour organisations.

### **3.8 THE NEED FOR E-RECORDS READINESS ASSESSMENT IN LABOUR ORGANISATIONS IN BOTSWANA**

It is evident from the literature reviewed that most African countries continue to grapple with the challenges of the management of e-records. Although most countries in ESARBICA have attempted to put in place some programmes to manage records in general, there are no known clear strategies initiated either to manage electronic records or have e-records readiness assessments rigorously carried out. Keakopa (2010:67) in a recent critical appraisal of the management of electronic records in the ESARBICA highlights the persistent "limitations from research conducted in the region in providing appropriate solutions for the management of this new format of records". Other earlier discussions such as the one held in Vienna,

Austria on 26 August 2004 between some members of Africa Branch of the International Council on Archives International Records Management Trust (IRMT) and the National Archives of England and Wales have also emphasised the need for effective records management in Africa with respect to capacity building in the area of e-records management. In the same vein, earlier e-readiness assessments undertaken by SADC E-readiness Task Force in 2002 also underscored similar challenges. These include staff competencies, skills and tools needed to manage e-business processes (Wamukoya & Mutula, 2006).

The literature also revealed that there is insufficient capacity and training to articulate e-records issues. There is also no well articulated guidance and input to policy makers and planners from records and information managers, and national archivists in the ESARBICA. This has been compounded by the fact that at policy level, senior officials and legislators are often unaware of the requirement to manage electronic records over time so that the evidence base of government will be secure and accessible when needed by authorized users. There is also inadequate attention being paid to long-term preservation requirement given that at the planning and operational level, systems designers and IT specialists tend to focus primarily on current information needs (IRMT, 2004). Literature also points to the fact that, it would seem that by and large, the statutory institutions with responsibility for archives in Africa fall short of the e-readiness standards of even the IRMT benchmarks (Wamukoya and Mutula, 2006).

Further, although there are some isolated efforts, there are no clear and systematic strategies that are being implemented for making a transition from paper-based systems to electronic means. As earlier noted, the lessons learned in the ESARBICA have shown “that automated systems cannot simply be superimposed on dysfunctional or chaotic paper systems, as this has often been a recipe for failure in many countries” (IRMT, 2004:4). It is thus often argued that since many organisations especially governments have largely operated in a paper-based environment for a very long time, the change process from paper to e-systems continues to pose a lot of challenges (IRMT, 2004). Thus, in summary, the literature reviewed indicates the following key points regarding e-records readiness in Botswana:

- The concept is still evolving and there are few studies that have been devoted to assessing e-records readiness in Botswana;



- Most studies have tended to have limited focus on e-readiness in general or have largely focused on discussing e-records management in government in Botswana;
- There appears to be an evolving analytical framework to explain and support the assessment of e-records limited to the public sector;
- The extent of usefulness of the existing e-records readiness framework has not been established in labour organisations in Botswana;
- The extent of e-records readiness in labour organisations in Botswana has not been ascertained in literature; and
- There is limited information of an established framework for the assessment of e-records readiness in labour organisations in Botswana.

Therefore, the need for e-records readiness in labour organisations cannot be over emphasised. The thrust of this study, among other objectives, was to evaluate the usefulness of the existing e-records readiness assessment models/tools in labour organisations in Botswana. This was important in establishing the extent of the applicability of the key tenets of such tools and in developing a framework that could be useful to assess e-records readiness in labour organisations. In this context, the following questions were considered helpful:

- Can what e-records readiness assessments models and tools measure in terms of content and context be applied to sectors other than those intended?
- To what extent have the e-records readiness assessment processes and methodology improved the understanding of e-records readiness and brought about related benefits in electronic management in organisations?
- Have the e-records readiness assessments been sufficient to target the use of ICT and records and information in a broader development context as seen by all stakeholders?
- How effective have the e-readiness assessment processes and methodology been in records management projects in terms of planning, design, implementation, and support?
- How should the e-records readiness assessment be extrapolated and improved within the context of national e-readiness strategies beyond the public sector?

- What can labour organisations accomplish in terms of e-records readiness within the existing ICT resources capabilities including the attendant challenges to be encountered?

It is these questions above that underline the need to examine e-records readiness assessment models and tools so that their usefulness to the management of e-records in labour organisations is ascertained. This implies that this study methodologically deduced key elements from various existing models so as to assess e-records readiness as well as recommend an appropriate framework for assessing e-records readiness in labour organisations. In other words, the current study builds on the existing body of knowledge on the e-records readiness assessment models/tools as a basis for developing a framework for assessing e-readiness in labour organisations in Botswana. The e-records readiness assessment framework will be meant to determine the principal capability factors upon which e-records management for labour organisations depends, and the levels of e-records readiness that is appropriate for implementing an e-records readiness programme.

McLeod, Childs and Heaford (2006) conducted a critical evaluation of some of the e-records readiness tools from a practical and theoretical perspective which may provide useful information in deciding the appropriate use of such tools in the assessment of e-records readiness. The evaluation used toolkit developers, selected users and independent researchers to assess and benchmark an organisation's records management capacity and/or compliance. The results of evaluation were not meant to rank the tools but rather provided its main features; indicating examples of some users' perspective regarding the strength and weaknesses of the tools based on different scenarios. This was intended to raise the awareness of the availability of the tools and their approximate and appropriate applicability in a variety of contexts. McLeod, Childs and Heaford (2006:26), thus provide some useful conclusions as well as advice in selecting any of the tools in matching the purpose and intended use:

- if the intended audience is the public sector then choose a toolkit designed for the sector;
- if the intended user is not a records professional (records expert) then choose one that is designed for other information management and related professionals (e.g. data protection or freedom of information officers);

- if the purpose is to engage others in the assessment process, as part of awareness-raising or change management, choose one which is specifically designed to require or enable that to happen and consider the level of involvement and the range of stakeholders required (from operational staff to strategic senior managers);
- if you specifically want an easy way to collect, analyse and/or present data from assessment, focus on the input and output options available;
- if the purpose is to benchmark against best practice then choose one which explicitly focuses on the ISO 15489 standard;
- if you want to assess more than records management, e.g. information governance or information, then choose a tool which sets the assessment in that wider context; and
- inevitably, resource constraints, be they time, money or expertise, may influence your choice.

Following from this, the evaluation of these assessment tools shows that in terms of content, context, purpose and target audience, all the tools have different purposes, audiences and coverage and that organisation would need to select the most appropriate tools “depending on their own context and requirement” (McLeod, Childs & Heaford, 2006:26). Thus for example, the IRMT tool has a records management bias and was geared towards the public sector in that it was meant to evaluate functional areas such as legal, human resources and financial areas within public agencies. It is said to have been tested in Kenya, Botswana and Canada (McLeod, Childs & Heaford, 2006:26). The IMCC tends to be holistic in dealing with records and information management in a “wider information management and business context”. The Risk Profiler for Records and Information Management can be also used in wider context but requires registration fees (McLeod, Childs & Heaford, 2006:26).

For the current study whose key focus is on assessing e-record readiness in labour organisations, the IRMT and other tools provided some useful framework as a starting point for such a task. The current study therefore deduced the key underlining tenets from a combination of e-records readiness models/tools, e-readiness models/tools, and ICT uptake models as basis for the assessment and development of framework of e-records readiness in labour organisations. As alluded to later in Chapter 4, the data collection instruments such as the questionnaires, semi-structured interviews, and observations were thus designed and premised on the indicators derived from these tools and models.

### **3.9 SUMMARY**

This chapter aimed at presenting the theoretical or conceptual framework and reviewed pertinent literature that guides the current study. The chapter has pointed out that since ICTs are the facilitative platforms for e-records management, it is appropriate that a complement of ICT adoption and records management theories and models guide the conceptual framework of the current study. Based on literature, the chapter thus demonstrates that the question of ICT adoption in labour organisations remains a challenge. The chapter underscores the fact that labour organisations need to modernise and transform their business operations, establishments and processes anchored on ICT adoption and use. However, literature world-wide has shown, that unlike government and private sector, labour organisations have tended to be slow to embrace and utilise the new technologies. The chapter also points to the fact that the management of electronic records remains challenging and that although the developed world has initiated several projects to provide guidelines and standards, such efforts remain far and wide in Africa.

With specific reference to understanding the depth of e-records readiness, most empirical studies in Africa and Botswana in particular, have tended to focus more on the management of electronic records in general with a bias to public and private sectors. This current study, while acknowledging the need to understand the state of the management of electronic records in labour organisations, goes further to investigate ICT adoption and use as well as e-records readiness using key tenets derived from the IRMT and other key e-records assessment tools. This formed the basis for the proposed framework for the assessment of e-records readiness in labour organisations in Botswana as presented in Chapter seven.

# CHAPTER FOUR

## RESEARCH METHODOLOGY

### 4.1 INTRODUCTION

In a study such as this one, several authors contend that it is essential to state the research design and methodology (Aina, 2002; Bless & Higson-Smith, 2000; Kemoni, 2007; Ngulube, 2003). Bless and Higson-Smith (2000) state that a research design and methodology is a plan that provides the overall framework for collecting data and also allows the researcher to draw conclusions between variables. Hence, once the problem has been correctly formulated, a methodology is developed in order to provide a format for the detailed steps in a study. As appropriately observed by Kemoni (2007:113) citing Kothari (2004:31), this involves the “decisions regarding what, where, when, how much, by what means concerning an inquiry or a research study”.

Accordingly, in the research process, while the statement of the problem is the ‘heart and soul of it all’, the research methodology can be said to be the ‘blue print’, in that, it explains how the research questions will be answered and, therefore, serves as a bridge between research questions and execution of the research, thus explaining how a researcher conducted a particular study.

In the current study, Chapter One described the statement of the problem, which entailed assessing e-records readiness for labour organisations in Botswana. Chapter Two and Three, then, provided the context and theoretical perspective that informed this study. It follows that in a research process, the next logical step was to carry out the empirical study. However, to do this, it is prudent that the methodology is described and justified. The methodology as (Creswell, 2003:5) rightly observes is the “strategy or plan of action that links the methods to outcomes”.

This chapter, thus, presents the research methodology of the study. The chapter focuses on the research procedure used; study population and justification; data collection instruments;

validity and reliability of the instruments; data collection procedures; problems encountered during data collection, processing and analysis of data; ethical considerations and evaluation of research methodology. The sections that follow discuss these in greater detail.

## **4.2 JUSTIFICATION OF RESEARCH PARADIGM AND METHODOLOGY**

Research as a social inquiry is founded on particular philosophical assumptions. Over the years, research has, therefore, been built on several contending paradigms or philosophies. In the social sciences, two notable and major research traditions, namely the positivist and interpretative have guided the styles of reasoning and ultimately shaped specific research methodologies and outcomes. The debate about these paradigms has raged since the mid-nineteenth century (Ngulube, 2003; William, Burstein & McKemish, 2000).

Positivism refers to researchers attempting to apply natural sciences research methods to the social sciences; whereas interpretivism is where researchers emphasise the meanings made by people as they interpret the world in a natural setting (William, Burstein & McKemish, 2000). Positivism is associated with deductive reasoning which is usually linked to hypothesis testing. In deductive reasoning, an argument moves from the general principles to particular instances (William, Burstein & McKemish, 2000). In other words, the truth of the premise guarantees the truth of the conclusion. Interpretivism on the other hand, is associated with inductive reasoning. Inductive reasoning begins with particular instances and concludes with general statements or principles. It is associated with hypothesis generation in that field work and observations occur initially and hypotheses are generated from data collected (William, Burstein & McKemish, 2000). Usually, the positivist paradigm has been associated with quantitative research methods but authorities argue that qualitative methods are also used particularly by post-positivists (Denzin & Lincoln, 2000; Myers, 1999). Equally, interpretivism is largely associated with qualitative methods but quantitative methods may be used as well (William, Burstein & McKemish, 2000).

Understanding this philosophical symbiosis is therefore critical as we discuss the convergence of research methodologies in the proceeding sections. Accordingly, this study drew upon both qualitative and quantitative methods as guiding paradigms. As has been justified, an empirical study such as this one that sought to understand ICT uptake and use;

current records and information management practice; the integration of ICTs in the management of records; and the status of e-records readiness required a blend of both paradigms.

#### **4.2.1 Qualitative, quantitative and mixed methods debate**

Though from literature reviewed there is no agreement on their merits and demerits, the quantitative and qualitative research paradigms are the most widely recognised and used in the social sciences in general, and particularly in library and information science research. Of late, however, there has been the re-examination of this “two-horse” race paradigm, with several authorities advocating a third emerging paradigm called the mixed methods research (MMR). Creswell (2003); Fidel (2008); Teddlie and Tashakkori (2003); Ngulube, Mukwatlo and Ndwendwe (2009); Ngulube (2010) have all advocated consideration of such a paradigm in order to enrich the research process.

Literature also revealed that the distinction or contrasts of any of these paradigms can be based on particular assumptions, premised on what Creswell (1994:4) called the ontology (nature of the reality – whether it is objective or subjective), epistemology (the relationship of the researcher to what is being researched – whether there is independence or high interaction of involvement of the researcher), axiology (the role of values in the research process – whether it is value-free or biased), rhetorical (the language of the research – whether it is formal or informal) and the methodology (the process of research - whether it is deductive or inductive) of the research process.

Thus by definition, quantitative research is usually defined as an objective approach which includes collecting and analysing numerical data and application of statistical tests, such as frequencies and central tendencies (mean, median and mode), whereby conclusions can be deduced. Golafshani (2003:597) summarises quantitative research as a paradigm where:

- (1) Emphasis is on facts and causes of behavior measured by predetermined instrument;
- (2) Reliability - measured as reliability of results, and validity as accuracy of measurement are essential tools;
- (3) The information is in the form of numbers that can be quantified and summarised;
- (4) The mathematical process is the norm for analysing the numeric data; and
- (5) The final result is expressed in statistical terminologies.

On the other hand, a qualitative research is a subjective approach which includes examining and reflecting on perceptions in order to gain an understanding of social and human activities. Thus qualitative research uses a naturalistic approach to study and understand context-specific setting (Golafshani, 2003:600), such as the “real world setting where the researcher does not attempt to manipulate the phenomenon of interest” (Patton, 2002:39). Unlike quantitative researchers that would seek to understand the casual determination, prediction and generalisation of findings, qualitative researchers, seek illumination, understanding, and extrapolation to similar situations (Golafshani, 2003; Hoepfl, 1997). In that regard, we can also summarise the qualitative research paradigm as:

- (1) Emphasizing understanding a phenomenon in a naturalistic or context-specific environment (Golafshani, 2003; Hoepfl, 1999);
- (2) Reliability and validity are conceptualized as “trustworthiness, rigour” and quality through triangulation (Golafshani, 2003:604);
- (3) Increased involvement of researchers in the research process rather than dissociation guided by the question of objectivity; and
- (4) Analysis of results enjoys the compatibility of research methods such as interviews and observations with the reward of using both numbers and words (Glesne & Peshkin, 1992:8).

Currently, there is now a built consensus that the “mixed methods have come of age.” (Creswell, 2003:4). Mixed methods research is a rapidly emerging alternative research paradigm. Several scholars have contributed significantly in shaping and augmenting it as an alternative and credible construct in the social science (e.g., Creswell & Plano Clark 2007; Greene 2007; Johnson & Christensen 2008; Johnson & Onwuegbuzie, 2004; Teddlie & Tashakkori 2009); and in library and information science (LIS) (e.g., Fidel, 2008; Ngulube, Mukwatlo & Ndwedwe, 2009; Ngulube, 2010).

It is important to note that the combination or integration of both approaches has been a subject of intense debate for a long time and can be traced to three decades ago (Fidel, 2008; Ngulube, 2010). Ngulube (2010:254) has, for example, identified it with earlier scholars such as Campbell and Fiske (1959) with others such as Denzin (1978) having developed the idea further. In recent times though, scholars have continued this debate. For example, Bradley and Sutton (1993); Sutton (1993), are of the view that these approaches represent different ways of viewing reality and therefore cannot be combined. Others such as Ford (1987) have



argued for the integration of two paradigms depending on the research problems under consideration; while Mellon (1990:5) though agreeing with such integration, warns that great care needs to be taken since the methods are “separate and distinct from one another, with different purposes, methods and outcomes”. Other key and ardent recent writers on the subject such as Creswell (2003); Fidel (2008) Greene, Caracelli, and Graham (1989); Hewson (2006), Johnson, Onwuegbuzie, and Turner (2007); Leech and Onwuegbuzie (2009), Ngulube (2010); have all added their discourse to this paradigm and advocated the need to integrate the two paradigms.

Authorities have, however, cautioned against the temptation to vaguely combine the two approaches and call it mixed methods (Fidel, 2008; Ngulube, 2010). In fact, recent studies by Ngulube, Mukwatlo and Ndwendwe (2009) as well as by Ngulube (2010) on the extent of the use and prevalence of mixed methods in South Africa, between 2002-2008, and Sub-Saharan Africa (SSA) between 2004-2008, respectively, showed a limited use of mixed methods by LIS scholars with most of them relying on qualitative methods. Ngulube, Mukwatlo and Ndwendwe (2009:114) also revealed that, in the few studies that used mixed methods “mixing of methods was more prevalent during data collection than analysis and inference [and] researchers that used MMR vaguely alluded to the reasons why”.

While Ngulube, Mukwatlo and Ndwendwe (2009:114) tend to motivate LIS researchers in South Africa and SSA to embrace mixed methods as they provide an opportunity to “overcome the deficiencies of one single method”, they also provide a framework of what should constitute mixed methods. They accordingly argue that mixed methods are simply not done for the sake of mixing. They concur with other authorities and advise that mixed methods should reflect “integrating the two standpoints throughout the whole research process” (Ngulube, Mukwatlo & Ndwedwe, 2009:115). The authors provide useful guidance that:

...in essence, mixed methods research is more than collecting two or more types of data. In line with MMR, research method designs should be used by researchers in the LIS field in South Africa to collect and analyse data, integrate the findings and draw inferences using both qualitative and quantitative methods if they are to truly become part of the ‘third paradigm wave’ or ‘third methodological movement’ as Creswell and Garrent (2008) and Teddlie and Tashakkori (2003) prefer to call it.

Ngulube (2010:254) thus attempts to provide a consolidated definition that is useful to this study:

MMR involves collecting, analyzing, integrating and interpreting qualitative and quantitative data concurrently or sequentially in a single study or a series of studies investigating the same problem, irrespective of whichever research methodology is dominant, in order to exploit the benefits of combining them and to enhance the validity of the findings.

One can therefore deduce from the debate above that there is no best research methodology that can be used to carry out an investigation; instead researchers try to adapt appropriate methodologies depending on the type of study (Moahi, 2002). Creswell (2003:21) also advises that the criterion for selecting an approach takes into account many factors that may include “the research problem, the personal experience of the researcher, and the audiences”.

The overall objective of the current study was to assess e-records readiness with a view to developing an integrated e-records readiness framework for labour organisations in Botswana. In order to achieve this, the current study, among other key issues, required to ascertain:

- ICT uptake and use;
- Current records and information management practices;
- Depth and breadth of e-records readiness;
- The integration of icts in the management of records; and
- National strategies in the integration of labour organisations in the information society in Botswana;

Chapter 2 and 3 did allude to the fact that the assessment of ICT uptake and use is fundamental because ICTs are the prime drivers in the creation and management of e-records and information. Thus examining ICT uptake and use in labour organisations is appropriate since it provides background information to understanding the assessment of e-records readiness in these organisations. It follows that understanding ICT uptake and use involves looking at the ‘who’, ‘what’, ‘where’, ‘how much’, ‘how many’, ‘how’ and ‘why’ labour organisations have access to the technologies to underscore their integration in the information society in Botswana. Such measurements require some quantitative analysis on the uptake or adoption of ICTs. It also requires answering the ‘why’ question to understand the depth of the extent of adoption and use of ICTs. Further, assessing the current records

management practices requires among other things, benchmarking the management records to 'best practice' indicators or adopted international standard and practice. This also lends to the inquiry seeking to answer 'what', 'how' and 'why'. In addition, understanding the depth and breadth of e-records readiness and the integration of ICTs in records management is also value-laden and will require some qualitative inquiry. This also applies to the assessment of how national information and ICT strategies serve to integrate labour organisations in the information society in Botswana.

In this regard, though the current study is guided largely by a quantitative paradigm; it is, however, complemented by a qualitative preliminary inquiry in the form of an exploratory survey and methodological triangulation during data collection. The preliminary inquiry was meant to gain familiarity and establish research issues with regard to e-records readiness and records management as well as clarity in the definition of the population of the study. As explained in detail in the subsequent sections, methodological triangulation of questionnaires with qualitative data collected through interviews, observations and document review shed light on the phenomenon under study. Thus, while the study does not qualify as a mixed method per se as alluded to above, it can be stated that it drew upon both quantitative and qualitative methods.

The reasons for adopting a largely quantitative approach is that the study was a descriptive survey and used questionnaires to collect data on the status of ICT uptake and use in labour organisations as well as the current records and information management practices. However, the study required more qualitative inquiry on the depth and breadth of e-records readiness as well as the depth of ICT integration with records management functionalities in labour organisations. Such qualitative understanding required use of semi-structured interviews, observations and document review.

As earlier highlighted, the combination or integration of both approaches has been the subject of intense debate given the emergency of the mixed method paradigm. There is always the temptation to combine the two approaches and call it mixed methods. However, this current study rested on the continuum of the two approaches and while the study endeavoured to triangulate several data collection methods, it did not qualify to be a MMR because the mixing was minimal and was not at all the stages of the research process. As explained by Creswell (2003), a mixed methods approach must have three distinctive mixed research

strategies namely (a) sequential strategies (where qualitative data is collected and analysed before the quantitative data collection and analysis or vice versa) (b) concurrent method (where data is collected using both qualitative and quantitative procedures simultaneously) and (c) transformational techniques (i.e. using a theoretical perspective).

In discussing how a research problem can influence the selection of the approach, Creswell (2003) suggests that "...if the problem is identifying factors that influence an outcome, the utility of an intervention, or understanding the best predictors of outcomes, then a quantitative approach is the best". He further suggests that "if a concept or phenomenon needs to be understood because there is little research that has been done on it, then, it merits a qualitative approach". As indicated earlier, this study is exploratory and descriptive but also investigates a concept that is new and evolving - e-records readiness. Therefore, to understand ICT uptake and use; current records and information management practices; the integration ICTs in the management of records; and the depth and breadth of e-records readiness requires a blend of both paradigms. It is a situation in research that can "better be served by a marriage of two traditions" since the methods are not mutually exclusive (Bryman, 1988:173).

### **4.3 RESEARCH PROCEDURES**

As in any research process, the choice of the paradigms discussed above laid ground for the type of research strategy that was employed. In this study, the survey research strategy was used. This research strategy and the appropriateness for this study are discussed below.

#### **4.3.1 Survey**

This study employed the survey research procedure to assess the e-records readiness with a view to developing an integrated e-records readiness framework for labour organisations in Botswana. The survey approach involves the collection of primary data from all or part of a population in order to determine the incidence, distribution, and inter relationships of certain variables within the population (Ngulube, 2005; Tanner, 2000). Most status, exploratory or descriptive surveys tend to describe particular phenomenon, that is, its current situation, its properties and conditions, thus answering the 'who', 'what', 'when', 'where', 'how many' and 'how much' questions. Some surveys are even more analytical or explanatory and try to

probe further to explain the ‘how’ and ‘why’ by exploring interrelationships of variables and likely casual relationships (Tanner, 2000:73). Thus depending on the research problem at hand, a survey may be concerned with continuum of things, ranging from basic primary fact gathering with enumerations and descriptions to sophisticated statistical hypothesis testing (Tanner, 2000:73). Surveys can also be longitudinal which is conducted over extended periods of time, usually years or cross-sectional, which focuses on the state of the population in single dimension or just at one point (Ngulube, 2005:200; Tanner, 2000:81).

Surveys are largely quantitative and have been a widely used method in the field of library and information management (LIS) research in the world (Ngulube, 2005; Kemoni, 2007, Tanner, 2000). For example, one useful illustrative study is by Ngulube (2005:131) which established that, out of 82 theses that were submitted and approved by the University of Natal during the period 1982 to 2002, the survey method accounted for 56 (69.14%) of the methods used. Several other studies on information and records management reviewed in Chapter 3 (e.g. Ngulube, 2003; Kemoni, 2007) used the survey approach.

Many scholars have alluded to the fact that surveys have limitations such as failure to establishing the casual relationship between variables; problems of self-reporting the increases bias, effects of sampling techniques, non-response rates, etc (Ngulube, 2005:201; Tanner, 2000:84). However, as observed by others, the attraction of economy in design and rapid turn-around in data collection warrants their use relevant for many studies including this one (Ngulube, 2005:201; Tanner, 2000:83).

For the purpose of the current study, the survey strategy was found appropriate in order to “describe, compare, contrast, classify, analyse and interpret implications of the findings” on (ICT) uptake and use; current records and information management practices; the integration of ICTs in the management of records; and the status of e-records readiness in labour organisations in Botswana (Ngulube, 2003:198).

This survey is broader than a record survey which is defined as a systematic procedure used by archivists, records managers and others to gather information about records not in their immediate custody. Such a survey typically covers all records, active and inactive, valuable and ephemeral, in storage and current use and in paper and other media (Fleckner 1977; IRMT 1999). Therefore, for the purpose of this study, the survey transcended the records

management survey, in that, while it included main stream issues on records management such as records during their current, semi current and non-current stages, the procedures for their creation, distribution, maintenance, use, retention scheduling, appraisal and disposition; issues of ICT uptake as well as ICT integration in records management functionalities were investigated as well.

### **4.3.2 Study population**

Population of the study refers to the body of people or collection of items under consideration for research (Babbie, 2004; Collis & Hussey, 2003; Powell, 1997). Thus for example, a set of records, or an event, or an institution, or people could constitute a study population. Further, depending on the size of the population and the purpose of the study, the whole universe or subset of the population (sample), can be studied. In most cases, time and cost considerations, does not make it possible to study the whole population though this is the most desirable situation. For most small populations, however, it is preferred that the whole population is studied. A study of the entire population is called a census. This study used the census approach because there were only 50 units of analysis that were identified as discussed in the sections that follow.

Many scholars affirm that there is no point in sampling a population of less than 100 units of analysis. For instance, Williamson and Bow (2000:72) observes that there is a common misunderstanding by “novices undertaking survey research” regarding the “concepts population and sample” and points out that “where a population is small, for example, a small business of 50 employees, it is feasible to survey all elements of that population”. Ngulube (2005:130) also affirms that it is generally agreed that there is little point in sampling populations of less than 100.

In this study, there were 50 registered labour organisations in Botswana. The 50 registered labour organisations, therefore, constituted the target population for the study. The offices of the General Secretary have full administrative powers and direct the operations of each union. In each of the 50 registered labour organisations, this office was the administrative unit of analysis which received and answered the questionnaire and also facilitated any other relevant means of data collection through interviews, observations and document review. The 50 units of analysis of the study were identified from the 2010 latest data capture on

trade union registration at the Registrar of Trade Unions, Ministry of Labour and Home Affairs. A detailed list is provided in appendix 6.

Furthermore, there were follow-up interviews with personnel that dealt with the management of records and information in some sites to gain more insight and validation of information regarding the integration of ICT with records and information functions. This was also supplemented with interviews with personnel at the Botswana National Archives & Records Services (BNARS), Department of Information Technology (DIT), Ministry of Labour and the Botswana Federation of Trade Unions (BFTU) to understand the extent of government efforts in the integration of labour organisations into the information society initiatives in the country.

### **4.3.3 Data collection methods and instrumentation**

Data collection refers to ways in which the data was collected in the field, to a specified sample or study population. Usually, the research methodology influences the choice of the type of techniques and instruments that are used and that techniques employed for data collection should ensure their validity and reliability. The commonly used techniques and instruments are questionnaires, interviews, observation and document analysis (Aina, 2002; Onyango, 2002).

In this study, four techniques were employed for data collection, namely: questionnaire, interview, observation, and document review. Each of these tools is described in detail below.

#### **4.3.3.1 Questionnaire**

Questionnaires are the most common instruments used in survey research designs. They are frequently used in library and information science discipline especially in understanding users, evaluating information services, users' information requirements, user satisfaction, usage patterns (Williamson & Bow, 2002:217). Several studies in records and information management cited in this study such as Keakopa (2006), Kemoni (2007); Ngulube (2003) all used a questionnaire in their studies.

A questionnaire is a research instrument consisting of a series of questions and other prompts for the purpose of gathering information from respondents. According to Mertens (2002), a questionnaire contains questions and is an instrument used for gathering data. Oates (2008) also defines questionnaire as a set of pre-defined set of questions (or items), arranged in a pre-determined order, whereby respondents are requested to answer those questions, thus providing the researcher with data that can be analysed and interpreted. Collis and Hussey (2003) also affirm that, the use of the questionnaire is one of the data collection methods whereby a selected group of participants are asked to complete a set of structured questions, to find out what they do, perceive, think or feel about it.

According to Collis and Hussey (2003), Oates (2008), and Onyango (2002), the use of questionnaires has relative advantages and disadvantages. Some of the advantages of questionnaires are:

- a) Ability to collect data from a large number of people within a relatively short period of time;
- b) Ability to encourage frankness and completion without the researcher being present;
- c) Obtaining fixed standardized types of answers (with pre-defined range of answers) thus eliminating too much variation of answers; and
- d) Cheap and less time consuming.

On the other hand, they were of the view that the disadvantages of using questionnaires include:

- a) Failure of some respondents to get clarification on ambiguous questions when the researcher is not there; and
- b) Costs of printing or photocopying to meet the desired population may be considerably high.

#### ***4.3.3.1.1 Questionnaire Structure***

When using a questionnaire, the responses are gathered in a standardised way so that questionnaires are more objective. Questionnaires are of different categories, closed (or structured) questionnaires, open-ended (or unstructured) questionnaires or may be both (Onyango, 2002). In the closed questionnaire, respondents are provided with alternative answers in which they are required to select one or more answers depending on the way the



question has been structured. While, in the open-ended questionnaire, respondents are not provided with alternative answers, they are permitted to provide great depth of free responses depending on the way the question has been structured. In other cases, they may be a combination of both.

In this study, a structured questionnaire was used whereby respondents were asked to provide information which they filled in. The type of data collected was that which addressed the three objectives of this study as stipulated under section 1.5 (i.e. objectives of the study) of Chapter One. Thus, the aim of the questionnaire in this study was to get information regarding the following:

1. ICT uptake and use based on adapted indicators;
2. Current records and information management practices based on standard records management indicators; and
3. Depth and breadth of e-record readiness based on adapted standard indices of e-records readiness tools used.

The questionnaire, therefore, attempted to answer the following research questions:

1. What is the extent of ICT uptake and use in labour organisations in Botswana?
2. What are the current record and information management practices in labour organisations in Botswana?
3. What is the depth (intensity) and breadth (extensiveness) of e-records readiness for labour organisations in Botswana?

The major attraction of using a questionnaire was that it was able to quickly collect information on wider geographical spread on labour organisations in Botswana. Another advantage was that since the unit of analysis was labour organisations, a self-administered questionnaire allowed the Secretary General's office to consult with others within the Executive Committee and office staff before responding. The questionnaire also allowed for convenience of frankness of answering without interference from the researcher.

#### ***4.3.3.1.2 Design of the Questionnaire***

In designing the questionnaire, literature on questionnaire design was reviewed. Some of this included Babbie (2004); Burns (2000); Powell (1997); William and Bow (2000). In literature,

the major tools recommended in developing a questionnaire includes unstructured individual interviews, qualitative group interview, observations, and scanning literature for questionnaires used in similar studies. In the current study, the questionnaire was designed with guidance based on (a) exploratory literature review on the principles and practice of questionnaire design; (b) measurement indicators premised on ICT uptake and use; and several records management standards documents such as ISO 15489: 2001: Information and Documentation – Records Management, IRMT- E-Records Readiness Tool.

The design of the questionnaire also benefited from focused group discussions at the leadership executive workshop of the BFTU on the 8<sup>th</sup> October, 2010 at the Botswana College of Agriculture, Gaborone, Botswana. This workshop brought together representatives of most of the trade unions in Botswana. This gave input in relation to structure, length and suitable terminologies for labour organisations. Preliminary interviews on the questionnaire design were also conducted with the statisticians that were involved as research assistants in data collection and analysis to gain input on the structure of the questions and responses.

#### ***4.3.3.1.3 Length and Layout of the Questionnaire***

There are different kinds of questions used in the questionnaire, namely structured or close-ended questions, unstructured or open-ended questions and contingency questions, also called ‘filter questions’ and matrix questions, which share the same set of response categories, the most common being the likert type scale (William, Burstein & McKemmish, 2002)

In the current study, the questionnaire had a combination of open-ended, closed and contingency type of questions. The questionnaire in this current study had 103 questions. In terms of layout, the questionnaire was exhaustive and addressed topics that the study sought to investigate. It had clear instructions, was divided into sub-sections and questions were well numbered.

The questionnaire was divided into four major sections as objectives listed in Chapter One, namely ICT uptake and use in labour organisations; current records management practice in labour organisations; and e-records readiness in labour organisations. Then there were 18 sub-sections, each of these were a breakdown of the specific issues relating to each of the three sections. In this regard, the issues under the section on the background information

included: the name of trade union; the sector of the trade union; the density of trade union (in terms of membership); and address (more so if they had web presence).

Under the section on ICT uptake and use in labour organisation were sub-sections 1-7 the covering type of ICTs adopted/used; ICTs use and functions of trade unions; ICT access and networking; challenges of ICT adoption and use; ICT/information knowledge, skills and competences; information services in trade unions; and training need in IT/information management.

The section on current records management practice in labour organisations had sub-sections 8-17 and covered issues dealing with format of records; description, creation and use of records; organisation of records; access and security of records; records appraisal, retention and disposal; storage of records; staffing and training; vital records management and disaster management; mail/correspondence management; and e-records management.

Section 18 was on e-records readiness in labour organisations and had several measurement indicators in assessing e-records readiness such as policies, procedures, tools, products and technology.

There is always a debate about the length of a particular questionnaire and there seems to be no agreement. For example Mangione (1998) has argued for the need to have a modest length while others have argued that it not be more than 10 pages and that the number of questions should not be more than 125 (Ngulube, 2003). However, there are some criticisms regarding setting the number of pages and brevity of a questionnaire. Powell (1997:106) states that “the general rule is that the questionnaire should be as short as possible to encourage complete responses”.

The current study had a questionnaire that had 103 questions and was 25 pages long. Though most respondents indicated in certain instances that it was very long, the researcher concurs with Mangione (1998:413) that the most important point to bear is that a questionnaire should “efficiently ask about all the elements that are important to the study”. This study sought to assess the e-records readiness with the view to developing an integrated framework for labour organisations. This required also understanding the depth of ICTs uptake and current records management practices within the theoretical ‘lens’ of the records life cycle and records

continuum elaborated in Chapter three of the study. It also sought to understand the depth and breadth of e-records readiness. This therefore justifies the “encyclopaedic” nature of the questionnaire.

#### ***4.3.3.1.4 Pre-testing the Questionnaire***

Pre-testing is one of the key ways to estimate reliability and validity of research instruments. Powell and Connaway (2004) have observed that it is necessary to pre-test a questionnaire after it has been informally evaluated in order to refine the questions. When pre-testing, the researcher checks the effectiveness of the instruments to eliminate ambiguity and ensure that the respondents understand the questions as intended by the researcher, thereby ensuring validity. William, Burstein and McKemish (2002) also assert that validity is concerned with data accuracy. It simply refers to the extent to which a research instrument is designed to measure what it is intended to. Reliability on the other hand refers to the ability of research instrument to obtain consistent and stable results with replication. Pre-testing is, therefore a research procedure meant to examine the validity and reliability of data to be collected for the purpose of obtaining consistent, dependable and accurate information.

There is no consensus on the number or composition of the sample for pre-testing the questionnaire (Ngulube, 2003). For example, Fowler (1998:369) suggested a sample of individuals from the potential population under study. In terms of the actual numbers, Bradburn, Sudman and Wansink (2004: 317) suggested that it is important to “at least pre-test your questionnaire with ten to twelve colleagues (or better yet) with representatives from the population you will be surveying”. Other scholars (Powell, Baker & Mika, 2002; Simmonds & Andaleeb; 2001) also note that the number should be ten. In this study, the questionnaire was pre-tested in 15 labour organisations that were purposefully selected as explained in section 4.4. Suggestions in terms of structure of questions and use of terms were incorporated to improve the instrument.

#### ***4.3.3.1.5 Administering the questionnaire***

The questionnaires were distributed by hand to each of the registered labour organisation. Three research assistants were recruited with the help of a reputable private research company. These were trained on how to deliver questionnaires to the organisations and were

supervised by the principal researcher to make sure the questionnaires were adequately completed through consistent follow-ups. In order to ensure validity and reliability of the survey results, the questionnaires were administered based on the Total Design Method (TDM) (Ngulube, 2003: 217). Ngulube (2003:218) indicates that the “TDM model advocates the distribution of a carefully constructed, pretested instrument and a cover letter, and multiple follow-up contacts to encourage a high response rate”.

The questionnaires were accompanied by a covering letter that indicated why the researcher had embarked on the study and explained how the organisation would greatly benefit from the study and urged them to complete it. The distribution of the questionnaire started on the 10<sup>th</sup> December, 2010 and after follow up, data collection ended on 28<sup>th</sup> February, 2011. This gave the respondents a time span of close to over 2 months to complete the questionnaire.

#### ***4.3.3.1.6 Response rate to the questionnaires***

In any survey research, the response rate is very critical. Scholars do not agree on what constitutes an adequate response rate. However, most agree that any response above 50% is adequate for analysis (Neuman, 2000; Babbie & Mouton, 2001). For this current study, out of the 50 questionnaires, 45 were returned and considered valid for data analysis. This represents a response rate of 90%. The 90% response rate for the current study was therefore high and very adequate. The main reason for this high rate was largely due to fact that the researcher has had prior good working relations with most of the labour organisations. In addition, most of the labour organisations were enthusiastic about the results of the study as they were eager to know their e-records and information management status.

#### **4.3.3.2 Interviews**

In addition to the questionnaire, interviews were used to complement questionnaire responses. An interview is an important way for the researcher to check the accuracy of what has been gained from an observation or questionnaire. The interview is an oral questionnaire, whereby an interviewee gives direct response to the interviewer orally through either face-to-face or answering through telephone (Onyango, 2002). According to Oates (2006), the use of interview is suitable when a researcher wants to: obtain detailed information, ask questions that are complex or open-ended, or whose order and logic might need to be different for

different people, explore emotions, feelings, experiences, etc that cannot be determined by use of pre-defined questionnaire responses; and investigate sensitive issues, or privileged information that respondents might not wish to write about on paper. Despite these advantages, interviews have their own disadvantages which include: small population coverage, time consuming for the researcher, difficulty to meet appointments, lack of reliability, can be misleading, and require good interviewing skills.

#### **4.3.3.2.1 Administering interviews**

In this current study, follow-up interviews were conducted with personnel that dealt with the management of records/information and ICTs in purposefully selected sites to gain more insight and validation of information regarding the integration of ICT with records and information functions in the labour organisations. This was also supplemented with interviews with personnel at the BNARS, DIT, Ministry of Labour and BFTU to understand the extent of government efforts in integrating labour organisations into the national e-readiness initiatives.

The major issues covered in terms of ascertaining the best-practice framework of the integration of ICTs in the management of records in the labour organisations in Botswana centred on the following attributes:

- (a) Creating and capturing records;
- (b) Managing and maintaining records;
- (c) Searching, accessing and retrieving records;
- (d) Retaining and disposing records;
- (e) Backup strategies;
- (f) Integration of systems; and
- (g) Staffing and training.

The best-practice framework for the integration of ICTs in the management of records was adapted from IRMT guidelines. These guidelines were developed based on several recognised international records management standards practice such as:

- (1) Module 3, Guidelines and Functional Requirements for Records in Business Systems  
ICA; Functional Specifications, Business Information Systems Software, National Archives of Australia, 2006;
- (2) MoReq 2, Model Requirements Specification for the Management of Electronic

Records, 2008;

- (3) ISO 15489: 2001: Information and Documentation – Records Management;
- (4) The E-Records Readiness Tool, International Records Management Trust, 2004; and
- (5) DoD 5015.2 Design Criteria Standard for Electronic Records Management Software Applications (US Department of Defense), 2007.

Details of questions on ICT integration in records management functionalities and national e-readiness integration are presented in interview guides in Appendices 3 and 4 respectively.

#### **4.3.3.3 Observations**

Another method which was used in the study was observation. McCall and Simmons (1969) defined observation as a process in which the researcher's presence in a social situation is maintained for the purpose of investigation. In this technique, the researcher is able to compare what people do with what they said they do. Observation is a data generation technique used to find out what people actually do, rather than what they report when questioned. It involves looking, use of senses other than sight, such as: hearing, smelling, touching and tasting etc, taken in either laboratory setting or natural setting (Collis & Hussey, 2003; Oates, 2006). Adler and Adler (1999) also states that qualitative observation occurs in naturalistic settings without using predetermined categories of measurement or response.

Observations can be conducted through non-participant and participant observation (Collis & Hussey, 2003). In a non-participant observation, action and behaviours of what people do or what is the real situation is observed and recorded without the researcher being present. On the other hand, in participant observation, the researcher participates fully in the observation and recording of actions and behaviours of what people do, or studying the real situation of certain things in their natural or laboratory settings. Observations can also be structured. Structured observation is formal and has a focus on designated behaviour aspects (Powell & Connaway, 2004). In such a case, the researcher has prior knowledge of the criteria to apply to observed behavior. Such an observation is usually conducted in a methodical fashion and has a pre-determined framework.

There are advantages and disadvantages in using observation data collection technique. Onyango (2002) cites the following as some of the advantages of observation:

- Possibility to record behaviour as it occurs;
- Allows the researcher to compare what people actually did against what they said;
- Can identify or highlight behaviours and actions as people might not think it is important to report as they might perceive them to be irrelevant; and
- Subjects that are unable to give verbal reports or communications in common language can also be studied.

On the other hand, the disadvantages of observation include:

- It is not always possible to anticipate events and be able to observe instantly;
- Feasibility of observation can be affected by the duration of an event; and
- It is more difficult to quantify observational data than other forms of data (i.e. behaviour doesn't easily break down into categories).

In this study, a structured participatory observation technique with the aid of an observation checklist was used to overcome the problem of incomplete observation and recording. In this regard, the infrastructure or facilities and resources used in the management of information and records of all the labour organisations were observed. These included equipment used for the creation, storage, processing and handling of records including disaster preparedness (disaster prevention, response and recovery facilities) in all offices concerned. The presence of records earmarked for disposal and layout and design of buildings was also observed. The researcher also observed among others things the inter-linkages of traditional records and electronic records. The researcher also observed how e-records are stored, the types of software that are used, how labour organisations are using them and how they manage their records in accordance with best practices. The following records management issues were captured: procedures/systems used for managing records, tools for accessing and tracking records use, filing systems used, storage equipment for paper records and storage space. Others were records preservation measures, records security measures and the existence of ICTs in the labour organisations. Overall, the observation technique elicited useful data, which was used to verify data obtained with questionnaire and interview schedules. The checklists of the main items which were studied with observation techniques are indicated in Appendix 5. The next section describes the use of documentary review data collection technique.



#### **4.3.3.4 Document review and analysis**

Documentary review is another source of data collection that can supplement the use of questionnaires, interviews, and observations. Documents comprise written material and other documents from the cases under investigation (Patton, 2002). Documentary review refers to the study on documents that detail procedures, policies, acts and standards as requirements for proper functioning of an organisation. In this regard, document review gave the researcher an insight into the activities taking place within the labour organisations within the context of ICT uptake and use; current records management practices, ICT integration in records management functions and e-records readiness.

There are two types of documentary reviews, namely: the found documents and research generated documents. According to Oates (2006), found documents consist of existing documents in the organisation, which include: production schedules, procedure manuals, job description, profit and loss accounts etc. On the other hand, research generated documents are documents that have been generated by other researchers or produced as a result of daily organisation business such as photographs, data flow diagrams, monthly recording of different kinds of requests from help desk (Oates, 2006). Within public offices, there are documents produced by organisations such as formal records, minutes, information communications etc. (Oates, 2006). In addition, previous research documents on organisations such as research data and field notes, publicity funded surveys, and internal organisational research etc. can be a source of secondary data. Forms of documents obtained can be from visual sources of data, oral/sound recordings, or electronic records.

For this current study, documentary review was meant to complement answering research questions number 2, 3 and 4 as outlined in section 1.5.2 in Chapter One. Therefore, this implied critical review of policies, standards, rules and guidelines concerning records management. This information was also meant to collaborate and augment evidence from other sources on e-record readiness. Some of the documents requested to be reviewed and studied included:

- Records management procedures;
- Classification schemes;
- Records management tools including registers;
- Records keeping manuals;

- Records keeping staff job descriptions;
- Vital records protection procedures, including recovery in the event of disaster;
- Retention schedules;
- Documentation on records destruction and vital records inventory; and
- Computer/electronic systems documentation.

Let us now turn to the issues of reliability and validity with regard to the current study.

#### **4.4 RELIABILITY AND VALIDITY**

Reliability and validity are concepts that have evolved and are rooted in positivist tradition, quantitative research. They are now often being used in interpretive or qualitative approaches as well. For quantitative research, reliability seeks to determine “the extent to which data or measurement is consistent” (Hernon & Schwartz, 2009:73). This means that one should be able to get similar results from a “different sample of the same population” or determine “to what degree an instrument measures the same way each time it is used under similar conditions with the same subjects” (Hernon & Schwartz, 2009:73). Validity on the other hand, determines whether the study and the research instruments measure that which it was intended or purported to measure (Hernon & Schwartz, 2009; Golafshani, 2003). As summed up by Golafshani (2003:599), in quantitative research, reliability implies “whether the result is replicable” whereas validity refers to “whether the means of measurement are accurate and whether they are actually measuring what they are intended to measure”.

Hernon and Schwartz (2009:73) have listed three ways to estimate reliability:

- Internal consistency, where researchers write a few sets of questions that measure the same concept. Then, after collecting responses, they might use correlation between both groups of questions to determine whether the instrument reliably measures the concept. Cronbach’s alpha could be used to compute the correlation values.
- Pretest, where researchers might ask some individuals not appearing in the actual study to review the wording on the questions and ensure their meanings are well understood.
- Test and re-test, in this case, the researchers want to determine whether similar results are obtained when the same participants respond to the same test a second time and

nothing has been done between testing that would affect their knowledge, learning or skills.

In qualitative research, the main issues of concern under reliability and validity relate to credibility, transferability, dependability, and conformity (Hernon & Schwartz, 2009; Golafshani, 2003; Lincoln & Guba, 1985). Credibility implies internal validity (whether the instrument measures what it is purported to measure or whether the research has the correct or best interpretation of findings and whether other factors, variables, or conditions have been considered or acknowledged), transferability is external validity (the application of research findings to another setting), dependability implies replication and reliability of data, while conformity refers to objectivity of the researcher (Hernon & Schwartz, 2009). Golafshani (2003:602) argued that reliability and validity cannot be viewed as contextualised largely in quantitative research and that there is now a strong consensus of the need for “some kind of qualifying check” in qualitative research. Consequently, to eliminate bias and entrench this “qualifying check”, reliability and validity are usually “conceptualized as trustworthiness, rigour, quality in qualitative paradigms” (Golafshani, 2003:604). This means robustness or rigour is core to the quality of qualitative research process. It has thus been contended that one way to achieve reliability and validity in qualitative research is through methodological triangulation. This involves checking for consistency of findings generated by different data collection methods (Golafshani, 2003; Fidel, 2008).

Reliability and validity are therefore also central to a study such as this one. In this context, for quantitative data, the questionnaire was pre-tested (see appendix 4 for the cover letter) in that when the final draft questionnaires were finalised, it was circulated to a panel of experts in records and information management and one research methodologist. After the feedback, some questions were refined and final questionnaires were produced. Further, the questionnaires were then pre-tested on a sample of respondents to check the ease of completion and whether they achieved their intended purpose. Literature reviewed indicated that the recommended number for such a pre-test could be between 15 to 35 (Fowler, 2002; Sapsford, 1999). As explained in 4.3.4.1.4, for this current study, 15 respondents were purposefully selected from labour organisations in Gaborone, Botswana. The use of a convenient sample for pre-testing has been used several studies in records and information management such as those in Kemoni (2007) and Ngulube (2003).

In addition, qualitative data was collected through semi-structured interviews with those labour organisations identified to have had a fairly evident application of ICTs in the management of their records. Interviews were also carried out with National Archives, BFTU and the Department of Information Technology. The target for these interviews was those individuals that dealt with ICT and records management in the labour organisations such as IT and Administrative personnel. Most of the interviews lasted for about one to one and half hours. Questions were largely open-ended (with desirable ICT/records management integration ‘best practice’ indicators) to probe on issues that required further illumination. This is because while some e-records readiness indicators required some brief answers, it was also found desirable to let information on this aspect (of e-records readiness emerge) based on the records information management theoretical framework adopted in the study. This demonstrated robustness and rigour of interviews in selected sites. Accordingly, to further enhance the trustworthiness and confidence of the results, other collection methods such as observation and document review were used.

#### **4.4.1 Methodological triangulation**

There is consensus among scholars over the years that blending or combining quantitative and qualitative data within a particular study provides a richer and broader, deeper perspective (Babbie 2004:113; Greene, Caracelli & Graham, 1989:256; Perone & Tucker, 2003:1). This blending is usually referred to as triangulation. Triangulation is the use of various approaches, methods, techniques and tools for data collection combined in the same study, and are meant to “overcome the potential bias and sterility of a single method approach” (Collis & Hussey, 2003:78). It is usually argued that both quantitative and qualitative research designs seek reliable and valid results as such “combining methods, advantages of each methodology, complements the other, making a stronger research design, resulting in more valid and reliable findings” (Perone & Tucker, 2003:1). It is thus argued that triangulation reduces the inadequacies of individual methods and the threats to internal validity are thus realised and addressed (Creswell 2003:174; Greene, Caracelli & Graham 1989:256; Perone & Tucker, 2003:137). Building on earlier proponents of triangulation such as Denzin (1978), Jack and Raturi (2006:346) identified four basic types of triangulation namely:

- (a) Data triangulation: that which strengthens research findings by using multiple ways to collect and analyse data involving time, space, and persons.
- (b) Investigator triangulation: involves use of multiple researchers rather than single observers in an investigation.
- (c) Multiple triangulation: where the researcher combines in one investigation, multiple observers, theoretical perspectives, sources of data, and methodologies.
- (d) Theory triangulation: involves using more than one theoretical scheme in the interpretation of the phenomenon.
- (e) Methodological triangulation: involves using more than one quantitative or qualitative method to gather data, such as interviews, observations, questionnaires, and documents review.

Jack and Raturi (2006:346) summarise some useful reasons for the current study as to why methodological triangulation is often used:

- (a) Completeness: there is recognition that any single research method chosen will have inherent flaws or weaknesses; and the choice of the method will correspondingly limit the conclusions that would be drawn. It is therefore essential to obtain corroborating evidence using either quantitative or qualitative so as to enrich or provide more detail that would not be obtainable from one method.
- (b) Contingency: this is driven by the need of why a particular strategy was chosen. This could be based, for example, on the need to illuminate on phenomenon which a particular method may fall short of explaining. For example, though data has been collected quantitatively; interviews, document review and other interpretative methods, could shed more light on the ‘why’ and ‘how’ of such a phenomenon under study.
- (c) Confirmation: this is where triangulation improves the researcher’s ability to draw conclusions from their studies and might “result in a more robust and generalisable set of findings”. Thus, “traditional criteria like reliability and validity are replaced by the level of symmetry between alternative methods used”. This implies “by combining multiple data sources, alternate observers, distinctively different theories, alternate methods, and varying empirics, the researcher hopes to overcome the intrinsic biases arising from single method, single-observer, and single-theory studies”.

The current study adopted methodological triangulation of both quantitative and qualitative data collection methods. In that regard, a triangulation of questionnaire, interviews, observations and documents review were used. Triangulation was therefore helpful in overcoming limitations and weaknesses of different quantitative and qualitative data collection used in the study. The use of triangulation thus enabled one method to harmonise limitations and weaknesses of the other research techniques, and this enhanced validity and reliability of research results presented and discussed in Chapters 5 and 6.

#### **4.5 PROCESSING AND ANALYSIS OF DATA**

Data analysis is a key aspect of any research that helps in drawing conclusions and generalisations of findings to a problem statement. Data analysis refers to how data collected from the field is classified and interpreted. It involves recording, coding and methods for analysing data (Oates, 2006). Ajifurike (2002) asserts that, quantitative data analysis uses statistical technique for collecting, organising, analysing and interpreting. These statistical data analysis are important to the field of research in library and information science profession. Usually quantitative data is analysed by different statistical methods and with the help of different statistical packages such as SPSS, STATA. According to Kombo and Tromp (2006), analysing quantitative data varies from simple descriptive analysis to more elaborate reduction and multivariate associating techniques. On the other hand, qualitative data analysis refers to the way in which data is collected using interviews, observation, documentary and open-ended questionnaires are analysed. Several qualitative data analysis techniques may be used. Some of these include:

- A quick impression summary, for example, summarising key findings, explanations, interpretation and drawing conclusions;
- Thematic analysis, which involves analysing data according to research questions (themes); and
- Content analysis, which involves examining the intensity of certain words used to describe the form or content of spoken or written materials during data collection.

In this current study, quantitative data were collected and analysed to produce a set of descriptive results; and qualitative data were collected and analysed for another set of thematic results. The two sets of results were compared and contrasted to produce a single interpretation and then conclusions drawn. In other words, analyses and interpretations of

research findings were in line with the study objectives and research questions presented. Data that was collected provided answers to research questions, enabling the researcher to explore and describe phenomenon under study. The researcher collected data through a survey using a questionnaire. This data was captured using CSPro. CSPro (Census and Survey Processing System) is a public domain statistical package developed by the U.S. Census Bureau, Macro International, and Serpro S.A. Its major funding is from the U.S. Agency for International Development. The software can be used for entering, editing, tabulating, mapping, and disseminating census and survey data. This package is widely used by statistical agencies in developing countries.

For data capture, an electronic sheet of the questionnaire was generated using CsPro. and was used to capture data as it was being collected in the field. The data collected was then downloaded into STATA. This is a general-purpose statistical software package created in 1985 by StataCorp. It is used by many businesses and academic institutions around the world especially for research in the social sciences. Like other reputable statistical packages such as SPSS, STATA has a versatile full range of capabilities that includes: data management, statistical analysis, graphics, simulations and custom programming. The collected data was converted into meaningful information by grouping all the responses, tables and charts to determine the findings.

To supplement and illuminate these findings, data collected from interviews was categorised into significant themes based on the research questions at hand and it was summarised. This allowed for some cross-validation therefore shedding more light on how and why certain patterns or conditions regarding the phenomenon existed.

The presentation of results was through written descriptions, numerical summarisations, and figures. The two data sets were then compared to each other to correlate possible similarities or differences in the data, and then interpretations and conclusions were made.

## **4.6 ETHICAL CONSIDERATIONS**

Scholars and institutions of higher learning consider it a universal norm to comply with research ethics (Cozby 2001; Kemoni, 2007; Ngulube, 2003; University of South Africa

(UNISA) Policy on Research Ethics, 2007; University of Botswana Policy on Research Ethic, 2004).

It is thus a given that researchers should be knowledgeable of any code of ethics that applies to their research. In this regard, researchers need to be familiar with main risks to research before, during and after completion. These include privacy, breaches of confidentiality, deception and informed consent. In this regard, the researcher was aware of ethical issues on the commencement of any research such as researchers' identity, behaviour, change in participants and considerate treatment of participants. During the research, the researcher considered ethical issues such as retraction of consent and debriefing of participants; while after completion of the research project, ethical issues that needed to be solved included anonymity and confidentiality of participants, recompensing control groups, data analysis and reporting research results (Kemoni, 2007; Nengomasha, 2009; Ngulube, 2003).

It is important to note that, world over universities have developed ethical codes of conduct for researchers to follow when conducting research. In the same vein, the University of South Africa (UNISA) Policy on Research Ethics clearly stipulates how researchers need to adhere to ethical guidelines and avoid acts of misconduct in research. These included data fabrication and falsification and plagiarism.

The present study adheres to ethical guidelines, described in Chapter One, Section 1.8 (ethical issues). The researcher observed the research values of voluntary participation and anonymity since the respondents in the study were not coerced or asked to indicate their names. Principles of confidentiality were strictly upheld. In line with UNISA Policy on Research Ethics and the National Research and Ethics Committee under the Ministry of Labour and Home Affairs, Botswana, the researcher, applied for a research permit in July, 2010 and was granted the permission in November, 2010. The cover letter for the main data collection instruments clearly stipulated this. The cover letter and letter of authorization also explained to the respondents the objective and significance of the study to their organisations in order to obtain their consent. Respondents were also assured that information collected was to be treated confidentially and used purely for academic research work.

As indicated in section 4.2.4.1.4, the research instruments were pre-tested to ensure reliability and validity and did not create any discomfort when administered. Pre-testing of research



questions ensured that research questions were specific, real, researchable, interesting to the researcher and that they encompassed the expected content and predicted the whole argument (Stilwell 2004:1-2). All sources cited in the study were referenced and acknowledged to avoid plagiarism. Referencing enables a researcher to distinguish between the ideas and findings of the writer and those of other people and to locate information sources that had been cited as easily and quickly as possible (Aitchison, 1999:20).

Data collected was presented and analyzed as accurately as possible. All persons who contributed to the success of the study were acknowledged. As an academic requirement at UNISA, a study such as this one should upon completion be disseminated through an article in a reputable journal to wider academic audience. In that regard, a paper was prepared and sent to a peer reviewed journal. It is also encouraged that other means such of a publication as a chapter in a book, presentation of research findings at a conference, seminar or workshop should be considered (Birley & Moreland, 1998:80). In this context, the researcher, together with the promoter/supervisor, prepared a paper on the findings for presentation at the ESARBICA in June, 2011.

#### **4.7 EVALUATION OF THE RESEARCH METHODOLOGY**

Ngulube (2005:139) observes that research methods need to be evaluated in order to explain what information was required, how it was collected accurately and how it was analysed. It is thus prudent to evaluate the research methodology in terms of the research design, its limitations, and short comings in the execution of the study as well as ethical issues that would have arisen in the process. In this current study, emphasis on evaluation of the research methodology was placed on the research paradigm, research design, and appropriateness of the data collection instrument employed and whether the study achieved its intended purpose.

Research methods will always have pitfalls and strengths in explaining phenomenon. Section 4.2.1 has elaborately discussed the evolution of the three main paradigms that are guiding research today. It has therefore been explained in the preceding sections, that no one research design can be said to the best among others; rather what is key is whether such a design is able to realise the set objectives. Creswell (2004:21) also notes that the criterion for selecting an approach takes into account many factors that may include “the research problem, the personal experience of the researcher, and the audiences”. This current study adopted a

survey research design where quantitative data collected was supplemented by interviews, observations and document review to illuminate further the phenomenon under study.

As earlier indicated, many scholars have cited limitations of surveys such as failure to establish the casual relationship between variables; problems of self-reporting that increases bias, effects of sampling techniques, non-response rates, for example, (Ngulube, 2005; Tanner, 2000). However, as observed by others, the attraction of economy in design and rapid turn-around in data collection warrants their use relevant for many studies including this one (Ngulube, 2005; Tanner, 2000).

Chapter One, outlined that this study sought to assess e-records readiness with a view to developing an integrated e-records readiness framework for labour organisations in Botswana. Among other key issues, what the empirical study intended to do was to collect information on ICT uptake and use; current records and information management practices; the integration of ICTs in the management of records; and the status of e-records readiness in labour organisations in Botswana. This means the study sought to examine ‘who’, ‘what’, ‘where’, ‘how much’, ‘how many’, ‘how’ and ‘why’ labour organisations have access to the technology to underscore their integration in the information society in Botswana within the context of e-records readiness. This implies that apart from being a typical descriptive research with a survey research that sought to answer the ‘who’, ‘what’, ‘where’, ‘how much’ and ‘how many’. The study also used interviews to deepened the ‘how’ and ‘why’ of the study.

This current study blends quantitative and qualitative data to provide a broader, deeper perspective through methodological triangulation. Patton (2002) defined methodological triangulation as checking the consistency of findings generated by different data collection methods. Bogdan and Biklen (2006) also concur that triangulation is a powerful technique that facilitates validation of data through cross verification from more than two sources and can be employed in both quantitative strategy of founding the credibility of qualitative analyses. This current study allowed for the collection of different types of data in that a survey was utilised to gather largely quantitative and some qualitative data through a self administered questionnaire and then data was further collected through interviews, document analysis and observations in selected sites to understand the depth of ICT integration in these labour organisations. This allowed for methodological triangulation. It can therefore be stated

that both quantitative and qualitative research designs seek reliable and valid results. In this regard, data that are consistent or stable as indicated by the researcher's ability to replicate the findings is of major concern in the quantitative arena, while validity of the qualitative findings is paramount so that data are representative of a true and full picture of the constructs under investigation. By combining methods, advantages of each methodology complements the other making a stronger research design resulting in more valid and reliable findings. The inadequacies of individual methods are minimized and more threats to internal validity are realised and addressed.

However, the whole research process was not without challenges. The following were some of the challenges encountered and how they were resolved during the whole research:

- At first it was envisaged that the questionnaires would be self-administered. However, in all the cases, it required follow-up interviews to validate most of the responses and this proved very tiresome on one hand; but on the other, provided valuable in-depth information.
- Most of the respondents were very cooperative partly because the study was very relevant to the challenges they face in terms of ICT uptake and records management, however, some felt the questionnaire was long and required a lot of time to complete. The reason as to why the questionnaire was long was, nonetheless, explained and respondents coped with it fairly well. Section 4.3.3.1.3 alludes to what necessitated such a long questionnaire.
- In terms of the level of supervision and monitoring, maximum effort was put into locating the organisations on the task assignment sheets and appropriate follow-up made. However, despite having received training, the research assistants always sought further clarification. In that regard, the principal researcher had to appoint a team supervisor that ensured that daily targets were met and reviewed. The principal researcher and supervisor also served as a point of reference and clarifications for the research assistants and interaction was encouraged to ensure all issues were clarified in time.

## **4.8 SUMMARY**

This chapter discussed the research design and methodology and explained why the survey method complemented with the technique of triangulation was used based on the type of research problem at hand. The study population was clearly presented; and the reason for using a census was stated. The chapter also looked at issues of reliability and validity and ethical issues highlighting how the researcher ensured reliability and validity within the context of the approach used. The researcher also explained how ethical issues were considered in this study. The analysis of data and evaluation of the research methodology were also discussed in the chapter. The next chapter focuses on the analysis and presentation of the research results.

## **CHAPTER FIVE**

### **PRESENTATION OF RESULTS**

#### **5.1 INTRODUCTION**

The previous chapter elaborated on the methodology that was used in the current study. This chapter now presents the empirical findings obtained from the target study population. As indicated in Chapter One, this study sought to answer the following research questions:

1. What is the extent of ICT uptake and use in labour organisations in Botswana?
2. What are the current record and information management practices in labour organisations in Botswana?
3. What is the depth and breadth of e-records readiness for labour organisations in Botswana based on existing e-records assessment tools?
4. To what extent are best practices used in integrating and management of e-records in labour organisations in Botswana?
5. To what extent have labour organisations been integrated into national e-readiness (e-government framework) strategies in Botswana?

Research questions 6 and 7 are dealt with as research outcomes in Chapter 7.

Williamson (2000:300) provides useful advice in the presentation of research findings and posits that four general questions are essential:

- Are findings clearly and logically presented?
- If tables are used, are they clear and consistent in presentation in terms of making a contribution to this section of the research or are they unnecessary?
- Will the use of more tables or diagrams improve some descriptions?
- Do the findings answer the research questions?

In the current study, data was obtained through structured questionnaires, semi-structured interviews, document analysis and observations. The presentation of findings is therefore the integration or consolidation of data from these sources. In line with the research questions as alluded to above, the researcher grouped data from the various sources namely

questionnaires, interviews, reviewed documents, observations according to particular research themes. This was meant to collate and consolidate research findings, thus underscoring reliability and validity. The presentation of the findings in this section is therefore guided and built around themes arising out of the above research questions.

All the 50 registered labour organisations were surveyed. Out of the 50 questionnaires, 45 were returned and considered valid for data analysis, representing a response rate of 90%. As observed in Chapter 4, although there is no consensus in literature as to what would constitute adequate response rate, most of the scholars are of the view that any response rate above 50% is adequate for analysis (Neuman, 2000; Babbie & Mouton, 2001). The 90% response rate for the current study was therefore high and very adequate. The main reason for this high rate was largely due to the fact that the researcher has had prior good working relations with most of the labour organisations. In addition, most of the labour organisations were enthusiastic about the results of the study as they were eager to know their e-records and information management status.

There were also follow-up interviews and observations in all the labour organisations to validate some research issues at hand. Interviews were also conducted with officials from the Botswana National Archives and Records Centre (BNARS), Department of Information Technology (DIT), Ministry of Labour (Office of Registrar of Trade Union), Botswana Federation of Trade Unions (BFTU) and Botswana Confederation of Commerce Industry and Manpower (BOCCIM).

For purposes of ethical considerations, the data presented is not associated with any individual labour organisation or any other institution. This is so owing to the fact that in order to encourage full and frank participation, respondents were assured that their institutional data would not be identifiable (see Appendix 1 and 2).

Data collected from the survey was analysed as follows:

- STATA (Statistical Tool for Analysis) software was used to process quantitative data from the 45 labour organisations. As a common practice, data from structured questionnaires, which was largely quantitative, were presented in graphic and tabular form. Figures were also used to vary the presentation of data.

- Qualitative data from interviews were categorised and organised to get relevant significant themes pertaining to the study. Qualitative data from interviews, document reviews were thematically content analysed in a descriptive manner to corroborate and supplement quantitative data.

The commonly used statistics for nominal and ordinal data types were selected arising out of a thorough review of the assumptions that underline most statistical analyses and the level of measurement of the variables. In the social sciences, descriptive and inferential statistics are the commonly used types of statistics in data analysis (Williamson & Bow, 2000:272-3). Descriptive statistics describe the characteristics of a population while inferential statistics are used to make some inferences about the characteristics of a phenomenon based on certain parameters (Williamson & Bow, 2000:272-3). Descriptive statistics “includes the collection, classification, analysis and presentation of numerical data” (Willemse, 1994:2).

The current study was a descriptive survey that examined 45 of the 50 registered labour organisations in Botswana. It therefore used descriptive statistics to describe the status of e-records readiness in labour organisations. The study used univariate analysis to summarise and display the data. For that reason, descriptive statistics such as percentages, averages, frequencies and cross tabulations of selected variables were produced for analysis. The key findings are discussed in the following sections.

## **5.2 EXTENT OF ICT UPTAKE AND USE IN LABOUR ORGANISATIONS**

The first objective of the study was to find out the extent of ICT uptake and use in labour organisations in Botswana. In the current study, we have argued that ICTs are the basis and platform on which e-records thrive. Therefore, understanding the level of ICT uptake and use is fundamental to the question of e-records readiness in that it provides the basis for the appreciation of e-records readiness in labour organisations. In that regard, findings were presented according to the following sub-themes indicative of ICT uptake and use (derived from Questions 5-33):

- Type of ICTs adopted and used;
- ICTs Use and labour organisation functions;

- ICT access and networking;
- Challenges of ICTs adoption and use;
- ICT/Information knowledge, skills and competences; and
- Information sources/services in labour organisations.

### 5.2.1 Type of ICTs adopted and used

Adoption theory usually examines how individuals or organisations make the choice to accept or reject a technology. In most of the models reviewed in Chapter 2, adoption is not only the choice to accept a technology, but also the extent to which it is integrated into appropriate context, in this case labour organisations. In this regard, the current study asked the respondents the type of technology adopted, what motivates or de-motivates them to use the technology. The following ICT tools were investigated: fax, telephone, cell phone, Internet, e-mail, website and web 2.0 (that is, facebook, YouTube and Twitter). Using a multi-response list, respondents were then asked to state which of these different types of ICTs they had adopted and used in their organisations.

The study revealed that fax, telephone and cell phone were the dominant ICTs that have been adopted and were being used in most labour organisations in Botswana. These accounted for a total score of 116 (73.2%) of the ICT bundle. However, it is important to note that the Internet was slowly being reasonably adopted and used in labour organisations with a score of 29 (18.4%). The use of website, facebook, YouTube, Twitter and e-mail ranked very low in adoption and usage as shown in Table 4.

**Table 4: Type of ICTs adopted in labour organisations in Botswana (N=45)**

Type of ICTs adopted in labour organisations in Botswana	Frequency	
	Total	Percent
YouTube	-	-
Twitter	1	0.6
E-mail	1	0.6
Facebook	3	1.8
Website	8	5.1
Internet	29	18.4
Fax	38	24.1
Cell phone	38	24.1
Telephone	40	25.3
Total	158	100



When asked to state how they communicated with their general membership, the results indicated that, although it was confirmed that the cell phone 31 (16.1%), conventional telephone 29 (15%) and fax 24 (12.4%) still featured highly, the traditional face-to-face communication still dominated in most labour organisations. Among the least used methods of communication were television 2 (1%), websites 3 (1.6%), while radio and newspapers both scored 8 (4.1%). This implies that most labour organisations still favoured the use of traditional face-to-face meetings even in the advent of the surge in application of ICTs in the country as summarised in Table 5.

**Table 5: Most used method in communicating with membership (N=45)**

Most used method in communicating with membership	Frequency	
	Total	Percent
TV	2	1.0
Website	3	1.6
Newspapers	8	4.1
Radio	8	4.1
E-mail	20	10.4
Fax	24	12.4
Telephone (landline)	29	15.0
Cell-phone	31	16.1
Direct mail	32	16.6
Face-to-face meeting	36	18.7
Total	193	100

### 5.2.2 ICT use and labour organisation functions

The labour organisations were also asked to state the extent to which each of the ICTs was useful in trade union functions or activities. As shown in Table 5, a combined score of 38 (84.5%) by the respondents indicated that they very often or often used the telephone; with only 1 (2.2%) saying they rarely or never used it. The cell phone was the second most used ICT with a combined score of 37 (82.2%) indicating that they used it very often or often used it, while only 2 (4.4%) said that they never or rarely used it in trade union work. The fax was cited as the third most used with a combined score of 29 (64.5%) of labour organisations indicating they very often or often used it.

Although most labour organisations said they had, as per organisational policy not adopted e-mail per se as an official means of communication, 25 (55.6%) and 10 (22.2%) said they very often and often used it respectively, indicating a combined score of 35 (77.8%) in the affirmative. Further, follow-up interviews revealed that labour organisations were of the view

that they had some cases where the admissibility and authenticity of e-mail communication had been questioned as evidence of transactions in the execution of their work. They were of the view that whereas e-mail may be a good record just like any other, there was still apprehension amongst many on the question of authenticity of some e-mails. The Internet was also cited by 16 (35.6%) respondents as very often used. However, only 3 (6.7%) labour organisations indicated they used it at times and very often in their work; with the rest not sure at all. Table 6 summarises these details.

**Table 6: Extent of use of ICTs in labour organisation functions (N=45)**

ICT	Extent of use of ICTs in labour organisation functions						
	Never used	Rarely used	Used at times	Used often	Used very often	Non-response	Total
Fax	1 (2.2%)	4 (8.9%)	7 (15.6%)	8 (17.8%)	21 (46.7%)	4 (8.9%)	45 (100%)
Telephone	1 (2.2%)	1 (2.2%)	2 (4.4%)	7 (15.6%)	31 (68.9%)	3 (6.7%)	45 (100%)
Cell phone	2 (4.4%)	2 (4.4%)	1 (2.2%)	8 (17.8%)	29 (64.4%)	3 (6.7%)	45 (100%)
Internet	8 (17.8%)	-	4 (8.9%)	7 (15.6%)	16 (35.6%)	10 (22.2%)	45 (100%)
E-mail	4 (8.9%)	-	1 (2.2%)	10 (22.7%)	25 (55.6%)	5 (11.1%)	45 (100%)
Website	17 (37.8%)	1 (2.2%)	3(6.7%)	2 (4.4%)	3 (6.7%)	19 (42.6%)	45 (100%)
Web 2.0 (Facebook)	19 (42.2%)	2 (4.4%)	1 (2.2%)	1 (2.2%)	-	22 (48.9%)	45 (100%)
Web 2.0 (YouTube)	21 (46.7%)	1 (2.2%)	-	-	-	23 (51.1%)	45 (100%)
Web 2.0 (Twitter)	21 (46.7%)	-	-	1 (2.2%)	-	23 (51.1%)	45 (100%)

Further, as shown in Table 5, despite the hype and successful use of web 2.0 (facebook, YouTube, twitter) in social networking and collective mobilisation around the world, as discussed in detail in Chapter 6, 19 (42.2%) labour organisations never used facebook; 21 (46.7%) never used YouTube and the same percentage 21 (46.7%) did not use twitter either.

When respondents were asked using a multi-response list, what de-motivated them from using web 2.0 technologies, yet the core of trade union functions are collective organisation and mobilisation, most of them, [with a score 69 (68.3%) for facebook; 64 (68.3%) for YouTube; 72 (64.3)] could not state clearly the reasons why. However, for those that responded to why they were de-motivated, the highest scores of 11 (10.9%) and 9 (9%) said they were de-motivated to use facebook because other labour organisations did not use it and that they required prior knowledge respectively. As for YouTube, the highest scores of 12 (10.7%) and 10 (8.9%) said it was costly and that other labour organisations did not use it respectively; while a score of 10 (9.2%) and 7 (6.4%) stated they were de-motivated to use twitter because other labour organisations did not use it and that it required prior knowledge

to use such technologies. Follow-up interviews with most of the labour organisations showed that the depth on the understanding of the role of web 2.0 technologies in social networking, organisation, recruitment and mobilisation was very low. Table 7 shows a breakdown of multi-responses regarding the reasons cited for de-motivation to use each of the ICTs.

**Table 7: De-motivation to use ICTs in labour organisations (N=45)**

ICT	De-motivation to use the ICTs in the labour organisations						
	Not easy to use	Costly	Require prior knowledge	Other union do not use them	No union ICT policy	No website address	Non response
Fax	1 (100%)	-	-	-	-	-	
Telephone	1 (33.3%)	1 (33.3%)	-	-	-	-	1 (33.3%)
Cell phone	1 (4.5%)	4 (18.2%)	-	2 (9.1%)	1 (4.5%)	-	14 (63.6%)
Internet	2 (8.3%)	5 (18.5%)	5 (20.8%)	7 (25.9%)	1 (3.7%)	-	11 (45.8%)
E-mail	1 (3.7%)	5 (16.7%)	7 (20.8%)	1 (3.7%)	1 (3.7%)	-	13 (48.1%)
Website	2 (3.5%)	8 (14%)	9 (15.8%)	4 (7.0%)	-	-	33 (57.9%)
Facebook	2 (2%)	5(5%)	9 (9%)	11 (10.9%)	4 (4%)	-	69 (68.3%)
YouTube	2 (1.8%)	12 (10.7%)	1 (7.1%)	10 (8.9%)	6 (5.4%)	3 (1.8%)	64 (68.3%)
Twitter	2 (1.8%)	4 (3.7%)	7 (6.4%)	10 (9.2%)	6 (5.5%)	-	72 (64.3%)

On the other hand, using a multi-response list, respondents were also asked what motivated them to use a particular ICT. By comparison of the reasons for the motivation of use across the various ICTs, the two highest scores of 23 (21.1%) and 22 (23.9%) indicated the telephone and cell phone were easy to use respectively. In terms of affordability, a score of 19 (17.4%) and 16 (15.8%) said the telephone and fax were affordable. The Internet was also found to be affordable and accounted for 8 (10.5%) and the same percentage said they had relevant knowledge. Only a score of 1 (1.3%) said it was fast. The e-mail was said to be affordable with a score of 14 (14%) while a count of 12 (12%) said it was easy to use e-mail. With regard to web presence, a score of 5 (20%) among labour organisations indicated that they were motivated to build websites because they were easy to use. Table 8 depicts these views.

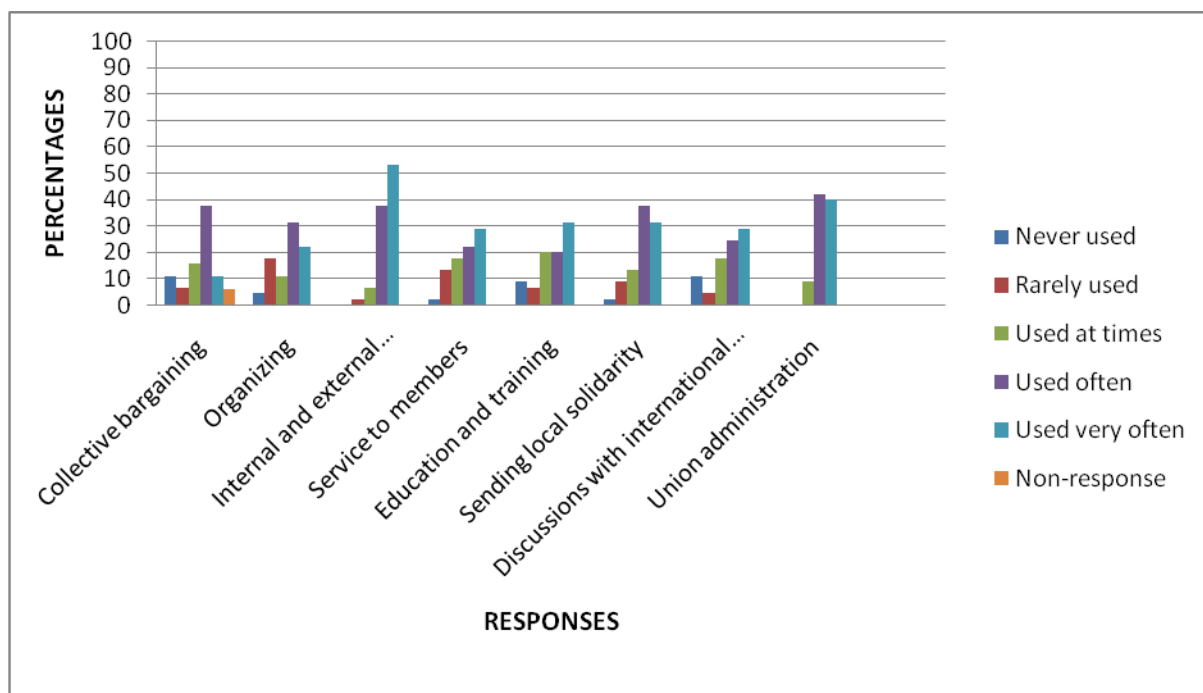
**Table 8: Motivation to use ICTs in labour organisations (N=45)**

ICT	Motivation to use particular ICT in labour organisations						
	Ease to use	Affordable	Has relevant knowledge	Other organizations use them	Union policy	Fast	Non response
Fax	21 (20.8%)	16 (15.8%)	7 (6.9%)	10 (9.9%)	4 (4.0%)	1 (1%)	42 (41.6%)
Telephone	23 (21.1%)	19 (17.4%)	4 (3.7%)	13 (11.9%)	4 (3.7%)	1 (0.9%)	45 (41.3%)
Cell phone	22 (23.9%)	14 (15.2%)	6 (6.5%)	9 (9.8%)	3 (3.3%)	1 (1.1%)	37 (40.2%)
Internet	7 (9.2%)	8 (10.5%)	8 (10.5%)	5 (6.6%)	4 (5.3%)	1 (1.3%)	43(56.6%)
E-mail	12 (12%)	14 (14%)	7 (7.0%)	11 (11%)	3 (3%)	1 (1.0%)	52 (52%)
Website	5 (20%)	2 (8%)	1 (4%)	2 (8%)	2 (8%)	-	52 (52%)
Face book	2 (14.3%)	-	-	-	1 (7.1%)	1 (7.1%)	10 (71.4%)
You tube	2 (100%)	-	-	-	-	-	-
Twitter	2 (100%)	-	-	-	-	-	-

In addition, using a multi-response list, respondents were asked to state the extent to which labour organisations functions required the use of ICTs. In question 10, respondents were asked how they frequently used ICTs in labour organisations' work. Thus respondents were asked if they: *never used; rarely used; used at times, used often or very often used* ICTs in mainstream labour organisations' functions. The responses *used often* or *used very often* were taken as affirmative of the use of ICTs in such labour organisations' work.

In this context, most labour organisations, 24 (53.3%) and 17 (37.8%) indicated they very often and often used ICTs in internal and external communication respectively, posting a combined affirmative response score of 41 (91.1%); while 18 (40%) and 19 (42.2%) said they very often and often used ICTs in union administration respectively, indicating a coalesced 37 (82.2%) positive response. There was also a strong indication in the use of ICTs in building solidarity with a combined affirmative response score of 31 (68.9%); while discussion with international bodies was next at a combined score of 24 (53.3%) with the same percentage 24 (53.3%) indicating organising and mobilisation. The use of ICT for servicing members; with a combined score of 23 (50.9%); collective bargaining with a coalesced score of 22 (48.9%), were ranked lower. Figure 6 shows these details.

**Figure 5: Labour organisation functions in which ICTs are usually used**



### 5.2.3 ICT access and networking

The issues of access to the ICTs and networking were central to understanding the extent of ICT uptake in labour organisations. Observations conducted confirmed that all the 45 labour organisations had access to some form of computer technology. Using a multi-response list, respondents were asked to state the type of computer applications they used. The responses are presented in Table 9.

**Table 9: Type of computer applications used in labour organisations (N=45)**

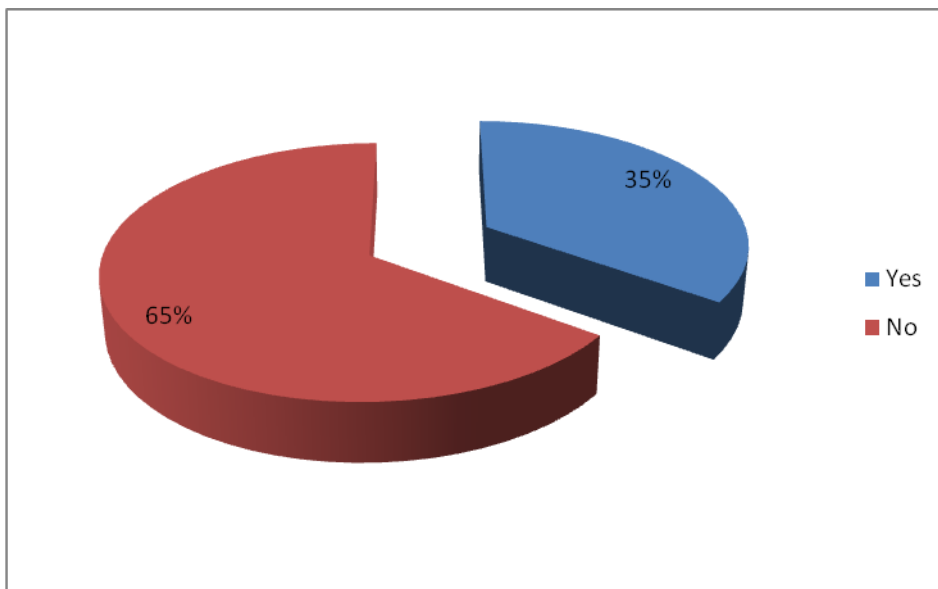
Type of computer applications in labour organisations	Frequency	
	Total	Percent
Playing games	1	0.6
E-mail	2	1.3
Desktop publishing	6	3.8
Photo editing	9	5.7
Financial analysis	21	13.2
Surfing on the internet about labour matters	23	14.5
Processing union application forms	27	16.9
Developing presentations for workshops	29	18.2
Word processing	41	25.8
Total	159	100

The survey showed that the highest score of 41 (25.8%) of the respondents said that they used word processing applications. There was also significant use of applications such as Microsoft power point for workshop presentations with as score of 29 (18.2%), processing union application forms 27 (16.9%) and for surfing the Internet 23 (14.5%). Among the least used were desktop publishing applications which accounted for a score of 6 (3.8%) and ironically e-mail applications 2 (1.3%) respectively.

Respondents were also asked how they were networked and whether they were linked to the Botswana Federation of Trade Unions (BFTU), an umbrella labour federation to which most of those surveyed were affiliated to. The study revealed that (34) 75.6% of the labour organisations were not linked to the BFTU while only 9 (20%) of the respondents said they are somewhat linked to BFTU.

In terms of networking with other labour organisations, 29 (65%) indicated that they were not linked to other Unions while 16 (35%) of the respondents said they were linked using computers as shown in Figure 6.

**Figure 6: Link to other labour organisations**



### 5.2.4 Challenges of ICT adoption/use

Using a multi-response list, respondents were asked to state the problems that labour organisations were facing in using and accessing ICTs. As shown in Table 9, funding for ICTs accounted for 31 (20.8%), lack of skills and training among union members with a score of 24 (16.1%) were cited as the challenges in accessing and using ICTs. Other reasons included: low knowledge and understanding by the union leadership, with a score of 20 (13.4%), while slowness in adoption of ICTs, scored 19 (12.8%) These are summarised in Table 10.

**Table 10: Problems faced in using or accessing ICTs (N=45)**

Problems faced in using or accessing ICTs	Frequency	
	Total	Percent
Lack of support from employers	3	2.0
Fear by leadership	8	5.4
Lack of space in the trade union office	13	8.7
Poor ICT infrastructure where union located	14	9.3
Lack of support	17	11.4
Slowness in the adoption of ICTs in trade unions	19	12.8
Low knowledge and understanding by union leadership	20	13.4
Lack of skills and training among union members	24	16.1
Funding by ICTs	31	20.8
Total	149	100

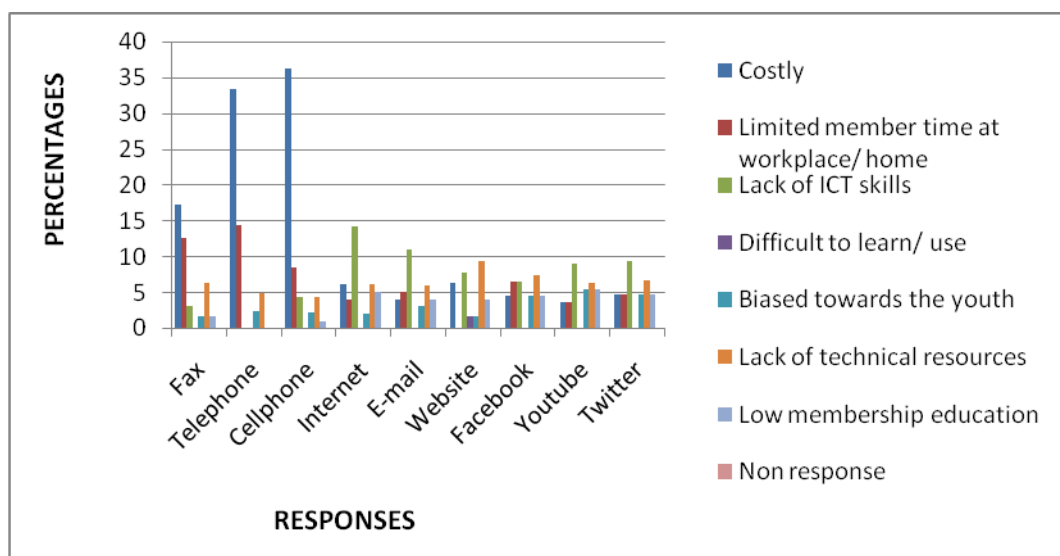
The labour organisations were further asked to specify why they have been slow in adopting ICTs. The major reason that was cited was that respondents had limited budgets in their trade unions 33 (21.7%). Other reasons included lack of ICT skills, training of leadership and members 24 (15.8%); lack of training development policy in the union 18 (11.8%). These and other reasons are summarised in Table 11.

**Table 11: Reason(s) why labour organisation have been slow to adopt ICTs (N=45)**

Reason(s) why labour organisations have been slow to adopt ICTs.	Frequency	
	Total	Percent
Lack of office space	2	1.3
Ignorance	3	2.0
Age of membership (too old to appreciate ICTs)	6	3.9
Poor ICT infrastructure	11	7.2
Limited support from trade union leadership	13	8.6
Poor attitude by union members towards ICT	13	8.6
Time limit by union members at work place/home	14	9.2
Low education of union members	15	9.9
Lack of training development policy in the union	18	11.8
Lack of ICT skills, training of leadership and members	24	15.8
Limited budget	33	21.7
Total	152	100

When respondents were asked to indicate what problems were associated with each of the ICTs in the labour organisations; 17 (36.2%) and 11 (33.3%) indicated cell phones and telephone were costly respectively. Limited members' time at works place was cited as problem in the use of fax and cell phone as well. The lack of ICTs skills was cited as the problem associated with the use of Internet. Labour organisations also singled out the lack of technical resources and capacity in designing and maintenance of websites 12 (9.4%). In terms of the use of web 2.0 technologies, lack of ICT skills and technical capacity in the labour organisation was cited as the major problem. Figure 7 exemplifies this.

**Figure 7: Problems associated with ICT use in labour organisations**



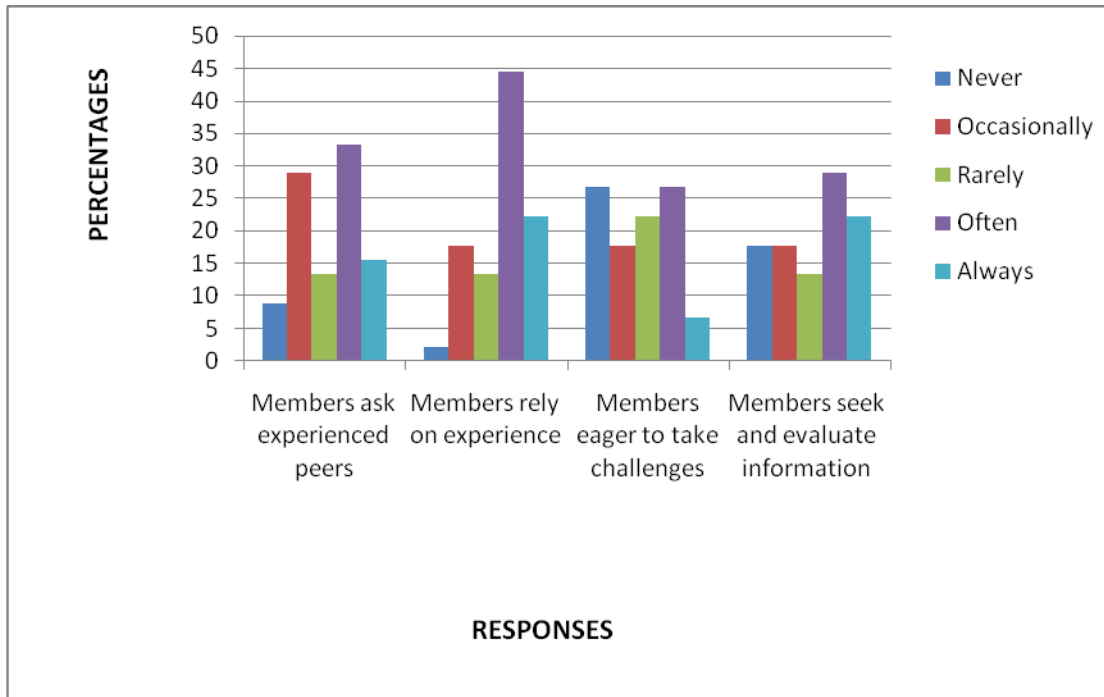
### 5.2.5 ICT/Information knowledge, skills and competences

One of the key issues in discussing the extent of ICT uptake and use is the level of ICT information knowledge, skills and competencies in the labour organisations. This is a key driver to how labour organisations can integrate into the information society in Botswana. The study therefore sought to find out how labour organisations felt about the information literacy levels of the general membership. Based on multi-response scores, the survey showed that most of the labour organisations were of the view that members often 20 (44.4%) and always 10 (22.2%) relied on their long experience to engage in trade union matters; 15 (33.3%) often liked to ask questions from experienced peers for them to engage in trade union matters. Only 12 (26.7%) indicated they relied on information resources such as the Internet or databases to confidently engage in challenging tasks in the labour organisations. Ironically, only 13 (28.9%) sought and evaluated information before they engaged in trade



union matters. This implies that the depth and culture of information literacy (that is the ability to rely on information and effectively) was not highly entrenched in most of the labour organisations as shown in Figure 8.

**Figure 8: Statements relating to information literacy**



Respondents were also asked how they felt about the issues of information literacy. A score of 20 (44.4%) indicated that most of the members in the labour organisations did not find information on trade union matters because they were not sure of the source most of the time; a score of 14 (33.1%) felt they were more comfortable in expressing their ideas in their local language – Setswana. The implication seem to be that most the membership in the labour organisations seem both to lack the capacity to locate sources and are also faced the language barrier in terms of access to information. Table 12 shows their views on this.

**Table 12: Statements about union membership on information literacy challenges (N=45)**

Information literacy challenges	Statements about union membership on information literacy challenges						Totals
	Never	Occasionally	Rarely	Often	Always	Non-response	
Trade union matters are difficult to read/understand	14(31.1%)	13(28.9%)	9(20%)	8 (7.8%)	1(2.2%)	-	45 (100%)
Members have difficulty in expressing their own ideas on trade union matters	13(28.9%)	11(24.4%)	11(24.4%)	7(15.6%)	3(6.7%)	-	45(100%)
Members only comfortable expressing my trade union ideas in the local language – Setswana	5(11.1%)	6 (13.3%)	7(15.6%)	12(26.7%)	14(31.1%)	1(2.2%)	45(100%)
Members are only comfortable expressing trade union in English	7 (15.6%)	9 (20%)	15(33.3%)	7(15.6%)	5 (11.1%)	2(4.4%)	45(100%)
Members do not easily find information on trade union matters because they are not sure of the source	20(44.4%)	8(17.8%)	8(17.8%)	8(17.8%)	-	1(2.2%)	45(100%)

### 5.2.6 Information management skills training

When respondents were asked to state the type of information literacy training that they had provided to their members, a score of 8 (17%) indicated they had received basic computer applications skills, while 13 (27.6%) had received information seeking skills. The majority 24 (51.1%) had not received any information management training. Table 12 summarises these findings.

**Table 13: Type of information literacy training provided to the union members (N=45)**

Type of information management training provided to union members	Frequency	
	Total	Percent
Negotiation skills	2	4.3
Basic computer applications	8	17.0
Information seeking skills	13	27.6
None at all	24	51.1
Total	47	100

Respondents were also asked if they had received information management training from elsewhere outside the labour organisations. The majority of them 34 (75.6%) indicated that

they had received information training from elsewhere, while 11 (24.4%) said they had not. As indicated in Table 13, the majority 24 (53.3%) felt that such training was very useful and 10 (22.2%) found it useful in trade union work; effectively representing a combined 34 (75.5%) agreement or approval. Follow-up interviews revealed however that most of this training had been initiated either by employers or by members on their own. Most of this training, it was argued, had its own objectives that were not necessarily targeted at the growth of trade functions such as collective bargaining, membership organisation and building solidarity through trade union ideology.

**Table 14: Usefulness of external information management training (N=45)**

Usefulness of external information management training	Frequency	
	Total	Percent
Useful	10	22.2
Very useful	24	53.3
Not useful at all	11	24.4
Total	45	100.0

When asked the form of information management training that labour organisations would prefer to be delivered to their membership to enhance their information literacy skills, 27 (30.7%) preferred a mixture of lectures and workshop mode, followed by interactive workshop (23 (26.1%)) and on-site training 17 (19.3%) in increasing order as shown in Table 15

**Table 15: Preferred information management training in labour organisations (N=45)**

Preferred form information management training in labour organisations	Frequency	
	Total	Percent
Classic lectures	10	11.4
On-line training	11	12.5
On-site training	17	19.3
Interactive workshop	23	26.1
Lecture mixed with workshop	27	30.7
Total	88	100

Furthermore, using a multi-response list, respondents were also asked how they access on-line training if it were to be delivered to them. The majority of respondents 28 (50.9%) were of the view that they would access on-line training after working hours but using office

equipment. This may suggest that most of the members in labour organisations do not have access to the ICT facilities outside the office. These findings are summarised in Table 16.

**Table 16: Kind of access to on-line training convenient to labour organisations (N=45)**

Kind of access to on-line training that is convenient to labour organisations	Frequency	
	Total	Percent
No time is convenient	1	1.8
Internet cafes and other public facilities	3	5.5
At home	4	7.3
During working hours	19	34.5
After working hours but using office equipment	28	50.9
Total	55	100.0

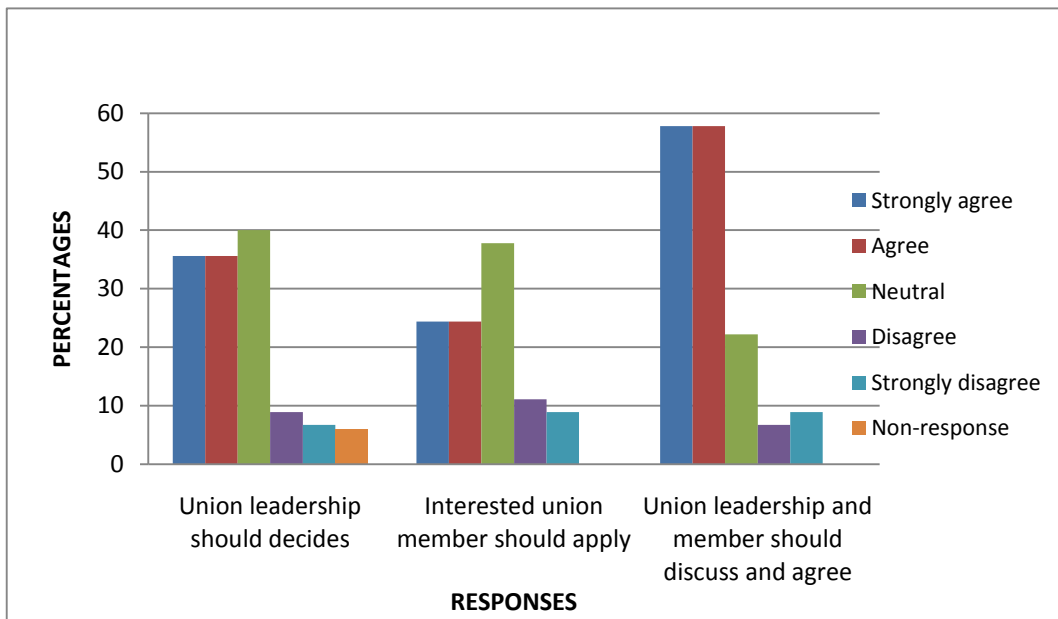
In terms of the length of time training in information skills should take, 22 (48.9%) of the respondents felt that the appropriate length of time of training in information skills was one month; while 10 (22.2%) preferred one week as shown in Table 17.

**Table 17: Appropriate length of time of training in information skills (N=45)**

Appropriate length of time of training in information skills	Frequency	
	Total	Percent
Non-response	1	2.2
One year	3	6.7
Six months	9	20.0
One week	10	22.2
One month	22	48.9
Total	45	100

Respondents were further asked to state who should take the initiative in the training of information skills training in the labour organisations. The majority, a combined response of 32 (71.2%) were in the affirmative that union leadership and members should discuss and agree on the type of training that should be provided as indicated in Figure 9.

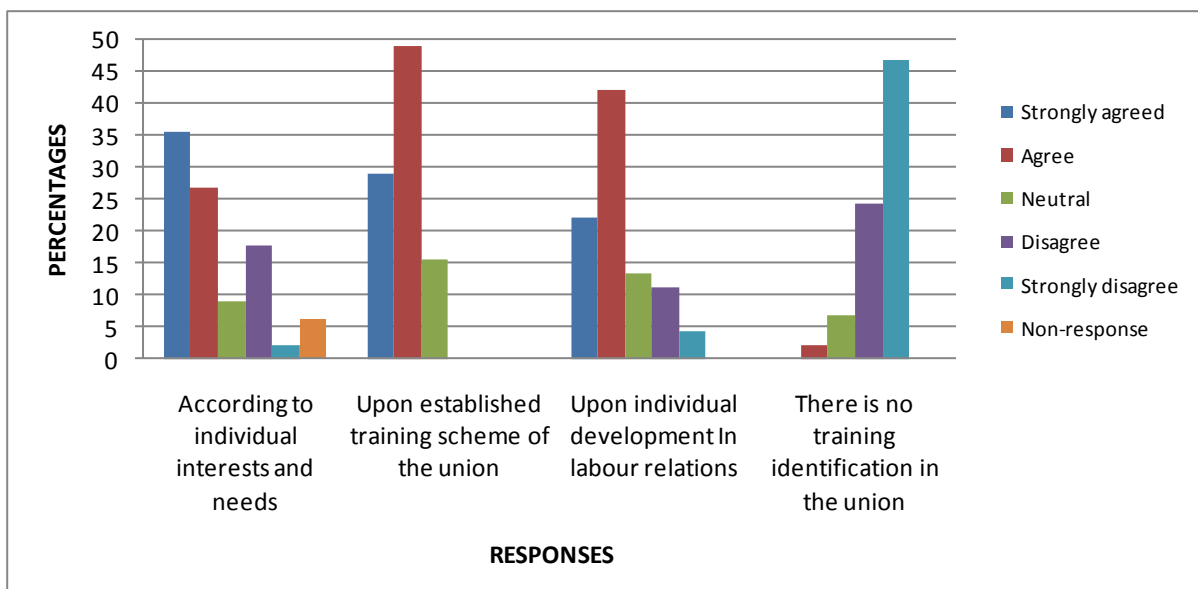
**Figure 9: Initiatives in information skills training activities**



Further, in most of the labour organisations, there were no training needs identification and the majority of the respondents strongly agreed or agreed respectively that such training should be as shown Figure 11:

- According to individual interests and needs: 16 (35.6%) and 12 (26.7%);
- Upon established training scheme of the union: 12 (28.9%) and 22 (48.9%); and
- Upon individual development in labour relations: 10 (22.2%) and 19 (42.2%).

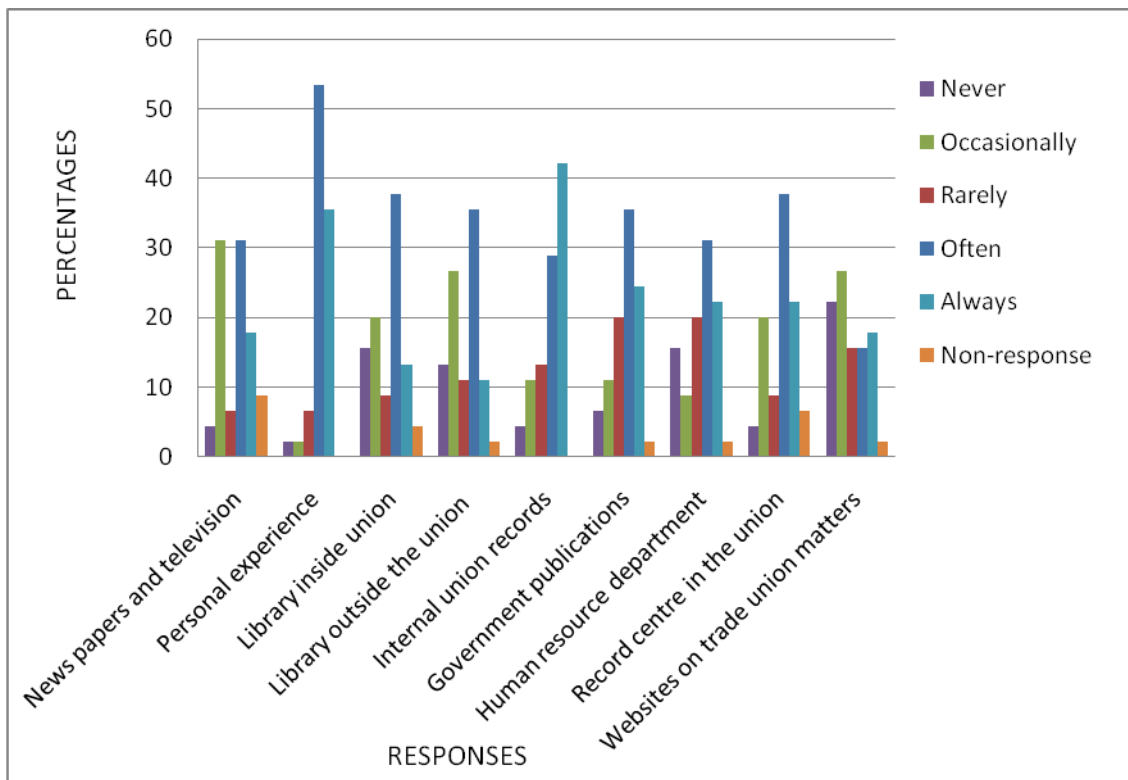
**Figure 10: How training needs should be identified in labour organisations**



### 5.2.7 Information sources/services in labour organisations

The study also sought to find out the information sources and services that labour organisations relied on in the execution of their work. In terms of ranking scores, the findings indicated that personal experience scored high at 24 (53.3%), followed by a library/information resources from inside the union 17 (37.8%); library/information resources centre from outside the union 16 (35.6%); government publication at 16 (35.6%) were often used. The findings are summarised in Figure 12.

**Figure 11: Sources of information for labour organisations**

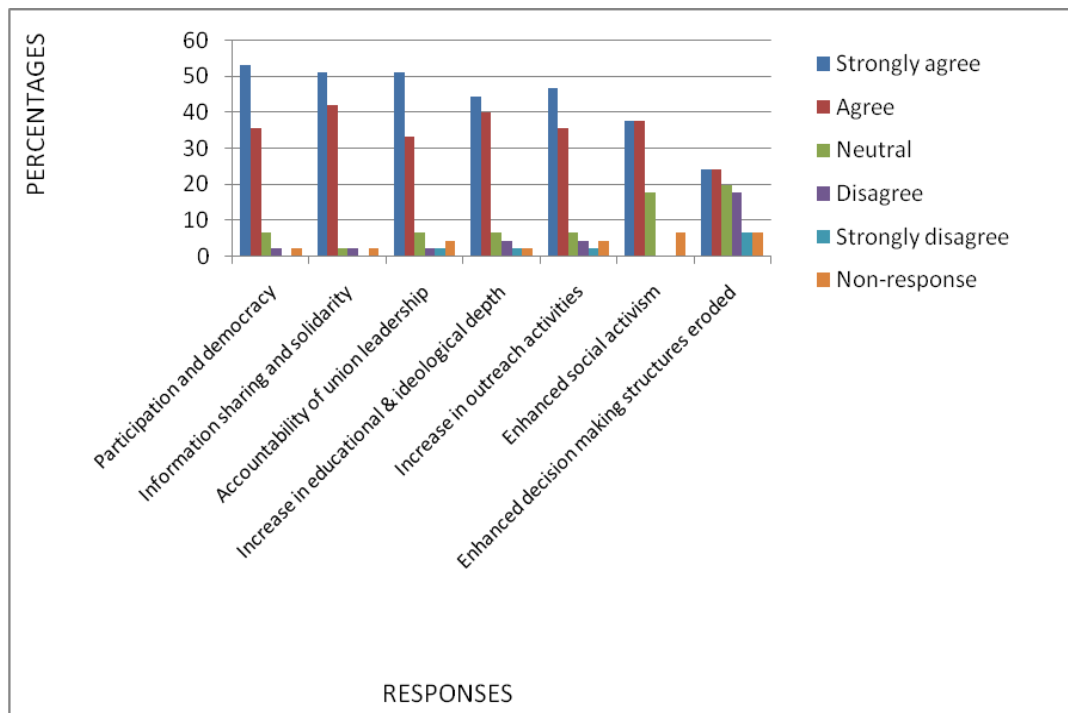


Further, as shown in Figure 13, most of the labour organisations also strongly agreed or agreed respectively that if information management training skills were initiated and enhanced, the following would be the impact on trade union organisational culture:

- Participation and democracy will be enhanced in the union: 24 (53.3%) and 16 (35.6%);
- Information sharing and solidarity among union members will be enhanced: 23 (51.1%) and 19 (42.2%);
- Accountability of union leadership to members will be enhanced: 23 (51.1%) and 15 (33.3%);

- There will be increase in education and ideological depth among members: 20 (44.4%) and 18 (40%);
- There will be an increase in outreach activities: 21 (46.7%) and 16 (35.6%);
- Regional and social activism will be enhanced: 17 (37.8%) and 17 (37.8); and
- Traditional trade union decision making structures will be eroded: 11 (24.4%).

**Figure 12: Impact of information management skills in labour organisations**



Once more, using a multi-response list, when asked to state what have been the barriers in professional growth in information management skills, most labour organisations cited limited budget 29 (23.4%) and lack of training development policy 29 (23.4%) and lack of information on training offered 23 (18.5%) as shown in Table 18.

**Table 18: Barriers to professional growth in information management (N=45)**

Barriers to professional growth in information management skills	Frequency	
	Total	Percent
Limited budget	29	23.4
Time limit	18	14.5
Limited/lack of information on training offered	23	18.5
Limited support from union leadership	13	10.5
Lack of motivation	12	9.7
Lack of training development policy in the union	29	23.4
Total	124	100.0

### **5.3 CURRENT RECORD MANAGEMENT PRACTICES IN LABOUR ORGANISATION**

It was pointed out in Chapter Three that as the basis for understanding the depth and breadth of e-records readiness in labour organisations, one of the key objectives was to examine the current records and information management practices in labour organisations.

There is general agreement as alluded to in the previous Chapters Two and Three that most models and approaches rely on the need to ascertain a framework of moving towards the desired records and information environment that complies with international records management standards. In particular, ISO 15489 (International Standards Organisation, Records and Documentation – Records Management, hereafter referred to as ISO 15489-1, 2001) has been cited as a useful guide. Based on the Australian Standard AS 4390, ISO 15489 (Information and Documentation-Records Management – Part 1: General) was developed in response to consensus among particular ISO member countries to standardise international best practices in records management. It applies to records irrespective of any format or media, created or received by any public or private organisation during the course of its activities (ISO, 2001a:4).

In this section, the findings were therefore presented under the following themes within the context of such best practice in records management. These include:

- Legislative and organisational framework;
- Creation and capturing records;
- Use of records;
- Format of the records;
- Organisation and classification of the record collection;
- Access and security of records;
- Records appraisal, retention and disposal;
- Storage and Preservation of records;
- Staffing and training;
- Vital records management and disaster management; and
- Mail/correspondence management.



Within the context of best practice, questions 34-93 focused on understanding records in the entire life-cycle, while questions 94-102 covered specific aspects of electronic records management findings as presented in Section 5.3.

### **5.3.1 Legislative and organisational framework for management of records**

Best practice entails that an organisation should provide adequate evidence of its compliance with the regulatory environment in the records of its activities (ISO 15489-1: General Section 5). The need to understand the organisational and legislative environment was fundamental to understanding the current records management practices in labour organisations. This entails the whole organisational environment comprising policies, responsibilities, accountabilities, systems and procedures that need to be in place to enable the organisation to meet good recordkeeping practices. These consist of statutes, laws, regulations, codes of conduct, best practice guidelines and ethics governing the business environment that relate to records management. Document review of different statutes, laws, and regulations in Botswana was therefore conducted to determine those which impact on recordkeeping in the country and specifically labour organisations.

The survey revealed that although there is limited guidance on requirements for records management in the relevant acts, instructions and instruments, most labour organisations were not conversant with the key statutory requirements such as the Employment Act (Cap 71:01 Section 93), Trade Unions and Employers' Organisations (Cap 48:01 Section 42-43), Public Service (these are discussed in Chapter two) and National Archives Act, that are pertinent to recordkeeping during their work.

However, while these pieces of legislation require that labour organisations should keep proper organisational, financial and accounting records, they do not provide guidance on the actual processes of recordkeeping. The National Archives Act, for example, sets out the roles and responsibilities of the Botswana National Archives and Records Services (BNARS) and defines the powers of the Director of BNARS in relation to public sector records. However, again there is no detailed guidance on the policies and practices that are needed to manage records in labour organisations. Interviews with the National Archives officials revealed that their operational mandate is restrictive to the public sector but indicated they could advise labour organisations if they were approached. This, they said, has not happened to date. This implies labour organisations do not have clearly defined legislative framework to support

recordkeeping. Interviews, observations and document review, revealed that most of the labour organisations have since attempted to develop and introduce a range of basic internal policies, standards and procedures especially in financial management to enable them to manage records so that they are in compliance with the demand to submit returns to the Registrar of Trade Unions.

### **5.3.2 Creation, capturing of records**

The process of records creation and capturing entails establishing a relationship between the records, the creator and the business context that originated it as well as placing the record and its relationship within a record system and linking it to other records. This process can be undertaken by the allocation of explicit metadata embedded in, attached to or associated with the specific records irrespective of its format (ISO 15489-1 Section 9.3). Creation and capturing are processes within the records management function where data and information produced during the course of business activities are ‘captured’ in recordkeeping systems so that they may be maintained as reliable and accessible evidence of decisions, actions and transactions in labour organisations. In that regard, the survey sought to find out the types of records created and the functions that most create these records in labour organisations and if there were designated recordkeeping systems in labour organisations. The survey revealed that the traditional trade union activities (business context) created various types of records that included among others policy documents, technical reports, financial reports, memoranda, correspondence, legal documents, minutes of meetings, proceedings of meetings, publicity materials and graphic materials.

Thus, using a likert scale, as a measure of the level of agreement and disagreement (that is, strongly agree, agree, neutral (neither agree nor disagree), disagree or strongly disagree), labour organisations were asked to state the extent to which each mainstream trade union activity created records. In other words, for this purpose, the likert scale was therefore simply used for soliciting ordered-categorical data on which labour organisation activity often produced most records.

The majority of them, 38 (84%), summed, as those that strongly agreed and agreed, cited internal and external communication. Another combined affirmative response of 37 (82%) indicated union administration; while 34 (75.6%) said it was services to members; 34

(75.6%) indicated collective bargaining; 32 (71.1%) felt organising and mobilisation produced most records; 30 (66.7%) said it was education and training activities; 27 (60%) indicated the sending of solidarity information; while the same percentage 27 (60%) indicated correspondence and discussions of international trade union bodies. This is summarised as shown in Table 19.

**Table 19: Activities that produce records in labour organisations (N=45)**

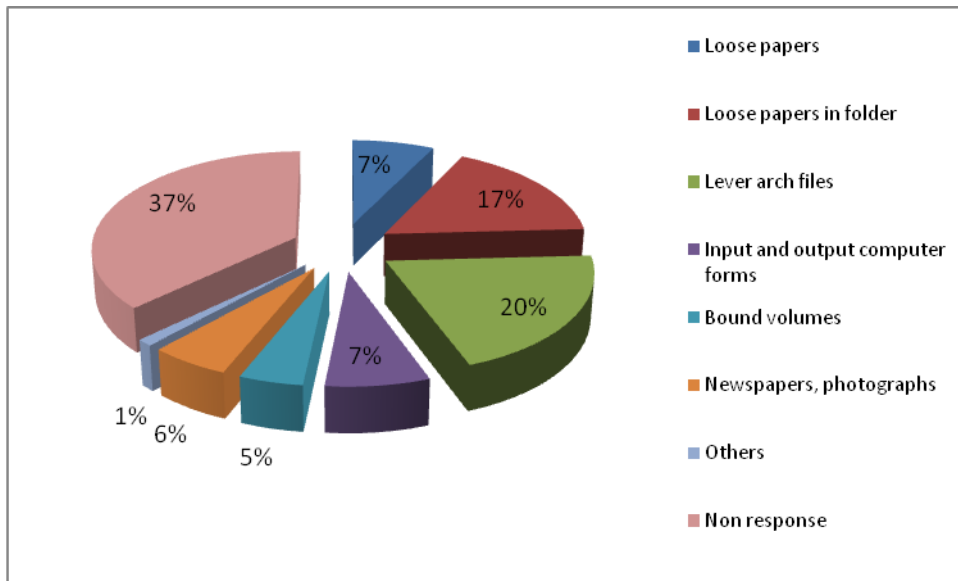
Activities that produce records	Strongly Agree	Agree	Neutral	Disagree	Strongly disagree	Non-response	Total
Collective bargaining	16(35.6%)	18(40.0%)	3(6.7%)	1(2.2%)	-	7(15.6%)	45 (100%)
Organizing	15(33.3%)	17(37.8%)	5(11.1%)	3(6.7%)	-	5(11.1%)	45 (100%)
Internal and external communication	15(33.3%)	23(51.1%)	2(4.4%)	-	-	5(11.1%)	45 (100%)
Services to members	12(26.7%)	22(48.9%)	6(13.3%)	1(2.2%)	-	4(8.9%)	45 (100%)
Education and training	13(28.9%)	17(37.8%)	9(20.0%)	3(6.7%)	-	3(6.7%)	45 (100%)
Sending solidarity	7(15.6%)	20(44.4%)	8(17.8%)	2(4.4%)	-	8(17.8%)	45 (100%)
Discussions with international bodies	8(17.8%)	19(42.2%)	3(6.7%)	4(8.9%)	1(2.2%)	10(22.2%)	45 (100%)
Union administration	18(40.0%)	19(42.2%)	2(4.4%)	1(2.2%)	-	5(11.1%)	45 (100%)

In terms of capturing these in recordkeeping systems, observations and interviews revealed that most of the labour organisations had some form of recordkeeping systems that were largely managed by administrative staff, mostly receptionists and secretaries who have some office practice qualifications or experience. There were no well defined or clear procedures to guide the creation of records in most of the labour organisations.

### 5.3.3 Format of the records

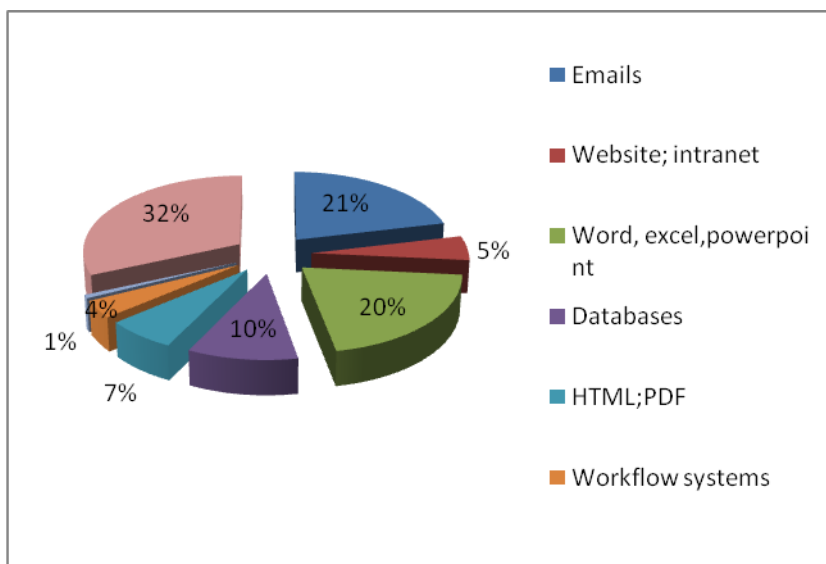
As indicated, various trade union functions do produce records both in paper and electronic formats. The survey confirmed that paper format still dominated most of the records produced. Specifically, labour organisations indicated that the types of paper format were largely lever arch files 36 (20%); loose papers in folders 30 (17%) as shown in Figure 13.

**Figure 13: Format of records in labour organisations (paper)**



In terms of electronic records, e-mails 29 (21%) and MS package (word, excel, power-point) 28 (20%) and databases 14 (10%) were the dominating electronic formats of records in most labour organisations. The least is workflow systems at 5 (4%) as indicated in the Figure 14.

**Figure 14: Format of records in labour organisations (electronic)**



### 5.3.4 Use of records

As earlier confirmed, most labour organisations have holdings of records that assist them in their work. Respondents were asked to state, using a multi-response list, the main users of

most of these records. It was revealed that records were mostly used by the executive leadership 41 (37.3%), followed by union staff 28 (25.5%) as shown in Table 20.

**Table 20: Users of records within the labour organisations**

Users of the records within labour organisations	Frequency	
	Total	Percent
Union staff	28	25.5
Executive leadership	41	37.3
Membership	21	19.1
Not very sure	20	18.2
Total	110	100.0

It was surprising to note that there was only a score of 21 (19.1%) for the indication that the general membership were the main users of the records, given that labour organisations are supposed to be membership driven. The implication is that despite the acclaims that trade union values are underlined by shared beliefs driven by membership, evidence points to the fact that the organisational culture of labour organisations are a mixture of ‘power’ and ‘role’ culture where there is centralised power around a few individuals identified by some level of bureaucracy. Follow up interviews revealed that most of the labour organisations seem to have developed a ‘power culture’ where the elected executive leadership tends to withhold information and not encourage membership to use information within the organisations.

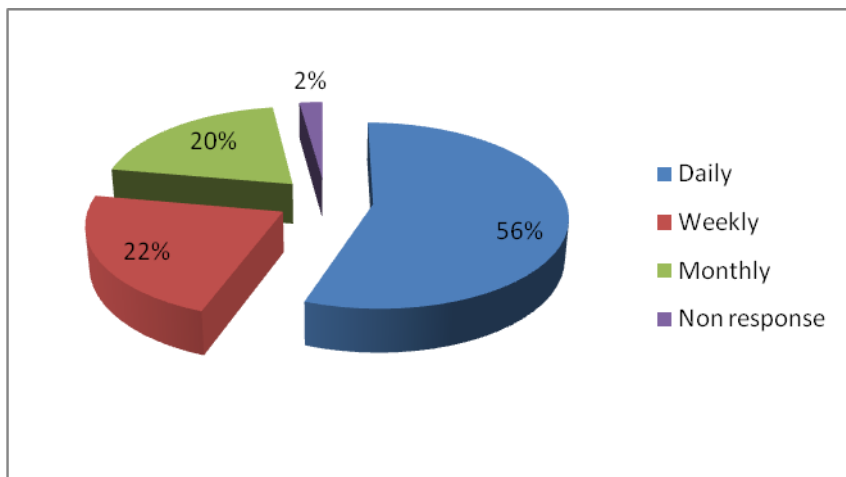
The situation explained above was further collaborated by the findings shown in Table 21 which indicated most of the records were actually used for trade union administration and trade union finance at 41 (20.3%) and 40 (19.8%) respectively. The core functions of collective bargaining as well as organisation and recruitment did not score highly. This could imply that most of the labour organisations were not extensively involved in these core trade union activities.

**Table 21: Purpose for which records are used in labour organisations (N=45)**

Purpose for which records are used in labour organisations	Frequency	
	Total	Percent
Non trade union matters	1	0.5
Trade union personnel	25	12.4
Trade union policy	29	14.4
Collective bargaining	32	15.8
Organizing and recruitment	34	16.8
Trade union finance	40	19.8
Trade union administration	41	20.3
Total	202	100

In terms of frequency of use of these records, labour organisations confirmed that they were information intensive organisations in that the majority 25 (56%) said that they used records daily in the execution of their work; 10 (22%) said weekly, while 9 (20%) said monthly as shown in Figure 15.

**Figure 15: Frequency of use of records in labour organizations**



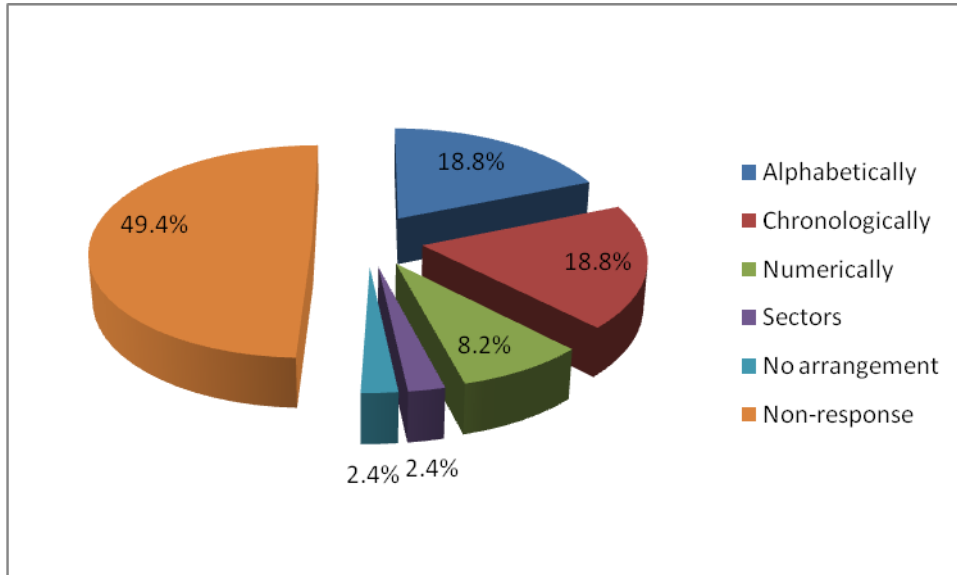
### **5.3.5 Organisation and classification of the record collection**

Classification systems should reflect the business of the organisation from which they are derived and are normally based on the analysis of the organisation's business activities. The systems can be used to support a variety of records management processes. Organisations need to determine the degree of classification control they require for their business purposes (ISO 15489-1 Section 9.5).

From follow-up interviews and observations, the majority of labour organisations were not aware of the procedures for filing both paper and electronic records and most had developed some form of classification. Thus in the absence of well defined organisation-wide classification structures, most of the localised systems within most labour organisations rely on the initiative and memory of union staff such as secretaries and administrative staff on how to classify records. In this regard, of the 45 labour organizations, 29 (64.4%) stated that there were clearly defined records series in the organisation; while 29 (35.6%) said there were no defined records series. Further, when asked to state, using a multi-response list, the

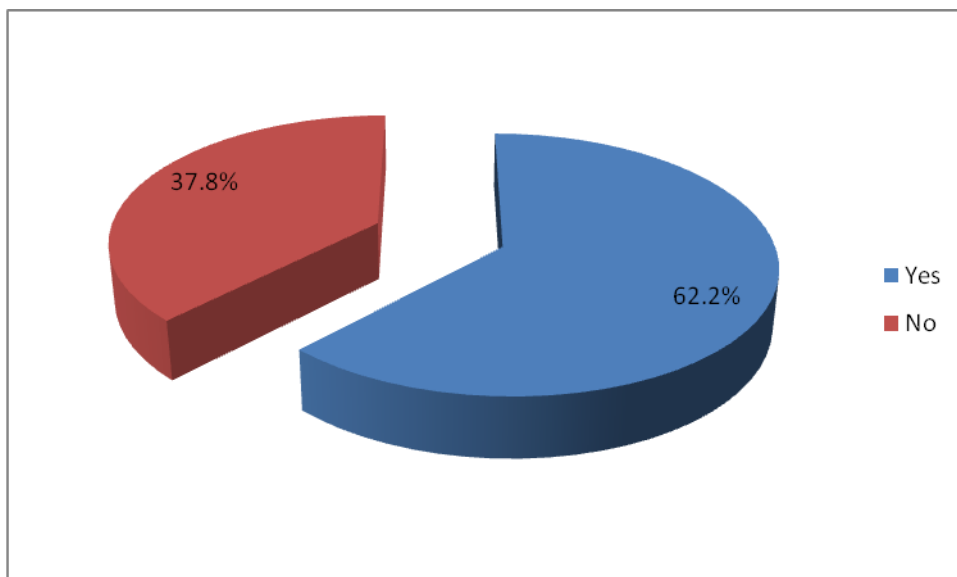
several ways they organise their records, as shown in Figure 16, 16 (18.8%) indicated they classified their records alphabetically or chronologically.

**Figure 16: Classification of records in labour organisations**



Although the majority 28 (62.2%) indicated they had some form of file plan as shown in Figure 17, observations showed that these were not systematically developed. However, most of the respondents 28 (62.2%) indicated that they use indexes; inventories or registers.

**Figure 17: Existence of file plans in labour organisations**



It was further observed that owing to the shortcomings arising out of not having file plans, a number of home grown record classification systems for both hard copy and electronic

records have been designed in most labour organisations. Although, in the short term this could in some cases improve efficiency for some labour organisations, in the long term, however, the creation of ad hoc, non-standard systems could undermine the objectives of integrating and sharing information resources.

### **5.3.6 Access and security of records**

Organisations should have formal guidelines regulating who is permitted access to records and in what circumstances. The regulatory environment in which the organisation operates establishes broad principles on access rights, and conditions or restrictions that should be incorporated into the operation of records systems (ISO 15489-1 Section 9.7).

The results of the survey indicated that due to the manner in which records are organised, the number of records personnel available, the location of the records and the systems in place for monitoring file movements, retrieval of records was very problematic.

As earlier observed, the executive leadership had access to most of the records kept in the labour organisations. Although there are no clear guidelines used for access and security of records, most labour organisations used the general principles of classified and restricted documents. Therefore, documents were usually marked either “Confidential” or “Restricted”. “Confidential” documents would consist of those records that contain particularly sensitive information for the labour organisations or documents deemed to be prejudicial to their interests. However, there were no clear guidelines on the declassification of such documents. “Restricted” documents were said to be those that contain sensitive information for the internal use as determined by the elected executive.

In terms of retrieval of paper records, 24 (53.3%) of labour organisations, indicated that they took minutes to retrieve information when needed, while 14 (31.1%) of them indicated that they took hours to locate information. These results are summarized in Table 22. As has been discussed in the subsequent sections, this situation was not any different in the electronic environment.

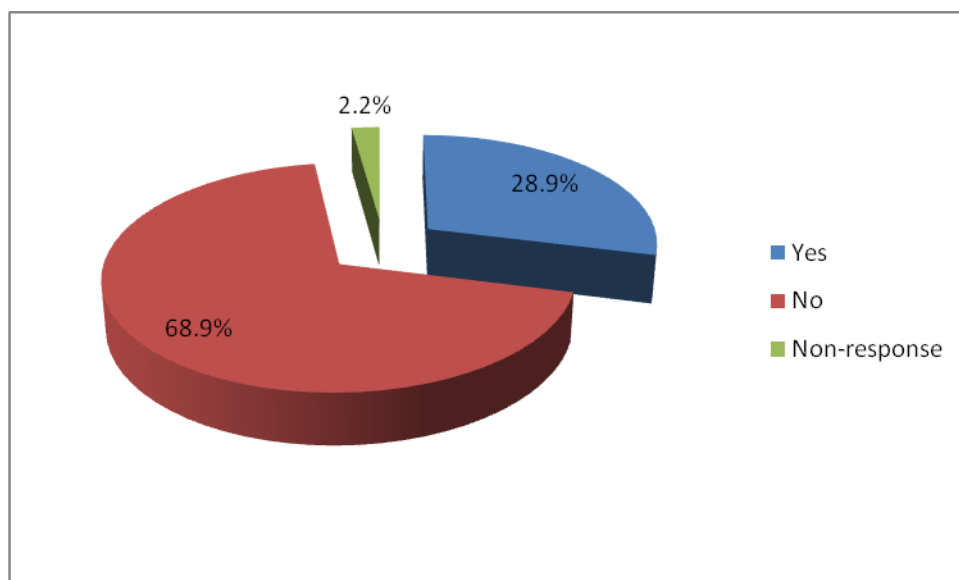


**Table 22: Length of time required for retrieval of information (N=45)**

Length of time required to retrieve information in a paper-based environment	Frequency	
	Total	Percent
Minutes	24	53.3
Hours	14	31.1
Days	1	2.2
Weeks	1	2.2
Months	1	2.2
Never located in some cases	2	4.4
Non-response	2	4.4
Total	45	100

In addition, it is important to note that a key element of records management is to monitor the movement of records in and out of the recordkeeping systems. In the electronic environment, the same principle applies (that is, knowing how records are used at any time) but is more closely related to the security, accessibility and integrity of the records, rather than its physical custody. When asked to state if there were any systems for tracking paper records, 24 (53.3%) of the labour organisations indicated, they did not have any tracking system in place while 21 (46.7%) had. Further, in general, 31 (68.9%) labour organisations said they did not have detailed procedures governing tracking of records regardless of format, while 13 (28.9%) indicated they did have as depicted in Figure 18.

**Figure 18: Existence of procedures governing file tracking**



Interviews and observations established that the use of file movement cards, for example, was absent. Thus when asked to state, using a multi-response list, the tools used in tracking of

manual records, a score of 26 (39.4%) said they used physical checking of files on shelves as a tool to track records use. Only a score of 7 (10.6%) used file tracking cards; 5 (7.6%) used subject indexes, while 4 (6%) used computerised system. Table 23 summarises these findings.

**Table 23: Tools used to track records use in labour organisations (N=45)**

Tools used to track records in labour organisations	Frequency	
	Total	Percent
Computerised system	4	6.0
Subject index	5	7.6
File tracking card	7	10.6
Human memory	9	13.6
File tracking register	15	22.7
Physical checking of files on shelves	26	39.4
Total	66	100

Those that agreed that they did track files were asked to state aspects of file tracking that they covered. As indicated in Table 24, by order of score on a multi-response list, 11 (35.5%) respondents indicated that they covered aspects of who has the authority to use files; aspects for recording their circulation files 7 (22.6%); while other aspects related to how long action officers may retained the files 5 (16.1%).

**Table 24: Aspects of File Tracking covered in labour organisations (N=45)**

Aspects of file tracking covered	Frequency	
	Total	Percent
Movement of files among action officers	4	12.9
Responsibility for documentation	4	12.9
How long action officers may retain files	5	16.1
Recording their circulation files	7	22.6
Who has authority to use files	11	35.5
Total	31	100.0

In terms of access, as shown in Table 25, in most of the labour organisations 23 (21.7%) the leading problem encountered in providing access was the of lack of staff training in records management. Other notable problems were lack of poor layout of records management unit.

**Table 25: Problems faced by labour organisations in providing access to records (N=45)**

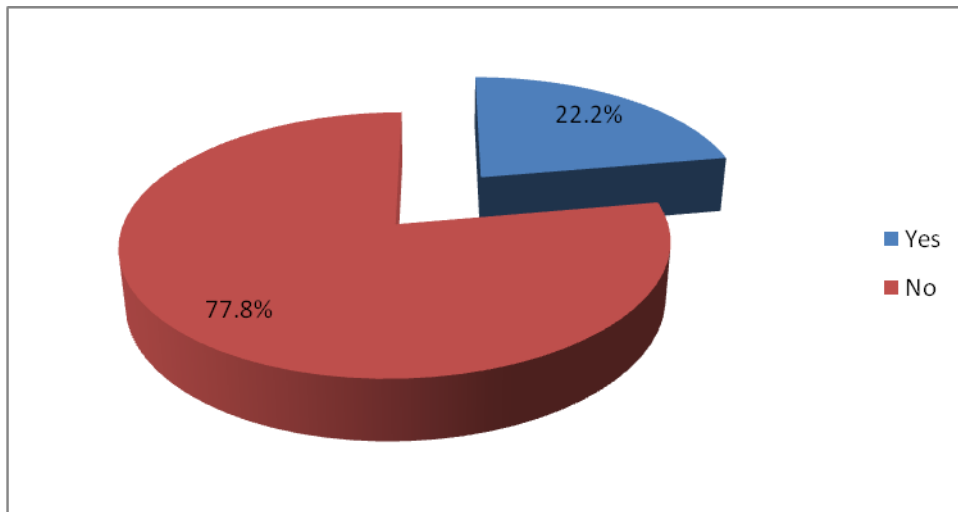
Problems faced by labour organisations in providing access to records	Frequency	
	Total	Percent
Staff do not understand users needs	6	5.7
Files torn and dusty	7	6.6
Files bulky	10	9.4
Action officers retaining files	12	11.3
Users know little about records held by trade union	13	12.3
Mix-up of active and inactive files	16	15.1
Lack of /poor RMU layout	19	17.9
Staff lack training in records management	23	21.7
Total	106	100.0

### **5.3.7 Records appraisal, retention and disposal**

Records systems should be capable of facilitating and implementing decisions on the retention or disposition of records. Disposition authority that governs the removal of records from operational systems should be applied to records on a systematic and routine basis, in the of normal business activity. No disposition should take place without assurance that the record is no longer required, that no work is outstanding and that no litigation or investigation is current or pending which would involve relying on the records as evidence (ISO 15489-1, Section 9.9).

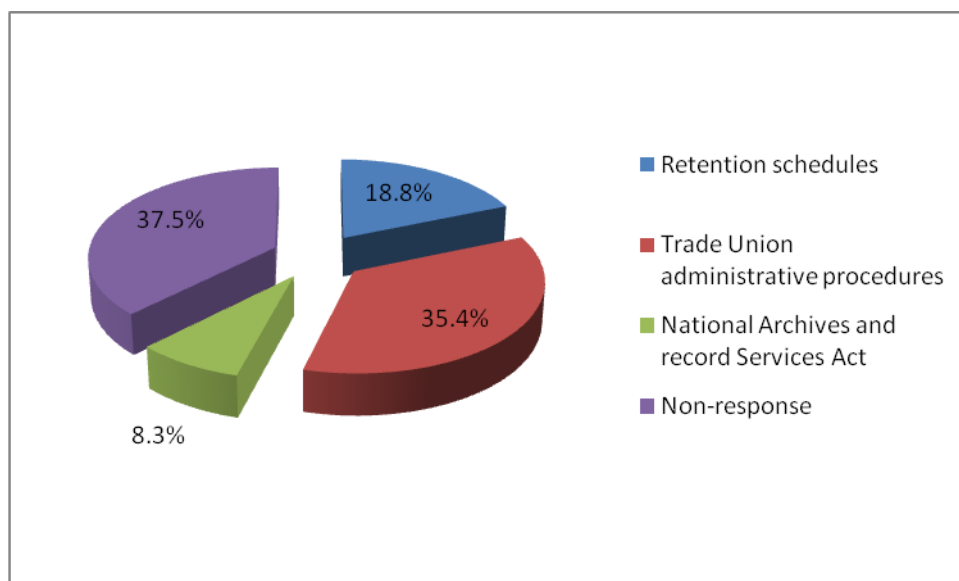
Effective management of records requires that procedures be put in place for the timely disposal of records that are no longer needed to support current business or those which do not have to be retained for legacy purposes. It is for this reason that the survey sought to establish whether labour organisations have developed tools and procedures for the disposition of its records. As indicated in Figure 19, surprisingly, most labour organisations 35 (77.8%) indicated that they had some form of retention and disposal programme while 10 (22.2%) did not indicate they had.

**Figure 19: Records retention and disposal programme in labour organizations**



However, follow-up interviews indicated that most labour organisations did not have a clear grasp of what entails such a programme. In general, there was much confusion about retention requirements and the need to retain records for accountability purposes. Some respondents thought that ‘indefinite’ retention was necessary; others felt that records could be disposed of as soon as their immediate purpose had been served. The reality was that while there could be some basic retention requirement provided for in legislation regarding say for financial records, no clear policies or procedures for retention and disposition of records exist in most labour organisations. In some respects, most labour organisations had no retention schedules but relied on standing instructions (financial regulations of keeping records for 7 years) or trade union standing administrative instructions. As shown in Figure 20, most of them, score of 17 (35%) indicated that the trade union administrative procedures are common instruments that guide records disposal in most of the labour organisations. The National Archives and Record Services Act is the least used instrument in labour organisations at a score of 4 (8.3%).

**Figure 20: Instruments that guide disposition in labour organisations**



In addition, owing to this confusion, 28 (62.2%) of the labour organisations did not destroy records which had not been appraised, while 15 (33.3%) indicated they did destroy after appraisal. The end result was that most of the labour organisations were choking their recordkeeping systems. As shown in Table 25, most of the labour organisations tended to keep records permanently since there were no retention schedules in place.

**Table 26: Retention of Records in labour organisations (N=45)**

Type of Trade union records	Retention periods of records in labour organisations							Total
	0-5yrs	6-10yrs	11-15 yrs	16-20 yrs	20-25 yrs	Permanent Preservation	Non-response	
Financial	10 (22.2%)	4(8.9%)	-	-	1 (2.2%)	27(60.0%)	3 (6.7%)	45(100%)
Human resource	4 (8.9%)	6 (13.3%)	-	-	1 (2.2%)	30(66.7%)	4 (8.9%)	45(100%)
General administration	3 (6.7%)	4 (8.9%)	1(2.2%)	1 (2.2%)	2(4.4%)	32(71.1%)	2 (4.4%)	45(100%)
Union policy	3 (6.7%)	2 (4.4%)	1 (2.2%)	1 (2.2%)	-	34(75.6%)	4 (8.9%)	45(100%)
Membership	3 (6.7%)	4 (8.9%)	-	1 (2.2%)	2 (4.4%)	32(71.1%)	3 (6.7%)	45(100%)
Organizing and recruitment	7 (15.6%)	4 (8.9%)	1 (2.2%)	1 (2.2%)	2 (4.4%)	25(55.6%)	5 (11.1%)	45(100%)
Collective bargaining records	4 (8.9%)	4 (8.9%)	-	-	4 (8.9%)	27(60.0%)	6 (13.3%)	45(100%)

### 5.3.8 Storage and preservation of records

Records should be stored in media that ensure their usability, reliability, authenticity and preservation for as long they are needed. Best practice relates to issues dealing with maintenance, handling and storage of records throughout their existence (ISO 15489-1,

Section 9.6). This involves the safe keeping and preservation of records while in current use, and when they are not in current use but need to be retained for possible future reference. It also entails guaranteeing the long-term accessibility of records, irrespective of their formats.

As indicated elsewhere in the previous Chapters in this thesis, the operations of most labour organisations are highly dependent on availability and reliability of information. The ability to locate and retrieve information is, therefore, crucial to the success of their operations. For this reason, the survey sought to determine if labour organisations' records storage facilities were adequate for the volume of records they generate.

The findings of the survey revealed that steel cabinets were mainly used for storing current records in most labour organisations 28 (36.4%). Only 3 (3.9%) of the respondents indicated that they kept records on the floor as summarised in Table 27.

**Table 27: Storage of current records on labour organisations (N=45)**

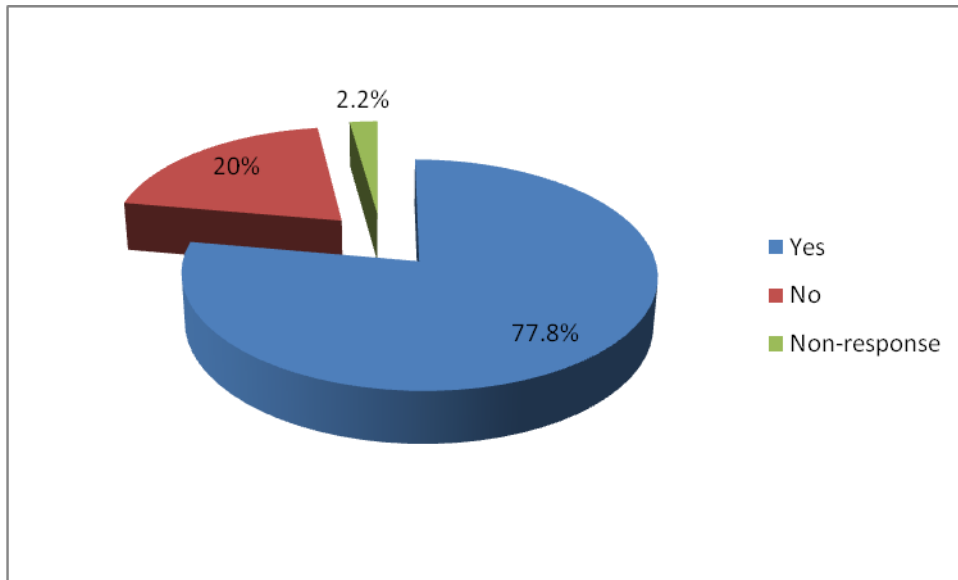
Storage of current records in labour organisations	Frequency	
	Total	Percent
Floor	3	3.9
Non adjustable shelves	8	10.4
Wooden racks	9	11.7
Adjustable shelves	9	11.7
Cupboards	20	26.0
Steel cabinets	28	36.4
Total	77	100.0

The survey established that semi-current records were usually kept on the shelves together with current records by more than 36 (70.6%) of the labour organisations. A few respondents 2 (3.9%) kept them on the floors or in a separate room not designed for such use. Non-current records are kept on the shelves together with current and semi-current records by most of the trade unions 24 (22.4%). In terms of the equipment used, more than 32 (71.1%) of the respondents reported that they used equipment that did not sufficiently cater for records storage. Observations also confirmed this trend.

Most labour organisations 18 (16.7%) indicated that they encounter problems of lost files and torn and dusty records; 17 (15.7%) faced problems of unauthorised access. In addition, as

depicted in Figure 21, 35 (77.8%) of the labour organisations have space problems for storing records; while 9 (20%) of respondents indicated they do not have such a problem.

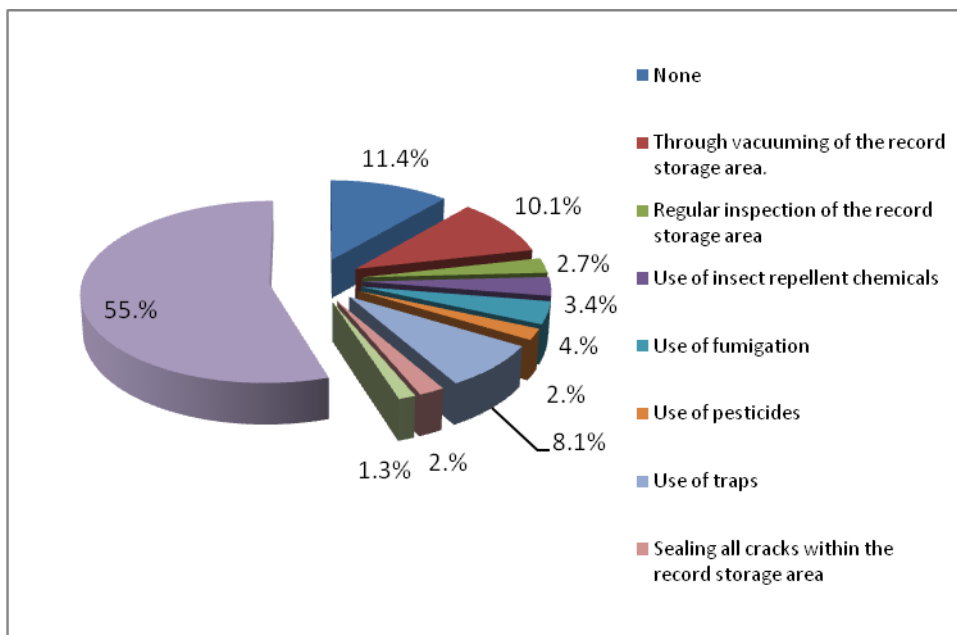
**Figure 21: Storage space problems in labour organisations**



Further, 37 (82.2%), labour organisations do not monitor temperature and relative humidity in the record storage area, while 6 (13.3%) of the respondents indicated they do some form of monitoring. Most of the respondents, 24 (33.3%), indicated that they did not use any method to control light in the record storage area. The most used method by the trade unions is providing windows with blinds and curtains.

Cockroaches seemed to be the pests that were experienced in the record storage area of most labour organisations with a score of 12 (10.9%). The least troubling pests were cited as termites 5 (4.5%) and mice 5 (4.5%). The most method most commonly used in controlling pest infestations in the record storage area was vacuuming of the record storage area. Most of the labour organisations did not use any method of control for pests in the storage area 17 (11.4%). Figure 22 indicates these results.

**Figure 22: Methods of controlling pests in storage facilities**



In terms of preservation strategies and practices used between paper-based and digital documents, follow-up interviews revealed that most labour organisations faced the major problems such as: poor storage of electronic versions of documents; poor migration strategies to newer hardware and software technologies; poor management of access control (passwords); and use of defective storage media.

### **5.3.9 Staffing and training**

There is a need for records management staff to have ICT skills to be able to operate in an electronic environment. Records staff also need problem solving skills, awareness of accountability and compliance methodologies and also skills in customer relations in order to work in a challenging environment.

The effective and efficient management of records and information is closely linked to the competencies and skills possessed by those charged with the responsibility of managing them. For this reason, the survey was keen to determine the levels and types of skills and competencies of those tasked with the management of records.

The survey established that most of those managing records and information in most labour organisations 35 (77.8%) had not received any education and training in records management



in organisations; only 10 (22.2%) indicated they had done so. Using a multi-response list, the respondents were asked the levels of records/information management training received by personnel managing records in their organisations. A certificate was cited as the only highest level of records/information management professional education/ training received by such personnel; 6 (13.3%) had received a diploma in records/information management. Further, seminars and workshops were considered as the most useful in meeting the training needs in records management in labour organisation at a score count of 36 (41.9%) of trade unions consider them useful. A minority, 7 (8.1%), of the labour organisations considered on the job training useful. Table 28 summarises these findings.

**Table 28: Most useful way in meeting training needs in records management (N=45)**

Most useful way in meeting training needs in records management in labour organisations	Frequency	
	Total	Percent
On the job training	7	8.1
Internships	9	10.5
Use of consultants	12	14.0
Training in records schools	22	25.6
Seminars and workshops	36	41.9
Total	86	100.0

### 5.3.10 Vital records and disaster management

Vital records are those critical records that labour organisations cannot operate without and which will be needed to sustain its operations during or after a disaster or calamity. Examples include legal and financial records. Vital records and disaster management in this context therefore involves putting in place arrangements for the protection of records in order to safeguard business continuity. A formal instrument that identifies rights of access to records and the regime of restrictions applicable to records is a necessary tool for managing records in organisations of all sizes and jurisdictions. The way the levels of restrictions are expressed should reflect organisational usage. Relevant business areas would need to be consulted in the development of access restrictions. (ISO 15489-1, Section 4.2.5.2).

The survey sought to determine if labour organisations appreciated and valued the need to identify and manage its most valuable records, that is, those without which labour organisations could not function.

The results of the survey indicated that most labour organisations were aware of the need for management of vital records and the implication in the event of disaster. The admission of the

indication of labour organisations' need for vital records and disaster preparedness is summarised in Table 29. As shown, a score of 30 (23.4%) affirmed the need for a vital records and disaster management programme.

**Table 29: Indication of the need for a vital records programme in labour organisations (N=45)**

Need for a vital records and disaster management	Frequency	
	Total	Percent
Audit and test programme procedures	14	11.0
Assign responsibility	18	14.1
Develop appropriate vital records storage facilities	20	15.6
Identify potential hazards	22	17.2
Develop records protection measures	24	18.8
Identify vital records	30	23.4
Total	128	100

Of those that indicated the need for a vital records management programme and the need for disasters preparedness, the highest score of respondents 23 (18.1%) stated that the disasters that are likely to affect records in labour organisations were computer system failure; followed by unauthorised intrusions 22 (17.3%) and leaking roots as summarised in Table 30.

**Table 30: Disasters likely to affect records in labour organisations (N=45)**

Disasters likely to affect records in labour organisations	Frequency	
	Total	Percent
Bomb threats	3	2.4
Explosions	5	3.9
Floods	10	7.9
Food and drink in storage area	11	8.7
Pest infestation	17	13.4
Leaking roof	18	14.2
Sabotage	18	14.2
Unauthorised intrusion	22	17.3
Computer system failure	23	18.1
Total	127	100.0

Although, most labour organisations could not elaborate on what constituted their vital records management programme through follow-up interviews, the majority 24 (53.3%) of respondents stated that they used the duplication method for vital records protection; 8 (17.8%) reported they used off-site storage. A few labour organisations 2 (4.4%) cited digitisation; while 1 (2.2%) said they used microfilming method. Table 31 summarises these results.

**Table 31: Methods used for protection of vital records in labour organisations (N=45)**

<b>Methods used for protection of vital records in labour organisations</b>	<b>Frequency</b>	
	Total	Percent
Microfilming	1	2.2
Digitization	2	4.4
Off-site storage	8	17.8
Duplication	24	53.3
Non-response	10	22.2
Total	45	100

### **5.3.11 Mail management**

Mail management is a critical component of records management in any organisation. Operational and service effectiveness demands that mail is handled in a timely and cost effective manner. This is the process that ensures that incoming, outgoing and internal mail in the organisation is handled in the fastest and most cost-effective manner.

Using a multi-response list, respondents were asked to state the key mail management functions that were carried in the labour organisations. The results of the survey indicated that receiving mail had the highest score of 36 (16.2%), opening of mail 29 (13.1%), and delivery of mail to action offices 26 (11.7%) were the leading activities that constituted the mail management programme in labour organisations. The filing of mail 22 (9.9%) sorting of mail 21 (9.5%), classifying mail 15(6.8%) control of mail movement 13 (5.9%) were not ranked high, yet they are very key to overall effective mail management.

This was collaborated by interviews where most respondents indicated that they had received criticism for their delayed or perceived lack of response to official communications. Observations also showed that there was inconsistent application file reference numbers on outgoing correspondence thus undermining the maintenance of a complete record of correspondence.

As shown in Table 32, 30 (66.7%) of the labour organisations did not use any tools in the circulation of mail. Only 4 (8.9%) used the file movement cards while 1 (2.2%) trade unions use systematic searches.

**Table 32: Tools used to control the movement of mail in labour organisations (N=45)**

Tools used to control the movement of mail in labour organisations	Frequency	
	Total	Percent
Systematic searches	1	2.2
File movement card	4	8.9
Daily list of wanted files	5	11.1
No tools are used in circulation of mail	30	66.7
Non-response	5	11.1
Total	45	100

Overall, there were no clear guidelines on the types of correspondence that should be tracked, leading to delays in processing in-coming and out-going correspondence that was received.

#### **5.4 E-RECORDS MANAGEMENT IN LABOUR ORGANISATIONS**

It was pointed out in Chapter One (Section 1.1.5) that e-records readiness assessments are meant to guide development efforts by providing benchmarks for comparison and gauging progress in countries or organisations in understanding the depth of e-records management. In reviewing literature, in Chapter Three, it was consequently underscored that it would be useful to examine the current dynamics in the management of electronic records in labour organisations. In that regard, the survey focused on key aspects in terms of electronic records management, namely:

- Overall e-records management such as systems/applications, reliability and authenticity of e-records, retention and disposal of e-mails, back-up strategies of e-records as per dictate of continuum model and best record management practices; and
- Integration of records management in ICT systems based on best practice parameters or practice.

The survey collected data through a questionnaire (questions 94-102) supplemented by follow-up interviews with ICT designated personnel. These were either on-site, where labour organisations had employed such or off-site technical ICT support, where labour organisations have outsourced IT systems support. This was complemented on-site observations.

#### **5.4.1 Overall management of e-records**

As observed in Chapter 1 and 2, increasingly, organisations all over the world are conducting their business functions using different ICTs. As a result of this, more and more records are being generated electronically. This survey, therefore, sought to determine the extent to which labour organisations are using ICTs in the manner in which the resultant records generated electronically are being systematically managed as per best records management practice. The following were some of the findings:

- The survey indicated that almost all labour organisations had access to computers and the majority used these in the course of their day to day work.
- It was established that both structured and unstructured electronic records were being produced. Structured records were those held in databases and often contain statistical and/or transactional data. This data is held in a series of centralised tables that are manipulated via the database coding, whereas, unstructured records are created and maintained in systems such as e-mail and MS Office application such as MS Word.
- It was established that there were no defined standards capture or tag metadata for authenticity.
- There were also no policies, guidelines and systems to enable records/information management through applications such as Electronic Records Management System (ERMS).
- The creation and use of information was up to the discretion of the individual users.
- There were no institutional procedures that guide the filing, arrangement and disposition of electronically created documents by staff using desktop computers.
- E-mail remained a big challenge for most labour organisations in terms of recordkeeping. Thus, there were no policies or procedures on use and management of e-mails. In most of the labour organisations visited, users created and disposed of e-mails and attachments mainly at their own discretion without reference to institutional standards or organisational controls. Some organisations ‘archived’ messages in some folders while others printed and filed such messages that they considered official and important.

Arising from the above, by implication, labour organisations were found to be no different from many other organisations around the world that are making the transition to the

electronic environment and have yet to establish standards and guidelines for the management of electronic records.

#### **5.4.2 Integration of records management in ICT systems**

When properly implemented, an ICT system that has integrated records management functionalities would permit the capture, organisation, use, retention, and disposition of records (IRMT, 2008). The current survey focused on the integration of records management in ICT systems in the labour organisations. The following research questions guided the understanding of this integration ICT systems and records management:

- Were there any standards and procedures for integrating records management in ICT systems in the organisation and, if not why?
- Were there any organisation-wide records/information management strategy that includes a specific objective to integrate records management in ICT systems and, if not why not?
- Did the organisations have specific tools for auditing and evaluating records management integration in ICT systems and, if not why not?
- Were there any unique identifiers assigned to the records that will remain unchanged as long as the records exist in the ICT systems adopted in the organisation and, if not why not?
- Were there any supporting and application of security and access controls during the process of capturing records to ensure that the records are protected from unauthorised access, alteration and destruction/deletion and, if not why not?
- Did the existing ICT systems provide an easy method of checking the audit trails for changes to records and records' metadata within the system and, if not why not?
- Were there system rules consistent for physical, hybrid and electronic records (e.g. records are labelled or described for searching and retrieval purposes) and, if not why not?
- Were there documented policies and procedures for assigning retention and disposition instructions to records and, if not why not?
- Were there any backup strategies capable of: providing backup for all records and the records' metadata within the ICT systems in use?

- What was the level of knowledge and training of the staff managing ICT systems and records in the organisation?

Based on the research questions above, the major issues covered in terms of the records management capacity of these ICT systems were:

- (1) Creating and capturing records;
- (2) Managing and maintaining records;
- (3) Searching, accessing and retrieving records;
- (4) Retaining and disposing records;
- (5) Backup strategies;
- (6) Integration of systems; and
- (7) Staffing and training.

#### **5.4.2.1 Creating and capturing records**

Records must provide evidence of the actions and transactions that generated them, and they must serve as a trusted source for future decision making and information needs. If records are to serve these purposes, the ICT system must incorporate defined rules and processes for creating and capturing records (IRMT, 2008). For example, where in the business process will a record need to be created and what information about the record must be captured along with the record's content itself?

Records must have certain attributes: they must be authentic, complete and usable. In order to ensure that they have these attributes, the ICT system must have the capability to generate or capture the required 'metadata'. The metadata gives individual records their context within the business process that generated them, and it links the records together so that they can serve their purpose in documenting individual cases within the business process (IRMT, 2008).

Although the existing ICT system could capture some minimum metadata, the study established that there were no clear procedures or standards to guide the creation or capture of records in all labour organisations surveyed.

#### **5.4.2.2 Managing and maintaining records**

Once e-records are created and captured, they must be maintained in such a way that their attributes of authenticity, reliability, completeness and usability are preserved for as long as the records are needed to serve the organisation's business needs, and to meet accountability requirements prescribed by law or policy. They must be organised, classified and described in a manner that facilitates their access and retrieval, and they must be protected to ensure that they are secure from unwarranted alteration and destruction (IRMT, 2008). A major issue the survey sought to address was whether the ICT systems were capable of:

- validating metadata, for example against a range of pre-defined values such as a classification scheme
- creating rules to control the selection of metadata
- assigning appropriate retention and disposition rules to records during record creation
- creating and maintaining an audit trail that tracks user access to records contained within or managed by the system
- Creating and maintaining an audit trail that tracks changes to records and record metadata.

The survey found out that although some labour organisations have developed some in-house databases using excel for membership statistics, there are, however, no clear documented procedures for creating and capturing metadata values for recordkeeping.

#### **5.4.2.3 Searching, accessing and retrieving records**

Information needs cannot be met unless the records can be accessed and used when needed. In terms of searching, accessing and retrieving records the survey sought to establish if the systems were capable of:

- Retrieving and listing a set of digital records and associated metadata that meet the search criteria;
- Restricting the definition and maintenance of access and security controls to an authorised system administrator;
- Supporting central management of access and security controls; applying these controls to users, records and associated metadata; and



- Supporting and applying security and access controls during the process of capturing records to ensure that the records are protected from unauthorised access, alteration and destruction/deletion

The survey established that the existing systems have limited key metadata profile for management of search, access and retrieval. No clear procedures, standards and processes exist to entrench this.

#### **5.4.2.4 Retaining and disposing records**

Records generated in ICT systems must be retained for as long as they are required to support business requirements. These may include:

- The need to provide evidence of a transaction or series of transactions; and
- The need to have authoritative and reliable information available to support decision-making, management reporting and accountability requirements.

This survey sought to determine whether labour organisations have retention and disposal procedures for records generated electronically. The results of this survey indicated that just as in the case with paper records, currently there are no clear rules and procedures that authorise retention and disposition of data held in the ICT systems. The implication of this is that the creators and users of records can capture, manipulate and delete data at their own discretion without any regard for the evidential value of the records in future.

The other key aspect this survey sought to determine was whether the ICT systems in labour organisations were capable of maintaining audit trails. The findings of the surveys established that the systems such as office packages have limited in-built audit trails that track the access and use of records. However, further examination indicated that there are no documented procedures on creating and maintaining audit trails.

#### **5.4.2.5 Backup strategies**

Another aspect this survey sought to determine were backup strategies capable of providing backup for all records and the records' metadata within the system. The findings of the survey show most labour organisations were aware of, and used, the backup system provided

by the on-site and off-site ICT support to their organisations. However, there were no ICT back-up and recovery policy in place in most labour organisations. This implies there was lack of coordinated approach to disaster preparedness.

#### **5.4.2.6 Integration of ICT systems**

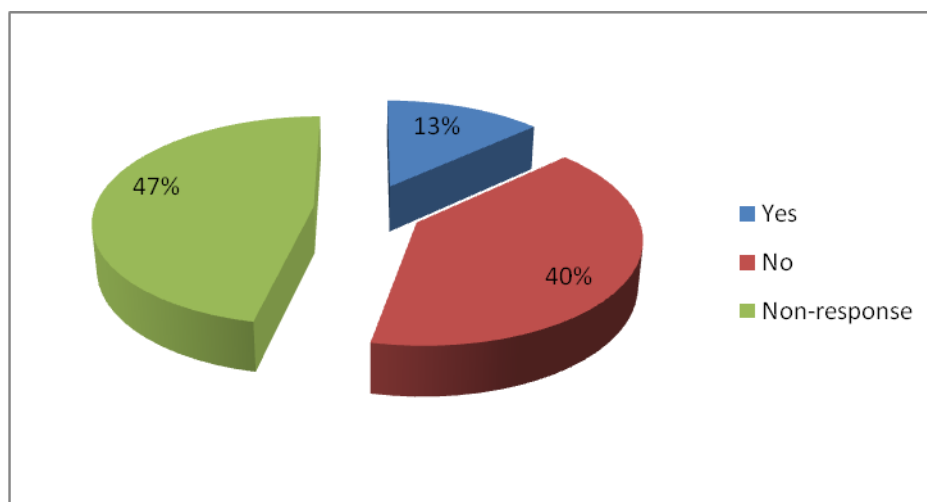
ICT systems in labour organisations are increasingly creating, holding and providing access to the records and information on which labour organisations and its stakeholders and clients depend. This implied ICT systems must be able to provide trusted information that is reliable, complete, unaltered and useable. The experience worldwide has been that in many cases, ICT systems have been introduced without the essential processes and controls for the capture, long-term safeguarding and accessibility of electronic records (IRMT, 2008). For this reason, this survey further sought to establish whether the systems are: (i) integrated across the different computing platforms and (ii) in a functioning networked environment.

The survey found out that most of ICT systems in labour organisations systems were disparate and function-specific. There was no integration between systems (they were stand alone systems) except for a few ad hoc links that created interfaces.

#### **5.4.2.7 Staffing and training in electronic records management**

As earlier observed, the need for staffing and professional training in records management emerged as one of the critical areas in understanding the depth and breadth of e-records management in labour organisations. Respondents were asked if there is any training provided to anyone in e-records management. As shown in Figure 23, findings indicated that 18 (40%) of the labour organisations had not received such training while only 5 (13%) had. The rest, 22 (47%) could not even state they understood such training. This was an indication that there is lack of training and awareness on the importance of record management in labour organisations.

**Figure 23: Training for the management of electronic records**



In fact, the most prevalent challenges of managing electronic records that labour organisations experienced was cited as inadequate staff with expertise in managing records (24.5%); lack of relevant training (21.7%); and low awareness of ICT issues as shown in Table 33.

**Table 33: Challenges of managing electronic records in labour organisations (N=45)**

Challenges of managing electronic records	Frequency	
	Total	Percent
Inadequate staff with expertise in managing records	26	24.5
Inadequate funding to purchase enough computers and accessories	21	19.8
Lack of relevant training	23	21.7
Poor communication between users and IT officers	4	3.8
Security	7	6.6
Technology obsolescence	7	6.6
Low awareness of ICT issues	18	17.0
Total	106	100.0

## **5.5 USE OF EXISTING TOOLS TO ASSESS E-RECORDS READINESS IN LABOUR ORGANISATIONS**

One of the objectives of this study was to investigate e-records readiness in the labour organisations using selected generic indicators based on existing assessment tools. The examination of ICT uptake and current records management capacity presented earlier constituted the other component used in assessing e-readiness in labour organisations in the current study. This section builds on this by examining e-records readiness based existing

assessment tools. The basic idea was to validate, consolidate and corroborate earlier findings on e-records readiness in labour organisations.

In order to do this, the current study adapted the IRMT e-records readiness tool discussed in Chapter 3 under section 3.5.2. The IRMT e-records readiness tool has six national assessment and six agency (organisational level) assessment indicators. Based on the literature reviewed, documents analysis, questionnaires, interviews and observations, this study used five of the six indicators which were found appropriate for assessment in the labour organisations. Further, the current study did not employ the 'subjective' range of score as provided by IRMT tool such as 30-60 for high risk assessment, 65-90 for moderate risk assessment and 95-120 for low risk. According to the IRMT, the overall score implication is that, the lower the risk; the better and sound the status of e-records readiness.

However, in the current study, the extent of e-records readiness in labour organisations was measured on adapted scores of: 1 = low; 2 = moderately low; 3 = somewhat low; 4 = moderately high 5 = high (as shown in the questionnaire under Q103 a-e under Appendix 2). In this context, a low score indicated a lower breadth and depth of e-readiness, while a high score indicated a higher (better and sound) depth and breadth of e-readiness. The following indicators were therefore adopted and adapted for further assessment of e-readiness in labour organisations:

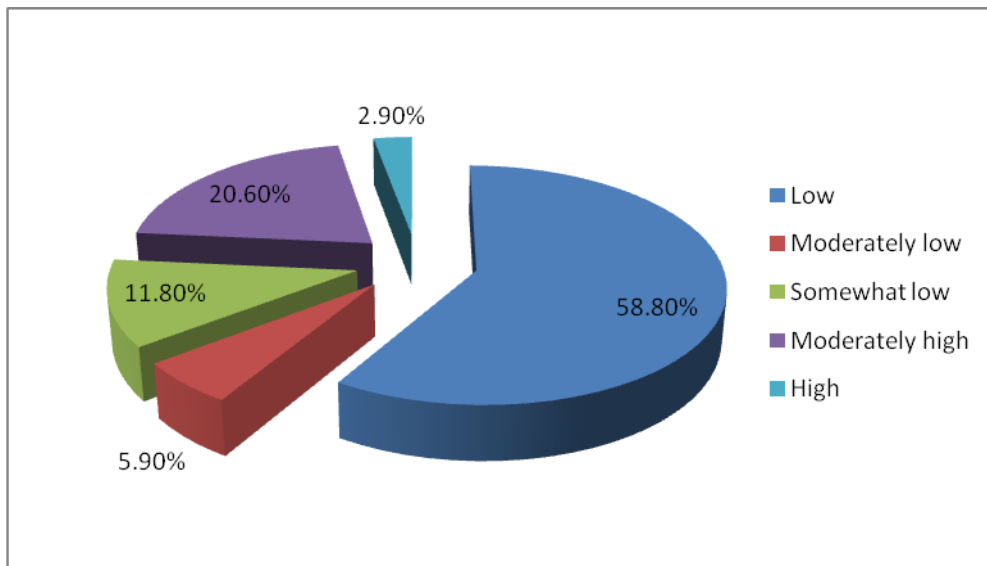
- Policies and Responsibilities for Records and Information Management;
- Tools and Procedures for Records and Information Management;
- E-Records Management Products & Technologies;
- Resources and Training for Records and Information Management Personnel; and
- Internal and Public Awareness of Records and Information Management.

It is also important to note that of the 45 labour organisations that responded, 34 answered questions 103a-e, while the other 11 did not provide statistically tangible information for detailed analysis. The findings were therefore based on 34 respondents. The sections that follow discuss these findings.

### 5.5.1 Policies and responsibilities for records and information management

The study sought to find out whether labour organisations have basic records and information management policies that established organisational-wide principles, guidelines and responsibilities for the creation, capture, management and preservation of e-records. As shown in Figure 26, 20 (58.8%) said this was low; 4 (11.8%) also indicated this was somewhat low; while only 7 (20.6%) indicated this was moderately high. This implies that, in terms of the establishment of guidelines and responsibilities for the creation, capture, management and preservation of e-records, most labour organisations had a low status of e-records readiness.

**Figure 24: Establishment of principles, policies and responsibilities of management records**



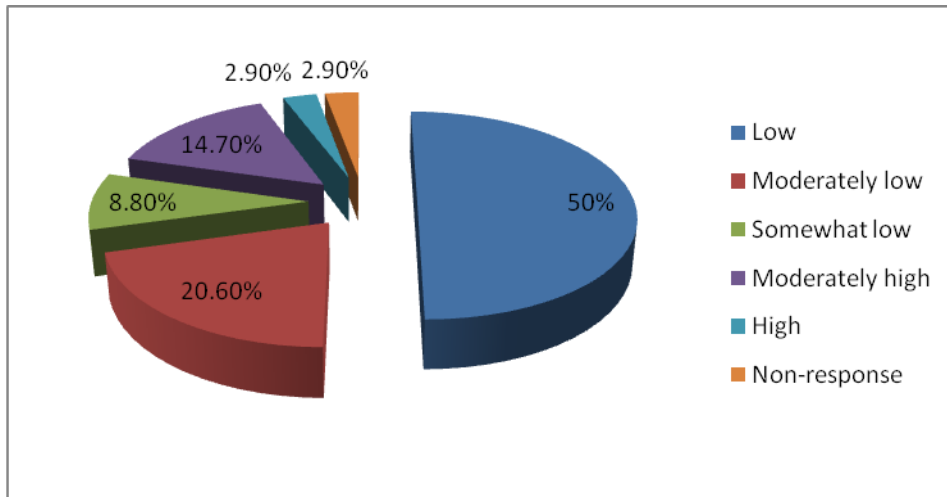
### 5.5.2 Tools and procedures for records and information management

The study also sought to examine the tools and procedures put in place for records and information management in labour organisations. In this regard, the following questions were posed:

- Were there any central systems (central file directories, storage management systems, or electronic document management systems) for filing, storage or classification?
- Were digital records difficult to access due to lack of proper classification, metadata or effective search technology?
- Were security measures and access protocols not adequate to protect the records?

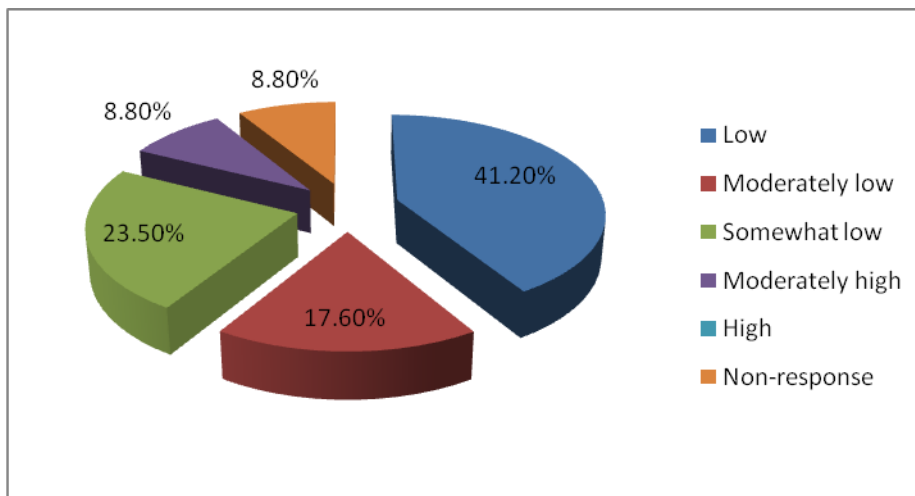
As depicted in Figure 25, the survey showed that in terms of existence of central systems for filing, storage or classification of electronic information, most of the labour organisations that responded indicated this was low 17 (50%); 7 (20.6%) said it was moderately low; while only 5 (14.7%) and 1 (2.9%) said it was moderately high or and high respectively. This underlined low e-records readiness depth in terms of key tools and procedures in records management.

**Figure 25: Existence of central systems for filing, storage and classification of e-records**



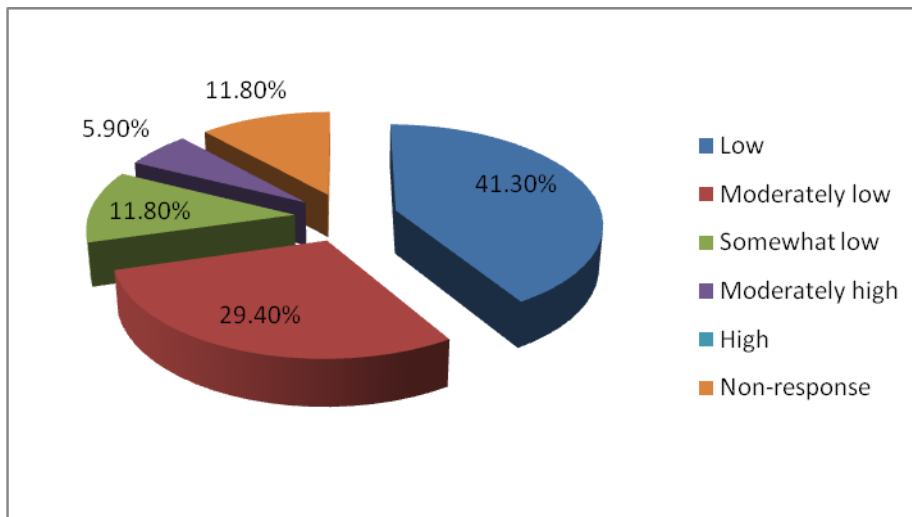
The lack of proper metadata requirement for ICT systems was also validated when 14 (42.2%), 6 (17.8%) and 8 (23.5%) labour organisations also indicated that this was low, moderately low and somewhat low respectively; with only 3 (8.8%) saying it was moderately high as shown in Figure 26.

**Figure 26: Availability of metadata Requirement for ICT systems**



The survey further indicated that in terms of security and access protocols to protect e-records, most labour organisations indicated that this was low 14 (41.2%) and moderately low 10 (29.4%); only 2 (5.9%) labour organisations said it was high as indicated in Figure 27.

**Figure 27: Existence security measures and access control**



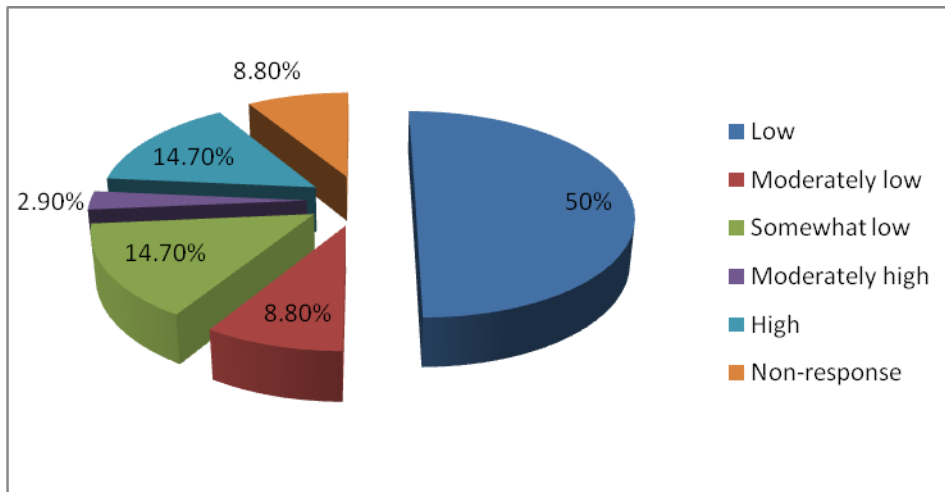
### 5.5.3 E-records management products and technologies

This e-readiness assessment indicator was guided by the following questions:

- Was there recognition of the need to integrate e-records requirements and product solutions into existing systems or into the functional requirements for future ICT systems?
- When systems had been developed, purchased or implemented, how much attention been paid to the need to streamline and integrate workflow processes, file formats, metadata, storage platforms or search and retrieval mechanisms across the business function and organisational units that the system will support?
- Were systems developed, purchased or implemented without consideration being given to how the records created would be integrated with records created by other systems?

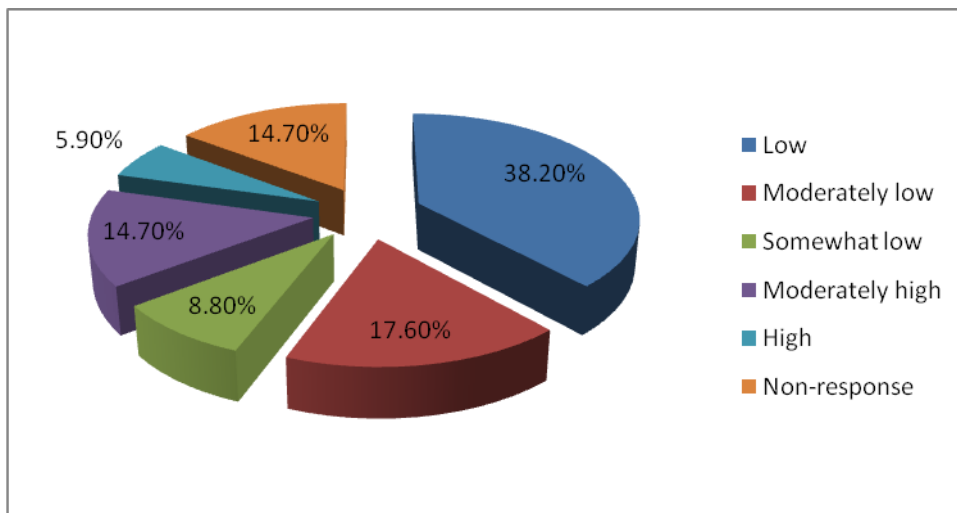
As shown in Figure 28, the recognition by most labour organisations in integrating e-records requirements information functional requirements for current and future systems was also low 17 (50%); 5 (14.7%) said it was moderately low and only 5(14.7%) that indicated this was high.

**Figure 28: Prevalence of integration of e-records at present and future**



The case was not very different in terms of the extent to which systems that have developed streamlined records management with other ICT systems. This was also reported as low 13 (38.2%); while 5 (14.7%) and 2 (5.9%) said it was moderately high and high respectively as depicted in Figure 29.

**Figure 29: Streamlining e-record management with other systems**



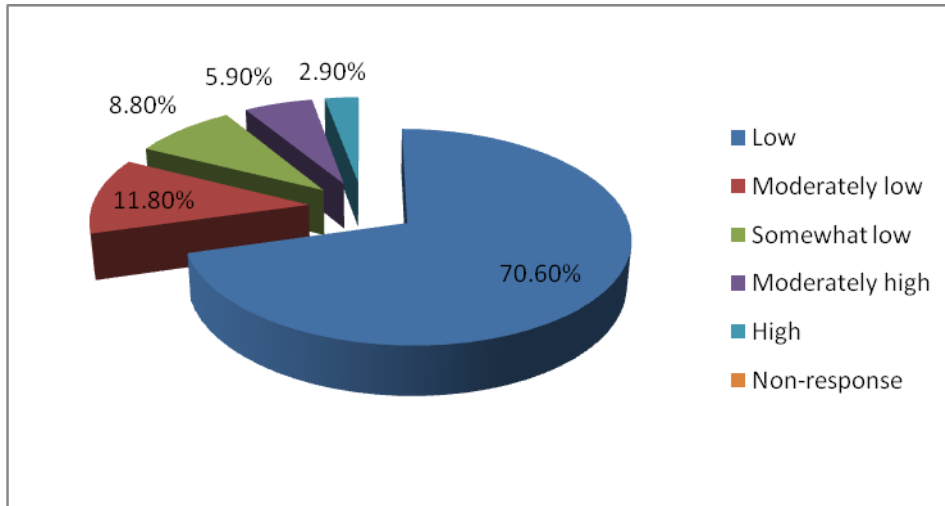
#### **5.5.4 Resources and training for records and information management personnel**

Another e-readiness assessment indicator sought to find out if there were any resources and training for records and information management within the labour organisations. As earlier observed, this was further validated to be very low by 24 (70.6%) labour organisations. Only



2 (5.9%) and 1 (2.9%) said it was moderately high and high respectively as shown in Figure 30.

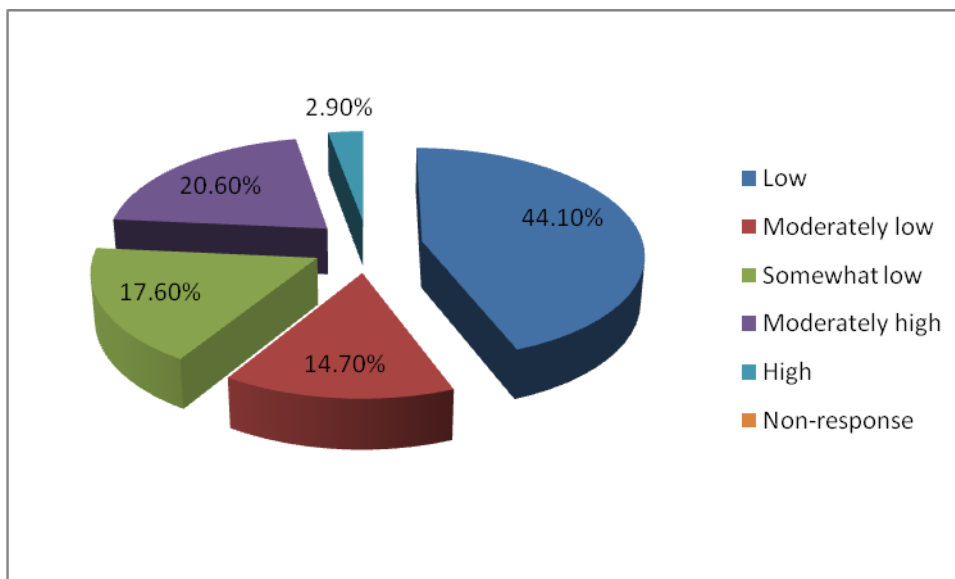
**Figure 30: Existence of records and information management training and resources within the labour organisations**



### 5.5.5 Internal awareness of records and information management

Furthermore, the survey further sought to examine the extent to which members and executive union leaderships were aware of the significance of well-managed and trustworthy records in the execution of trade union activities. As shown in Figure 31, the majority 15 (44.1%) felt that this was low. However, in this case 7 (20.6%) indicated that this was moderately high, indicating that internal awareness was therefore increasing. As earlier noted, most of the labour organisations are slowly appreciating how fundamental e-records are in the execution of their tasks.

**Figure 31: Awareness of significance records management programme by union leadership**



## **5.6 INTEGRATION OF LABOUR ORGANISATIONS INTO THE NATIONAL E-READINESS STRATEGIES IN BOTSWANA**

As one of the key objectives, through interviews and document review, the current study sought to find out the extent to which labour organisations have been integrated into the current national e-readiness (e-government framework) strategies in Botswana. Specifically, the study addressed the following issues:

- The extent to which the current ICT policy and legislative framework have attempted to integrate labour organisations in the overall national ICT initiatives;
- The extent to which the use of ICTs in government agencies have been able to support processes for delivery of quality public services to labour organisations;
- Factors that are likely to restrict adoption of access to ICTs in labour organisations;
- Current efforts to integrate labour organisations in the drive for an information society in Botswana;
- Type of collaborative ICT training programmes available for labour organisations to build competences and capacity for effective social dialogue; and
- The role of National Archives & Records Services in integrating all sectors including the labour organisations in the e-government strategy in Botswana.

As indicated in Chapter 2, the NICT Policy clearly stipulates how Botswana seeks to be part of the global knowledge and information society through the effective use of ICTs. Document review showed that through the NICT Policy, the government has created an enabling environment for mainstreaming ICTs into the development agenda of the country.

The NICT Policy also alludes to the fact that the country has created opportunities for all sectors of the economy (government, labour, NGOs, communities, business, health, education) to apply ICTs to solve organisational and national problems. For these reasons, government officials interviewed indicated that it was up to the various sectors of the economy to take initiatives in ensuring that their constituents were effectively part of the process.

However, labour organisations were of the view that government policies and programmes towards creating an information society in Botswana have been largely targeted at government agencies and business. They indicated that except for some adhoc or intermittent representation at some earlier meetings during the development of ICT policy, there have not

been any tangible collaborative efforts in entrenching ICT adoption and use in labour organisations. Evidence, on the other hand also pointed to the fact that even in government agencies, the e-government initiatives were also slow in being adopted.

The business sector pointed out that their involvement has been through several affiliate companies that have been involved in the ICTs industry and confirmed that they have had high-level consultative meetings with government. According to the business sector, their main challenge *“how ICT companies as business needed to go beyond the ‘buying and selling’ end computing products from outside the country and instead become players that would transform ICTs landscape”*. They argued that, for instance, there is currently no locally driven software development to support records and information management.

When asked to indicate what factors were likely to restrict the adoption of ICTs in labour organisations, the business sector was of the view that each sector had a different organisation culture that impacted on the way they perceived and adopted ICTs. As indicated by one of the respondents:

*“Business has a stake in the whole ICT environment because it is business to be in ICT business. The business culture is to be part of the whole ICT framework so that we could benefit not only in terms of profit but also advancement of skills and information base. For us information is of strategic importance since it determines the competitive power play”*.

Another had this to say:

*“The organisational culture of labour organisations is such that they centralise membership power into a few trade union leaders and this concentration of power inhibits innovation and growth and breaks down participation and so information is held in the hands of a few...so you naturally expect them to be slow to adopt ICTs because the leadership always fears this will break down their traditional power structure”*.

The above statements underline the strong perception that the nature of the environment in labour organisations may tend to militate against integration in the information society.

The National Archives and Records Services are supposed to spearhead the issue policy direction in the management of records in the country. However, interviews indicated that they had a restrictive mandate to public sector organisations. For example, they have had no

programmes available for labour organisations to build their capacity and competences in records management. Said one official:

*“You will appreciate that if you read the National Archives Act, our mandate is restrictive to advising the public sector. We have attempted to assist some parastatal companies but I feel that we have not done much for the trade unions...we are ready to assist them but currently we have had no request from them. I think we need to sensitise them more on records and information management since they are key to Botswana’s vision of moving towards the information and knowledge based economy”.*

## **5.7 SUMMARY OF FINDINGS**

The following is a summary of the major findings of the current study.

### **5.7.1 Type of ICTs adopted and used**

- Fax, telephone and cell-phone are the dominant ICTs that have been adopted and are used in most labour organisations in Botswana.
- The Internet was slowly being reasonably well adopted in labour organisations while use of website, facebook, YouTube, twitter and e-mail ranked very low in adoption.

### **5.7.2 ICT Use and labour organisation functions**

- Most labour organisations often use the telephone in the execution of their work. The cell-phone is the second most used while the fax is cited as the third most used.
- Most labour organisations have not as per organisational policy adopted e-mail as an official means of communication. However e-mail is said to be used very often.
- By comparison of the reasons for the motivation of use across the various ICTs, the telephone and cell phone are easy to use; while the telephone, fax, Internet, e-mail, was found to be affordable.
- The depth of understanding the role of web 2.0 technologies in social networking, organisation, recruitment and mobilisation is very low.

### **5.7.3 ICT access and networking**

- Most labour organisations used word processing applications; with significant use of application such as MS power point for workshop presentations; and

- Most of the labour organisations were not linked to the BFTU or to other labour organisations.

#### **5.7.4 Information sources/services in labour organisation**

- Most of the labour organisations relied more on their long experience to engage in trade union matters; and often like to ask questions from experienced peers to engage in trade union matters.
- The other evident sources of information were library/information resources centres from outside the union as well as government publications; and
- The reliance on information resources such as the Internet or databases to confidently engage in challenging tasks in the labour organisations was low.

#### **5.7.5 ICT/Information knowledge, skills and competences**

- Most of the labour organisation received information management skills training from outside the trade union and found this helpful in their work.
- Most of the labour organisations preferred information management training delivered to their membership through a mixture of lectures and workshop mode, interactive workshop or on-site training.
- The following were cited as what would be the impact on trade union organisational culture if information management training skills were initiated and enhanced:
  - Participation and democracy will be enhanced in the union;
  - Information sharing and solidarity among union members will be enhanced;
  - Accountability of union leadership to members will be enhanced;
  - There will be an increase in education and ideological depth among members;
  - There will be an increase in outreach activities; and
  - Traditional trade union decision making structures will be eroded.

#### **5.7.6 Challenges of ICT adoption and use**

- The main challenges included funding for ICTs lack of skills and training among union members, low knowledge and understanding by the union leadership and slowness in adoption of ICTs.

### **5.7.7 Legislative and organisational framework**

- There was limited guidance on requirements for records management in the relevant acts, instructions and instruments.
- Most labour organisations were not conversant with the key statutory requirements such as the Employment Act (Cap 71:01 Section 93), Trade Unions and Employers' Organisations (Cap 48:01 Section 42-43), Public Service National Archives Act, that are pertinent to recordkeeping during their work.
- The National Archives Act was cited as restrictive to the management of public sector records.
- Most of the labour organisations have since attempted to develop and introduce a range of basic internal policies, standards and procedures especially in financial management to enable them to manage records so that they are in compliance with the demand to submit returns to the Registrar of Trade Unions.

### **5.7.8 Creation and capturing of records**

- The traditional trade union activities (business context) create various types of records that included among others policy documents, technical reports, financial reports, memoranda, correspondence, legal documents, minutes of meetings, proceedings of meetings, publicity materials and graphic materials.
- In terms of trade union activities that produced or created most records; internal and external communication; union administration; services to members ranked high in that order. This was followed by collective bargaining, organizing, education and training; sending of solidarity information; correspondence and discussions with international trade union bodies activities.
- Most of the labour organisations had some form of recordkeeping systems that were largely managed by administrative staff, mostly receptionists and secretaries who have some office practice qualifications or experience.
- There were no well defined or clear procedures to guide the creation of records in most of the labour organisations.

### **5.7.9 Use of records**

- Labour organisations were confirmed as an information and knowledge intensive organisations in that they use records daily in the execution of their work.

- Records were mostly used by the executive leadership, followed by union staff and less by the general membership.
- The organisational culture of labour organisations were a mixture of ‘power’ and ‘role’ culture where there is centralised power around a few individuals identified by some level of bureaucracy undermining access to trade union records/information by the general membership.
- The core functions of collective bargaining as well as organisation and recruitment did not score highly in the use of records implying that most of the labour organisations were not extensively involved in these core trade union activities.

#### **5.7.10 Format of the records**

- The paper formats still dominated most of the records produced in labour organisations.
- Electronic records such as e-mails and MS package (word, excel, power-point) dominated electronic formats produced in labour organisation.
- E-mail management was said to be a challenge with no clear policies and procedures.

#### **5.7.11 Organisation and classification of the record collection**

- Labour organisations were not aware of the procedures for filing both paper and electronic records and most had developed some form of classification.
- In the absence of well defined organisation-wide classification structures, most of the localised systems within most labour organisations relied on the initiative and memory of union staff such as secretaries and administrative staff on how to classify records based on home-grown record classification systems.
- Labour organisations had some form of file plans though these were not systematically or elaborately developed.
- Labour organisations had some presence of the use of indexes; inventories or registers.

#### **5.7.12 Access and security of records**

- Due to poor organisation of records and the number of records personnel available, the location of the records and the systems in place for monitoring file movements, retrieval of records was found to be very problematic.

- There were no clear guidelines used for access and security of records and most labour organisations used the general principles of classified and restricted documents.
- There were no clear guidelines on the declassification of such documents.
- Paper records took mostly minutes to hours to retrieve.

### **5.7.13 Records appraisal, retention and disposal**

- Most labour organisations indicated they had some form of retention and disposal programme but were not clear as to what this entailed.
- There was confusion about retention requirements and the need to retain records for accountability purposes, whereas some thought that ‘indefinite’ retention was necessary; others felt that records could be disposed of as soon as their immediate purpose had been served.
- Some financial regulations stipulated basic retention requirements as provided for in legislation but no clear policies or procedures for retention and disposition of records in most labour organisations exist.
- Though labour organisations had no retention schedules, they relied on standing instructions (financial regulations of keeping records for 7 years) or trade union standing administrative instructions.
- The National Archives and Record Services Act was the least used instrument for retention and disposal in labour organisations.
- Due to lack of clarity in retention and disposal, labour organisations did not destroy records thus choking most of their recordkeeping systems.
- Most labour organisations tended to keep records permanently since there are no retention schedules in place.

### **5.7.14 Storage and preservation of records**

- Most labour organisations used steel cabinets mainly for storing current records.
- The equipment used did not sufficiently cater for records storage.
- Most of the labour organisations encountered problems of lost files and torn and dusty records.



- Labour organisations generally had space problems for storing records.
- Labour organisations faced the major preservation such as: poor storage of electronic versions of documents; poor migration strategies to newer hardware and software technologies; poor management of access control (passwords); and use of defective storage media.

#### **5.7.15 Staffing and training**

- Most of those managing records and information in most labour organisations had not received any education and training in records management in organisations.
- A certificate was the only highest level of records/ information management professional education/ training received by such personnel.
- Seminars and workshops were considered as the most useful in meeting the training needs in records management in labour organisations.

#### **5.7.16 Vital records management and disaster management**

- Most labour organisations were aware of the need for management of vital records and the implications in the event of disaster and therefore recognised that current arrangements for the protection of vital records and information were inadequate.
- Some labour organisations misunderstood the term ‘vital’, to imply all records, rather than the small quantity that would be needed to maintain or resume operations in the event of original records being lost.
- Few labour organisations could point to any arrangements being in place, such as ‘back-up’ for the protection of ‘vital’ records.
- For electronic records, most labour organisations were aware of, and used, the backup system provided by the on-site and off-site ICT support to their organisations.
- There was no known elaborate and co-ordinated back- up programme for disaster preparedness.
- Though they did not have elaborate vital records management programmes, most labour organisations used duplication and off-site storage methods for vital records protection.

### **5.7.17 Mail management.**

- Mail management was problematic evidenced by delayed or perceived lack of response to official communications.
- There was inconsistent application file reference numbers on outgoing correspondence thus undermining the maintenance of a complete record of correspondence.

### **5.7.18 E-records management in labour organisation**

- The application of ICTs and the generation of e-records was evident but there were no efforts to develop and integrate systematic records management programme based on standard best practice.

### **5.7.19 E-records readiness in labour organisations**

- Though ICT uptake was evident in labour organisations, the breadth and depth of e-records readiness was low and still seemed to be evolving.

### **5.7.20 Integration of labour organisations in the information society**

- Whereas there was evidence of various initiatives by government through policy proclamation to integrate various key sectors in the information and knowledge based society, labour organisations seemed to have lagged behind.

## **5.8 SUMMARY**

This chapter addressed the analysis and presentation of the empirical findings that were obtained from the survey based on the research objectives and questions. It has also provided a summary of the major outcomes.

Methodological triangulation of data collection methods using questionnaires, interviews, document reviews and observations ensured the convergence of data collection methods and deepened the reliability and validity of data.

The study established that labour organisations in Botswana are information and knowledge intensive organisations that had evidently embraced some traditional ICTs such as the fax, telephone, and were slowly adopting e-mail but were very slow in embracing newer

technologies such as web 2.0 (facebook, YouTube, twitter) that have proved effective in social networking and mobilisation elsewhere and could be essential to their core business.

The study also established that while most labour organisations generate a lot of records, they fell short of good or best practice standards in the management of records (paper and electronic). This implies that the creation and capturing; organisation and classification; access and security; storage; records appraisal, retention and disposal; human resource capacity; management of vital record and disaster preparedness; and mail management remain inadequate.

In addition, the management of electronic records and integration of records management functionalities and ICT systems are in most instances non-existence yet probable given the existing technological infrastructure. Furthermore, the integration of labour organisations into e-government initiatives as Botswana envisages a knowledge and information society is slow and remains challenging.

In short, while findings largely point to the slow but evident adoption and use of ICTs in labour organisations, it can be said on the whole that e-records readiness in labour organisations in Botswana remains low but is slowly evolving. The next chapter focuses on the interpretations of data based on the findings presented.

## **CHAPTER SIX**

### **INTERPRETATION AND DISCUSSION OF RESEARCH FINDINGS**

#### **6.1 INTRODUCTION**

This chapter interprets and discusses the research findings presented in Chapter Five. Researchers are usually cautioned that even if data were properly collected and analysed, incorrect interpretation would lead to inaccurate conclusions. It is therefore imperative that interpretation is done with due care, in an objective manner, and also within correct theoretical perspectives (Kothari, 2004:344). According to Kothari (2004:345), interpretation is highly intertwined with data analysis and cannot be “distinctly separated”. It follows that the precautions taken during analysis such as “reliability of data, computational checks, validation and comparison of results” should be taken in to account during this process as well. Kothari (2004:345) further posits that interpretation reinforces the “interaction between theoretical orientation and empirical observation” and that this is where the “opportunities for originality and creativity lie” in any research study. In this context, the interpretation and discussion in the current study took into account the detailed literature review in Chapter Three and the empirical data presented in Chapter Five. Thus, the interpretation and discussion on salient issues was based on the survey questionnaire analysis, follow-up interviews, semi-structured interviews with stakeholder institutions such as BFTU, BOCCIM, Ministry of Labour (Office of the Registrar), BNARS, DIT, structured observations in the labour organisations, document review and a review of the literature related to ICT adoption and use, records and information management, e-records management and e-records readiness.

The presentation of data interpretation and discussions is based on the order in which data was presented in Chapter Five, that is, according to the research objectives, namely:

- The extent of ICTs uptake and use in labour organisations;
- Current record management practices in labour organisations;
- E-records management in labour organisations;
- Use of existing e-records readiness tools in labour organisations; and

- Integration of labour organisations into national e-readiness strategies.

These are discussed in detail in the following sections.

## **6.2 EXTENT OF ICTS UPTAKE AND USE IN LABOUR ORGANISATIONS**

The interpretations and discussions of findings regarding the extent of ICT uptake and use in labour organisations in Botswana is presented according to the following sub-themes indicative of ICT uptake and use:

- Type of ICTs adopted and used;
- Challenges of ICTs adoption and use;
- ICTs Use and labour organisation functions;
- ICT access and networking;
- ICT/Information knowledge, skills and competences; and
- Information sources/services in labour organisations.

### **6.2.1 Type of ICTs adopted and used**

There are several factors that influence and lead to technology adoption or acceptance by users. User acceptance is often the pivotal factor determining the success or failure of technology (Davis, 1989). The findings from the study revealed that the fax, telephone and cell phone were the dominant ICTs that had been adopted and were used in most labour organisations in Botswana. These accounted for a total score of 116 (73.2%) of the ICT bundle. The findings further affirmed that by comparison of the reasons for the motivation of use across the various ICTs, the two highest scores of 23 (21.1%) and 22 (23.9%) indicated that the telephone and cell phone were easy to use. This seems to correspond with the variable ‘perceived ease of use’ in the TAM. In this case, ‘perceived ease of use’, is taken to mean that using a particular technology, that is the telephone and cell phone, was seen to be free of physical and mental effort.

In addition, the survey showed that the use of website, facebook, YouTube, twitter and e-mail ranked very low in adoption and use. The implication is that most labour organisations continue to rely on traditional ICTs and have been slow to embrace newer technologies. This is not surprising and affirms the assumed conservative nature of labour organisations in

adopting these technologies over the years. Earlier studies as reviewed in Chapter Three asserted that compared to other sectors such as business and government, labour organisations have been painstakingly slow to embrace the opportunities that the modern ICTs proffer (Kalusopa, 2009; Lax, 2001). It has also been noted that, overall, labour organisations have been sluggish in taking full advantage of the benefits of ICT compared with the manner in which commerce and government have embraced the new phenomenon (Hogan & Grieco, 1999:2). As several authorities have argued, if they have to remain relevant and survive in the face of the ICT revolution, labour organisations, should transform their way of functioning, just like industry, business and government have done (Gundogan, 2008; Kalusopa, 2009; Lax, 2001).

The slow adoption of ICT could largely be explained by the fact that, at the time of the survey, most of the labour organisations in Botswana continued to use the traditional face-to-face meetings in communicating with their general membership. In other words, most labour organisations have not developed an information culture driven by ICT use. Thus for example, the study although, confirming that the cell phone 31 (16.1%), conventional telephone 29 (15%) and fax 24 (12.4%) still featured highly, the traditional face-to-face communication still dominated in most labour organisations with a score of 36 (18.7%).

Another earlier exploratory study by Kalusopa (2007:20) also showed that among 26 labour centres that were surveyed, 79.2% indicated that they used meetings as the main way of sharing information within and outside their organisations. Most of them (64.6%) found direct formal meetings as an effective tool while e-mail was found to be the least used tool of communication (6.3%). As observed by Kalusopa (2009:5):

...the labour movement in Botswana has been slow in the adapting to the use of ICTs...as confirmed by most respondents that indicated that the e-mail at their workplaces was least used for trade union activities such as building solidarity. There was high dependence on personal experience; internal manual communication with no indication of the use of interactive websites...in most trade unions... the failure to embrace e-forms has made the process of [information] and knowledge management [difficult]...

The study, however, attempted to deduce why labour organisations continue to be slow to embrace newer ICTs such as the Internet and web 2.0 technologies. The major reasons cited were that such technologies required prior knowledge to use and that other allied labour

organisations did not have them. As advanced by Adrian, Norwood & Mask (2005), it is clear that the attitudes of both the usefulness and complexity of information technologies can affect individuals' adoption and use of technologies. Further there is also the attribute of observability as advanced by Rogers (1995) which could be interpreted as unspoken peer pressure, where if everyone else had and used an innovation, an individual or organisation was more likely to adopt it as well. As can be deduced, labour organisations seem to suggest that there was some complexity about such technology that required some prior knowledge and that similar organisations were not using it; suggesting there was no 'peer' pressure for them to follow suit.

It was, however, encouraging that the Internet was slowly being reasonably adopted and used in labour organisations with a score of 29 (18.4%) despite lack of clear organisational policy on its use. As has been observed by Gundogan (2008:6), the Internet presents a good opportunity for advancement of trade union work in that it "allows the trade union movement to renew itself and fill in key gaps in its national and international systems of communication leading to a broader and meaningful dialogue..."

### **6.2.2 Challenges of ICTs adoption and use**

Rodgers (1995) stated that the technological factor is affected by barriers such as poor equipment, lack of equipment, accessibility and ease of use. These factors are believed to ensure that service delivery is available, affordable and that users have the necessary skills to use and operate the technology.

The study revealed that the leading challenges in adoption and use of ICTs include: funding for ICTs which accounts for 31 (12.6%); lack of skills and training among union members with a score of 24 (9.8%); low knowledge and understanding by the union leadership 20 (8.1%).

An assessment by Hoffer (2008:35) also affirmed similar challenges in that it was revealed that most labour organisations in the world have had difficulties in creating a global labour network and network largely due to lack of effective information support systems in unions; lack of access by the intended consumers; and lack of information management skills.

Kalusopa (2007:22) also that affirmed that in 26 trade unions that were surveyed in Botswana, 29.7% indicated having a limited budget for training in information management, 21.9% cited lack or limited information on training and 20.3% cited lack of training development policy in information management.

### **6.2.3 ICT use and trade union functions**

There were two contrasting arguments in literature about the relevance of ICTs in trade union work. Some scholars have argued that ICTs could reinvigorate trade union functions such as collective bargaining, organising and mobilisation, union administration, service to members, internal and external communication, education and building solidarity (Gundogan, 2008; Kalusopa, 2009; Lee, 2000). Others contend that ICTs would ‘erode traditional’ labour organisation structures and that most trade union leaderships usually see this as a challenge on the hierarchical power structures (Darlington, 2001; Ward & Lusoli, 2002)

The findings of the survey showed that most labour organisations felt that ICTs enhanced their work in the following areas: internal and external communication score of 41 (91.1%) and union administration 37 (82.2%); while building solidarity scored 31 (68.9%). However, contrary to earlier assertions and claims elsewhere in the world by scholars such as Gundogan (2008:7-14), the core trade unions activities such as organising and mobilisation 24 (53.3%); service to members 23 (50.9%) and collective bargaining 22 (48.9%), were ranked lower. The explanation to this could point to two factors: slow adoption of ICTs due to resource constraints and the lack of robust trade union collective culture in the country. In presenting the role of trade unions in national development in Chapter Two, mention was made of the fact that, apart from the obvious resource challenge; another impediment had been the restrictive tripartite and social dialogue framework that had existed for a long time in Botswana. It was argued that it was only in 2004 that most of the progressive International Labour Organisation (ILO) conventions were ratified by the government to allow for collective bargaining and freedom of association especially in the public sector. This implies that most labour organisations have just begun to reassert their role in the current legislative environment; and issues of collective bargaining, organising and mobilisation have not been well established over the years.



The study also established that most of the labour organisations showed low depth in understanding the role of Web 2.0 technologies in social networking, organisation, recruitment and mobilisation. In that regard, it could be argued that these technologies are still in their infancy and as they evolve, most trade unions will slowly adopt them once their role in trade union work is clearly defined. Suffice it to mention that Web 2.0 technologies are a new breed of web-based services and technologies that offer various opportunities to improve and enhance information and knowledge management and exchange by individuals and organisations. As ably put by Nguyen (2008), Web 2.0 if properly used, can change the way information and knowledge are generated, managed, disseminated, exchanged and used in an organisation. Web 2.0 could therefore enable new collaborative possibilities in terms of knowledge sharing in labour organisations once adopted. Labour organisations could for example use social networking sites to reach their membership and promote their mobilisation, recruitments and campaigns. Such sites could be interactive and they allow users to place their personal profiles, upload photos and videos.

The issue of ICTs eroding traditional union structures remains debatable. Literature indicates that from as early as the 1990s, there were “claims of the likely demise of representative organisations such as [trade] unions” with the emergence of ICTs (Ward & Lusoli 2002:4). The view of erosion was advanced based on the “idea that eventually all representative organisations could wither away as citizens increasingly engage directly and individually in governing themselves [through] e-voting, e-referenda and e-discussion fora” (Ward & Lusoli 2002:5). However, this idea could be dismissed as highly speculative as practical reality has not corresponded to this over the years. In fact, the specifics of this kind of “direct democracy without intermediary organisations” remain unclear (Ward & Lusoli, 2002:5). Likewise, there is no evidence in the current study that would suggest that there was apprehension of the loss of power by the executive leadership if ICT were adopted. On the contrary, the follow-up interviews revealed that most of them were enthusiastic about the need for ICTs; save for lack of resources and poor information management skills.

#### **6.2.4 ICT access and networking**

The question of ICT access has been a contested phenomenon over the years shifting from mere access, to a particular technology, and then, to content (Alampay, 2006:4). Access can therefore be seen at three levels: the infrastructure; the service (especially with the

convergence, with information and communication taken as a whole); and the content (Verhoest & Cammaerts, 2001). Kirkman (1999:11) summed it aptly when he observed that “when we speak about access, what we really mean is access to information, knowledge, and communications opportunities, not access to one specific service or technology. [ICTs] are just tools”.

Greene, Hogan and Grieco (2001), Lewis (2007), and Kalusopa (2009) concur that ICTs could be said to provide the “imminent logic” (easy networking), in that on-line trade unionism can transform the decision making process by increasing the interaction across a wide geographical spread among general membership.

In the current study, observations conducted confirms that all the 45 labour organisations had access to some form of computer technology but the majority 34 (75.6%) of the labour organisations were not however, linked to the BFTU, an umbrella union federation to which most of them were affiliated to, with only 9 (20%) saying they are somewhat linked to BFTU. In terms of networking with other labour organisations, 29 (65%) indicated that they were not linked to other unions while 16 (35%) of the respondents said they were linked.

This confirms Kalusopa's (2007) earlier findings that one of the challenges of the BFTU is that it has failed to create a national information network among its affiliates. In that study Kalusopa (2007:23) found out that there was very minimal communication between and among its affiliates in that only 7.5% were connected to BFTU as opposed to a significant percentage 92.5% that were not. Similarly, only a few computers 12.5% were connected to other unions other than the BFTU. Overwhelmingly, 87.5% were not connected to the other unions. This, it was argued, had led to its inability as a federation to reach the majority of workers. Thus since the BFTU had not been successful in bringing all of their national union affiliates on-line, their membership base had continued to decline, due to among other reasons, a weak mobilisation strategy. This problem of networking was rightly echoed in the BFTU Strategic Plan (2007-12) that:

...there has also been a problem of information flow with affiliates and no formalized information base to support labour activities at the BFTU and as such the Secretariat lacked detailed information about the activities of most its affiliates and vice versa. The BFTU, for example, does not have an elaborate database for tracking or monitoring and keeping up-to-date information on the affiliates such as registration,

type of union activities, and financial standing to the federation. The Secretariat had made an effort to design and distribute a form to capture important information about the affiliates but this has been generally ignored. Some affiliates at times have underplayed the transmission of information to the Secretariat because of no clear co-ordination and some wanted to evade payment of correct affiliate fees...

Elsewhere in the world, however, the number of trade union websites has actually dramatically increased. For example, the International Confederation of Trade Union (ITUC) has made the Internet central to their work. Like many other global unions, UNI-Union International Network, also launched its web-based help desk to help union affiliates maintain their websites (Gundogan, 2008:5). Similarly, as literature has shown in Chapter Three, as far back as 2000, unions in Europe and USA “began to use the Internet to provide services to members, to form activist networks, and to develop on-line locals and organisations” (Gundogan, 2008:5).

To clearly illustrate this point, Diamond and Freeman (2002:576) drew attention to a case in point that:

...in September 2000 the AFL-CIO used its portal [www.workingfamilies.com](http://www.workingfamilies.com) to develop a virtual labour day for members to replace what had become a day of dwindling marches with ancient banners in ever fewer cities. The virtual Labour Day contains various interactive games, quizzes, music, and similar amusements revolving around union issues that might otherwise have been found at a traditional Labour Day march...

Specifically in the ESARBICA, other federations such as the Congress of South African Trade Unions (COSATU) have successfully used their website such as the <http://www.cosatu.org.za> to deliver policy statements, speeches, news, publications and daily press releases to its affiliates thus reaching the critical workers mass (Lewis, 2007:1)

### **6.2.5 ICT/Information knowledge, skills and competences**

A study by Fiorito, Jarley and Delaney (2002:627-658) found out that among the three main new ICT aspects that were important and had practical significance to labour organisations were computer skills, knowledge and competencies. They argued that such information literacy skills have now become an important criterion in union staff hiring decisions; and

that the use of e-mail has become part of the first level representative's daily routine in many workplaces.

The current survey showed that most of the labour organisations were of the view that members often 20 (44.4%) and always 10 (22.2%) rely on their long experience to engage in trade union matters; 15 (33.3%) often like to ask questions from experienced peers to engage in trade union matters. Ironically, only 13 (28.9%) sought and evaluated information before they engaged in trade union matters. Further, a score of 20 (44.4%) indicated that most of the members in the labour organisations did not find information on trade union matters because they were not sure of the source most of the time; a score of 14 (33.1%) felt they were more comfortable in expressing their ideas in their local language – Setswana. This means the culture of information literacy – the ability to rely on information and effectively use it is not highly entrenched in most of the labour organisations. This also implies that most of the membership in the labour organisations seem to both lack the capacity to locate sources and are also faced with the language barrier in terms of access to information.

The current study thus affirmed that the majority 24 (51.1%) had not received any information management training, with only a score of 8 (17%) indicating they had received basic computer application skills, while 13 (27.6%) had received information seeking skills. In fact because most of the membership yearned for such training and the majority of the labour organisations 34 (75.6%) indicated that they had received information training from elsewhere, 1 (2.4%) said they had not. The critical point here is that, most of these 34 (75.5%) were of the view that such training was still useful in trade union work. However, the follow-up interviews revealed that most of this training had been initiated either by employers or by members on their own; and that it was not meant to advance the trade union cause.

The implication is that most of the labour organisations do not have well designed and thought out training programmes for their members in information management. Clearly, most of them did not have any strategic human resource development plans that could benefit their members in the electronic age. This seems to suggest that such sluggishness to embrace information management could possibly put the labour organisations at a less competitive edge in any tripartite framework, where they have had to contend with sophisticated government and industry that has a well-oiled information resource and skills base. In effect,

this could in the long run disadvantage them in their quest to represent the general membership.

### **6.2.6 Information sources/services in labour organisations**

The type of information sources and services that labour organisations use was regarded as indicative of the extent to which they have embraced ICT-based information resources. The study thus sought to find out the information sources and services that labour organisations relied on in the execution of their work. In terms of ranking scores, the findings indicated that personal experience scored high at 24 (53.3%), followed by library/information resources from inside the union 17 (37.8%); library/information resources centre from outside the union 16 (35.6%); government publication at 16 (35.6%). Only 12 (26.7%) indicated they rely on information resources such as the Internet or databases to confidently engage in challenging tasks in the labour organisations.

Kalusopa (2007:24) also found out that only 18% often used different information sources such as television, databases and websites with personal experience still taking precedence. This seems to reinforce the earlier view that the use of ICT-based sources still ranked very low and is still evolving.

## **6.3 CURRENT RECORD MANAGEMENT PRACTICES IN LABOUR ORGANISATION**

Literature review and presentations of data in Chapters Two, Three and Five did allude to the fact that most records management models and approaches rely on the need to ascertain a framework of moving towards the desired records and information environment that complies with international records management standards. Findings in this section are, therefore, discussed in line with records management best practice and empirical data from the previous chapter. In this section, the findings are, therefore, presented and discussed under the following themes characteristic of records management theory and practice:

- Legislative and regulatory framework;
- Creation and capturing records;
- Use of records;
- Format of the records;

- Organisation and classification of the record collection;
- Access and security of records;
- Records appraisal, retention and disposal;
- Storage and preservation of records;
- Staffing and training;
- Vital records management and disaster management; and
- Mail/correspondence management.

### **6.3.1 Legislative and regulatory framework**

As indicated in Chapter five, record management best practice entails that an organisation should provide adequate evidence of its compliance with the regulatory environment in the records of its activities. These are usually statutes, mandatory standard practice, codes of best practice and codes of conduct and ethics. The nature of organisation and sector determines the regulatory elements (ISO 15489-1: Section 5).

The survey revealed that although there is limited guidance on requirements for records management in the relevant acts, instructions and instruments, there was no detailed guidance on the policies and practices that are needed to manage records in labour organisations. This confirms several earlier studies (as elaborated in Chapter Three), that point out challenges related to effective legislative and regulatory framework for the management of records regardless of format countries in the ESARBICA region (IRMT, 2008; Keakopa, 2006; Nengomasha, 2009). For example, as observed by IRMT (2008:15) and confirmed through interviews, the BNARS 1978 Act was amended in 2007 in order to strengthen work on current or active records, including electronic records. The BNARS Act has a strong emphasis on management of records in the public service. BNARS has undertaken a survey of the state of records management in government with the aim of playing a more active advisory role. This has resulted in the Archives work programme being broadened to include an emphasis on developing records management policies and regulation. However, as has been articulated in this thesis, there has been no clear effort to extend this advisory role to labour organisations. BNARS also has inadequate professional skilled human resources for this role (Ramokate & Moatlhodi, 2010:76).

### **6.3.2 Creation and capturing of records**

Creation and capture is one of the key stages in the records life-cycle and continuum theory. Scholars in records management theory and practice agree that in principle, records should be created and captured for every organisational activity involving more than one party or that each process that generates records should be identified and recorded (Bearman, 1994:300; Reed, 1997:222; Shepherd & Yeo, 2003:102).

Records must have certain attributes: they must be authentic, complete and usable. ICT systems must, for example, have the capability to generate or capture the required ‘metadata’. The metadata gives individual records their context within the business process that generated them, and it links the records together so that they can serve their purpose in documenting individual cases within the business process (IRMT, 2008:30).

Shepherd and Yeo (2003:102) were of the view that in the assessment of the need for creating and capturing records, it may be essential to consider:

- The requirements of the organisation, or particular business units for which records that provide evidence and information for operational use;
- The requirements of the organisation, or particular business units, or external stakeholders for evidence that can support accountability; and
- The cost of creating, capturing and maintaining the records that are required, and the risk to the organisation if it does not have such records.

It is also recommended that there is a need for records creation policy that stipulates requirements for the description of records for purposes of capturing, registering, classification, retention, storage, tracking, access and disposal (ISO 15489-1, 2001:7).

In the current study, the majority of the labour organisations, 38 (84%), cited internal and external communication as the main business or organisational function that required the creation and capture of records. Another combined affirmative response of 37 (82%) indicated union administration; while 34 (75.6%) said it was services to members; 34 (75.6%) indicated collective bargaining; 32 (71.1%) felt organising and mobilisation produced most records; 30 (66.7%) said it was education and training activities; 27 (60%) indicated the sending of solidarity information; while the same percentage indicated

correspondence and discussions with international trade union bodies. Interviews also revealed that some administrative procedures/instructions that guide the creation of records exist. These include conventions or codes regarding the creation of records such as letters, memos, reports which include titles that should be addressed (in this case Secretary General), greetings and reference numbers. There was also the use of standard forms to collect routine data though there were no well defined or clear procedures to guide the creation of records in most of the labour organisations.

The lack of record creation policies is not new in the ESARBICA region. Kemoni (2007:290) though focusing on records management for public service delivery in Kenya found out that 8 (56%) of records management units did not have a records creation policy, with 107 (68%) admitting they “did not have a list of activities which constituted the basis for record creation”. Kemoni (2007:291) then bemoaned the negative effects in the creation of “authentic, reliable, complete, unaltered” records. The situation in labour organisations cannot be far from this as well. Accordingly, the lack of creation policy could have a lot of negative consequences for labour organisations. Most of these trade unions handle members’ cases, disputes, financial obligations within and outside the organisation that require evidence. It, therefore, also follows that it would be in their interest to ensure that there is confidence of the authenticity of records created or captured for current and future use.

In terms of capturing records in recordkeeping systems, observations and interviews revealed that most of the labour organisations had some form of recordkeeping systems that were largely managed by administrative staff, mostly receptionists and secretaries who have some office practice qualifications or experience. While this may be a useful temporal measure, it does not support effective records management practice.

### **6.3.3 Use of records**

Records are created and kept so that they are used by the designated users when required, mostly within the organisation, and at times by users from outside the organisation. Any records management system that captures records must have systems that allow users to use them in a systematic manner (Shepherd & Yeo, 2003:216). Records are therefore created for a purpose.



It was revealed in labour organisations that records were mostly used by the executive leadership 41 (37.3%), followed by union staff 28 (25.5%). It was a startling finding that only a score of 21 (19.1%) indicated that the general membership were the main users of the records. As pointed out in Chapter Two, Three and Five, labour organisations are membership driven and by implication, members are supposed to be 'heavy' users of the records. Interviews revealed two salient points that are attributed to this state of affairs. One was that most of members were not actively engaged in information seeking but relied on the leadership for information flow in the union. The other pointed to the organisational culture's effect on records management. Organisational culture can be defined as the values, attitudes, beliefs and behaviours that represent an organisation's working environment, organisational objective, and vision (Hofstede, 1980:1). Shepherd and Yeo (2003:45) posit that organisational culture have an impact on the different approaches or strategies to records management. Based on Handy (1993) conceptualisation, Shepherd and Yeo (2003:45) present organisational cultures as: power (with a strong sense of power at the centre); role (built on bureaucracy); task or achievement (focused on projects or outcomes) and cluster or support (least structured). Shepherd and Yeo (2003:45) thus argue that role culture relies on regulation while power culture relies on the day-to-day supervision of the lower organs by the powerful. In that regard, it is argued that records management thrives on regulation "and is best suited to organisations with role culture". Shepherd and Yeo (2003:45) further argue that the question of external and internal accountability are central to role and power culture and as such "record management based on the need for external accountability may be marketable in role culture than power culture...[while] internal accountability is an important issue in both role and power culture". Although, Shepherd and Yeo (2003:42) place trade unions under power culture per se, a close analysis of the organisational culture of most labour organisations under study shows that most of them exhibit a mixture of power and role culture.

Thus most of the labour organisations radiate some centralised power around a few 'elected' individuals and some semblance of formal bureaucratic organisation structure. The power culture tends to control information to the centre – the elected executive, at the expense of the general membership. Perhaps this is collaborated by the findings shown in Table 21 in Chapter Five, which indicated that most of the records were actually used more for trade union administration and trade union finance at 41 (20.3%) and 40 (19.8%) respectively;

rather than functions of collective bargaining as well as organisation and recruitment that would actively involve the membership.

It is important to underscore the fact that modern trade unions are by law required to operate in a democratic manner and there is a lot of stress on rules and regulations in their operation. They also emphasise both internal and external accountability. It is therefore safe to conclude that labour organisations reflect both power and role culture and the records management programme must accordingly reflect this too. It is important to add that their vision, values and organisational objectives are, however, usually ideologically different from other organisations. Thus, the way they seek and use record and information may accordingly be different.

#### **6.3.4 Format of the records**

In addition to documenting policies and procedures for creating records in labour organisations, it is equally important for ISO compliant records management programmes to document the types and formats of records that are created and maintained. The format is particularly critical in the electronic environment where accessibility is limited by the lifespan of that particular format. As indicated, various trade union functions do produce records both in paper and electronic formats. The survey confirmed that paper format still dominates most of the records produced. In terms of electronic records, e-mails 29 (21%) and MS package (Word, Excel, Power-point) 28 (20%) and databases 14 (10%) were the dominating electronic formats of records in most labour organisations.

The dominance of paper and basic word processing structured record is not different from what Moloji (2006:58) and Keakopa (2006:218) found out in the public sector in Botswana. Thus, for example, Keakopa (2006:218) confirmed that in all the government agencies visited, records were found to exist in both paper and electronic formats, with “the bulk of the records usually in paper format”. Keakopa (2006:218) argues that though “paper [was] a common medium of transmission and storage of information, electronic records [were] slowly becoming more common”.

The study also established that knowledge of current existing record types and formats in most labour organisations were largely incomplete. This was because there were no

systematic records survey and inventories to know that the multitudes of records created. Among other functions, a records survey documents information about the records held by an organisation. Records surveys help to “identify what records exist, which records need to be captured into recordkeeping systems, how long they need to be kept and where they should be located” (Northern Territory National Archives Services, 2006:2). The “information must be gathered on existing records to assess how adequately the recordkeeping requirements of the organisation are being met and whether improvements are required particularly when developing systems and controls for capturing and maintaining” records (Northern Territory National Archives Services, 2006:2). The records inventory is usually a product of the records survey and can be useful in “planning a range of records management activities including disposal scheduling and procedures, secondary storage services, vital records protection, and rationalisation of the storage and management of active records future records”. (Northern Territory Archives Services, 2006:2).

Other scholars, though focusing on the issues of records surveys in the context of appraisal, retention and disposal have also underscored the need for regular records surveys (Kemoni, 2007:317; Ramokate & Moatlhodi, 2010:80). Labour organisations could also take note and emulate this timely advice.

### **6.3.5 Organisation and classification of the record collection**

The timely and accurate retrieval of records largely depends on how well organised and classified the records are. Records classification systems should, therefore reflect the business activities of the organisation. Organisations need to determine the degree of classification control they require for their business purposes (ISO 15489-1 Section 9.5).

Shepherd and Yeo (2003:73) also point out that “classification schemes are based on an analysis of functions processes and activities... [and] document the structure of a records management system and the relationship between records and the activities that generate them”. Other scholars and authorities also point to the fact that any effective records management programme requires classification (Kemoni, 2007; Reed, 2005). Classification systems are usually supported by vocabulary control tools. These explain organisation-specific definitions and usage of terms.

In the current study, of the 45 labour organizations surveyed, 29 (64.4%) stated that the organisation of records were based on the trade union business functions and records series; while 29 (35.6%) said there were no defined records series. Further, when asked to state the several ways they organise their records, as shown in Figure 17 in Chapter Five, 16 (18.8%) indicated they classified their records alphabetically or chronologically. The majority 28 (62.2%) also indicated they had some form of file plan. In addition, most respondents 28 (62.2%) indicated that they used indexes; inventories or registers. The findings, however, indicated that despite this claim, observations showed that the classification schemes were not well defined and that in the absence of well defined organisation-wide classification structures, most of the labour organisations relied on localised initiatives based on memory of union staff such as secretaries and administrative staff on how to classify records. It was further observed that owing to the shortcomings arising out of not having file plans, a number of home grown record classification systems for both hard copy and electronic records had been designed in most labour organisations.

Though they focused on the public sector, earlier studies by Kemoni (2007) in Kenya and Nengomasha (2009) in Namibia echoed that lack of updated classification schemes too. For example, Nengomasha (2009:212) found out that 2 of the 11 (18 %) institutions surveyed did not have classification schemes but even for those that had, most were outdated or not in use. The same can be said of Kemoni (2007:296) who indicated that despite the claim of written classifications, observations showed the contrary. The study revealed that, “in the majority of the ministries, the classification schemes available were handwritten and some were in a state of deterioration, that is, they were faded, worn out and torn”.

The situation seems to obtain in the public sector in Botswana as well, where Ramokate and Moatlhodi (2010:74), when conducting a micro-appraisal of public records revealed that most records in government departments were “chaotic and un-co-ordinated” and “among the other problems... [there was]...poor classification of records, as records were created and captured haphazardly without being informed by analysis of business process or functions”. In another study at the Gaborone City Council (GCC), Tshotlo and Mnjama (2008:23) revealed that although they maintained a register or index in the Records Management Unit, in terms of “physical arrangement, 8 (66.6%) indicated their records [were] not arranged in any logical manner” and that they were “in the process of developing a comprehensive file classification system”. It is therefore evident that problems of organisation and classification that daunt the

labour organisations are still prevalent in the central and local governments as well in Botswana, yet these organisations boast of professional and technical records management cadre from the BNARS.

### **6.3.6 Access and security of records**

The ISO 15489 stipulates that a formal instrument that identifies rights of access to records and the regime of restrictions applicable to records is a necessary tool for managing records in organisations of all sizes and jurisdictions. In addition, the way the levels of restrictions are expressed should reflect organisational usage. Relevant business areas would need to be consulted in the development of access restrictions (ISO 15489-1, Section 4.2.5.2).

This implies that there is also a need for effective retrieval system that reflects the different levels of aggregation and formats. Thus in paper systems, the access is to a specific item in the file, (or the whole file, while in the electronic environment, metadata is required at any level (Shepherd & Yeo, 2003:217). The electronic records system should include and apply controls on access to ensure that the integrity of records is not compromised. They should provide and maintain audit trails or other methods to demonstrate that records are effectively protected from unauthorised use, alteration or destruction (ISO 15489-1, Section 8.3.6).

ISO 15489 also requires that the movement of records should be documented to ensure that the records can always be located whenever required. Tracking mechanisms may record the item identifier, the title, the person or unit having possession of the item and the time/date of the movement. The system should track the issue, transfer between persons, and the return of records to their “home” location or storage, as well as their disposition or transfer to any other authorised external organisation including an archives authority (ISO 15489-1, Section 9.8.3).

As earlier observed, the trade union executive leadership had access to most of the records kept in the labour organisations. Although there are no clear guidelines used for access and security of records, most labour organisations used the general principles of classified and restricted records, namely “Confidential” or “Restricted”. In addition, there were also no clear guidelines on the declassification of such documents.

For electronic systems, whatever systems may be designed to manage e-records should ensure that information is protected against unauthorised physical and intellectual access. In most parts of the world, there is usually a need for appropriate legislation to outlaw the abuse of electronic records systems, and deal with those who break the law. In Botswana, a cyber crime act was passed by Parliament in December, 2007 as part of the government commitment to amend the laws necessary to secure a trusted legal environment given the increased levels of electronic interaction (Ministry of Finance and Development Planning, 2010, 2010). Other such pieces of legislation include the Copyright and Neighbouring Rights Act (2000), Evidence in Civil Proceedings (No. 26 of 1977). For example, the Evidence in Civil Proceedings Act declares that the law of evidence provides for certified copies or extracts of documents from the proper custody to be admissible as evidence in the courts of law. The Botswana Government Office Security Instructions also contain information on security of official documents and information in the concern of everyone in government service. According to the Instructions, official documents must be protected if harm would result from the disclosure of the information to unauthorised persons. It also further provides the conditions for the custody and storage of such documents. However, more harmonised and broader e-legislation related to e-record that guarantee issues of authenticity and admissibility is still expected to be drafted (Ministry of Finance and Development Planning, 2010:124).

In terms of retrieval of paper records, 24 (53.3%) of the labour organisations, indicated that they took minutes to retrieve information when needed, while 14 (31.1%) of them indicated that they took hours to locate information. Further, most labour organisations indicated that there had tracking paper records, 24 (53.3%) said they did not have any tracking system in place while 21 (46.7%) had. Further, in general, 31 (68.9%) labour organisations said they did not have detailed procedures governing tracking of records regardless of format, while 13 (28.9%) indicated they had. However, interviews and observations established that the use file movement cards, for example, were absent. Thus when asked to state, using a multi-response list, the tools used in the tracking of manual records, a score of 26 (39.4%) said they used physical checking of files on shelves to track records use.

With regard to electronic records, the study established that although some labour organisations had developed some in-house databases using excel for membership statistics, there were, however, no clear documented procedures for creating and capturing metadata

values for recordkeeping. In other words, the existing ICT systems had limited key metadata profile for management of search, access and retrieval with no clear procedures and standards.

In an earlier study in the public sector in Kenya, Kemoni (2007:179) also found that for the paper records, 127 (80.9%) respondents indicated that they did not have procedures governing file tracking, while 30 (19.1%) did not have. However, 120 (76.4%) respondents on the contrary cited file tracking register as the tool widely used to track records, while the remaining 37 (23.6%) cited the use of both file tracking register and physical checking of files. The trend was similar in Botswana where Tshotlo and Mnjama (2010:24) also confirmed that although 6 (50%) of the respondents at the GCC cited the movement as a method they used to track their physical files, officers did not monitor the movement from one office to another. As in labour organisations, Tshotlo and Mnjama (2010:24) also confirmed the poor record management practice of using the memory for file tracking with 3 (25%) indicating this. As in the current study, the retrieval time was cited as ranging from “a few minutes to sometimes” at the GCC.

### **6.3.7 Records appraisal, retention and disposal**

Records in whatever format (paper or digital) cannot be retained indefinitely. The reasons of cost of storage and maintenance, and slower and difficult access due to high volumes, militate against this. Records management does, by theory and practice, underscore the need for the application of appraisal techniques to support decisions on retention, that is regarding, “which records can be destroyed at an early stage, and which merit longer-term or indefinite retention” (Shepherd & Yeo, 2003:217). Section 8.3 of ISO 15489-1 demands that records systems should be capable of facilitating and implementing decisions on the retention or disposition of records. It should be possible for these decisions to be made at any time in the existence of records, including during the design stage of records systems (ISO 15489-1 Section 8.3.7).

Literature on appraisal theory and practice shows an evolution from the traditional approaches to modern macro appraisal. Traditional approaches from North America were largely driven by the perceived ‘values’ of records. Proponents such as Schellenberg (1956:28) distinguished two of these values, namely primary value (administrative, legal and

fiscal) to the originating agency and secondary value to other agencies such as evidential (value in history, structure and functioning that created them) or informational value (value in research). The other traditional approach was the classic European approach advanced by Jenkinson (1937), reflected in the Grigg Report of 1952, that relied on the file-by-file approach whose appraisal focused on the “view that authenticity of records derives in part from their interrelationships and that any artificial selection adversely... [affects]...their impartiality as evidence...the record is [therefore] seen as unique in its context and equal value” (Shepherd & Yeo, 2003:149-150). The criticism of these approaches based on bulkiness and volume of records and emergence of the electronic environment, has led to the recognition of the macro appraisal whose focus is “based on an analysis of organisational purpose and the system that supports them” (Shepherd & Yeo, 2003:151). In other words, the primacy is on the creator and not the record. Functions and functional analysis and not the administrative structures of the organisations are said to be the basis of appraisal. Thus, organisations usually design their appraisal, retention and disposal programmes based on combinations of tenets of the theoretical frameworks alluded to above.

In the current study, as depicted in Figure 20 in the previous chapter, most labour organisations 35 (77.8%) said that they had some form of appraisal, retention and disposal programme while 10 (22.2%) did not. Follow-up interviews, however, had shown that most labour organisations did not have a clear grasp of what entails such a programme. Some respondents thought that ‘indefinite’ retention was necessary; others felt that records could be disposed of as soon as their immediate purpose had been served.

The reality, however, is that while there could be some basic retention requirement as provided for in legislation regarding say for financial records, no clear policies or procedures for appraisal, retention and disposition of records exist in most labour organisations. In some respects, most labour organisations had no retention schedules but relied on standing instructions (financial regulations of keeping records for 7 years) or trade union standing administrative instructions. The labour organisations also did not carry out any records surveys or appraisal. In addition, owing to this confusion, 28 (62.2%) of the labour organisations did not destroy records which had not been appraised, while 15 (33.3%) indicated they did destroy after appraisal. The end result was that most of the labour organisations were choking their recordkeeping systems. As indicated in the discussion on the concept of appraisal above, most of the labour organisations would require the support of



technical records management knowledge to unravel this and find an appropriate method of appraisal.

The results of this survey also indicated that just as in the case with paper records, currently there are no clear rules and procedures that authorise retention and disposition of data held in the ICT systems. The implication of this is that the creators and users of records were able to capture, manipulate and delete data at their own discretion without any regard for the evidential value of the records in future.

A similar situation obtained in studies carried by the IRMT (2003:5) that revealed among other challenges, the lack of records retention and disposal policies in the ESARBICA region. Another study by Ngulube and Tafor (2006:62) also confirmed this general trend and specifically established that record surveys were not usually conducted in Kenya, Namibia, South Africa, Tanzania and Zimbabwe. Other earlier studies reviewed in Chapter 3 section 3.4 such as by Mutiti (2002), Ngulube (2004), Wato (2005), Wamukoya and Mutula (2005) in the ESARBICA, Kemoni (2007:317) in Kenya, and Nengomasha (2009) in Namibia, all confirm an absence of records retention and disposal policies. In Botswana, Moloji (2006:58), Ramokate and Moatlhodi (2010:75), and Tshotlo and Mnjama (2008:23) all point to this as well. For example, Ramokate and Moatlhodi (2010:75) argued that retention and disposal of records in the public sector were non-existent and most of them “date back to 1981” and were therefore outdated. Tshotlo and Mnjama (2008:26) also point to the fact that although some records at the GCC had been transferred to BNARS “it was not clear how the officers reached the decision to transfer the records”, given that retention and disposal schedules were absent. This implies that labour organisations were not in any different position from public sector organisations and suffer similar challenges.

Ramokate and Moatlhodi (2010:81) were, however, optimistic for the public sector. They were of the view that under the on-going computerisation of the BNARS project called National Archives and Records Management System (NARMS), records retention and disposal would form part of the automated system. It is envisaged that the system will have “mandatory functions” that would be able to “apply retention periods for records and provide a trigger for their implementation”. It would be the responsibility of the departments concerned to “review and approve disposal action on the highlighted records”.

### **6.3.8 Storage and preservation of records**

Storage is essential to records management as it ensures that records are secure, intact, accessible for as long as they would be needed (Shepherd & Yeo, 2003:173). Storage refers both to the physical space and to use dependable media. The ISO 15489-1, Section 9.6 states that records require storage conditions and handling processes that take into account their physical and chemical properties. Records, irrespective of format, require higher quality storage and handling. They should also be stored in media that ensure their usability, reliability, authenticity and preservation for as long as they are needed.

The findings of the survey revealed that storage of records was centralised at the Secretariat of each trade union with some specific officials keeping records in their respective offices. There were no well resourced and full-fledged records management units but many had some form of functional recordkeeping system. Steel cabinets were mainly used for storing current records in most labour organisations 28 (36.4%). The survey also established that semi-current records were usually kept on the shelves together with current records by more than 36 (70.6%) of the labour organisations. A few respondents 2 (3.9%) kept them on the floors or in a separate room not designed for such use. Non-current records are kept on the shelves together with current and semi-current records by most of the trade unions 24 (22.4%). In terms of the equipment used, more than 32 (71.1%) of the respondents reported that they used equipment that did not sufficiently cater for records storage.

Some of these findings concur with those of Kemoni (2007:309) who found that the most common storage equipment in the public sector in Kenya was steel cabinets and that there were problems with inadequacy of storage equipment. Other studies such as Wamukoya and Mutula (2005:75) in the ESARBICA, and Nengomasha (2009:209) in Namibia all confirm such a pattern in the ESARBICA region.

Further, most labour organisations 18 (16.7%) also indicated that they encounter problems of lost files and torn and dusty records; 17 (15.7%) faced the problem of unauthorised access. Nengomasha (2009:167) also similarly found that 78% of the respondents in the public sector in Namibia experienced a case or cases of lost records due to misfiling by registry staff, wrong reference numbers used by action officers, and the sending of mail directly to action officers. In the public sector in Botswana, Moloji (2006:58) also revealed that most

respondents indicated that they encountered recordkeeping problems, among them, “lost or missing files”.

In terms of preservation strategies and practices used between paper-based and digital resources, the study revealed that most labour organisations faced the major problems, such as: poor storage of electronic versions of documents/records; poor migration strategies to newer hardware and software technologies; poor management of access control; and use of defective storage media. The problems of digital preservation are also not new in Botswana. Kalusopa and Zulu (2009) surveyed 35 public and private institutions that were identified as having the actual or potential of managing digital materials in the country. These included mainly institutions whose area of operation were in library services, archives and records management, museums, geological surveys, health, legal, education, research, revenue collection authorities, financial service sector, media organisations (radio, TV and newspapers). The study, among other findings, also revealed:

- that absence of coordinated national initiatives and programmes on digitisation;
- gaps in the necessary human resource requirements in terms of knowledge, skills and competencies to drive digital preservation; and
- lack of standards in digital material preservation in terms of hardware, software, storage media and metadata.

### **6.3.9 Staffing and training in records management**

International records management practice demands that organisations should establish an on-going programme for training in the area of records management. ISO 15489-1, Section 11, states that an organisation should establish an on-going programme of training in records management. Such training can be designed or set up in co-operation with external organisations.

The survey established that most of those managing records and information in most labour organisations 35 (77.8%) had not received any education and training in records management in the organisations; only 10 (22.2%) indicated they had done so. The study established that a certificate was cited as the only highest level of records/information management professional education/ training received by such personnel; 6 (13.3%) had received a diploma in records/information management. Further, seminars and workshops were considered as the most useful in meeting the training needs in records management in labour

organisations (with score of 36 (41.9%)). Only, 7 (8.1%) of the labour organisations, considered on-the job training useful.

Studies conducted by the IRMT (2003:5) in the ESARBICA region have shown the absence of core competencies in records and archives management. Nengomasha (2009:178) also cited this lack of training as one of the factors that had led to poor records keeping in the public service in Namibia where only 2 (20%) of the 10 heads of records keeping function indicated that they had attended some records management training or awareness course. On the contrary, in the Botswana public service, Keakopa (2006:178) seems to suggest that the country had done quite well in training in records management cadre in though there remained a challenge in terms of training in electronic records and generally inadequate staffing in the public sector. Moloi (2006:52) also confirmed that of the 14 government department surveyed, 13 (93%) had a well trained cadre in records management with the highest 2 (14.3%) at masters level; 2 (14.3%) at bachelors degree and 5 (35.7%) at diploma level. Only 1 (7.1%) said they had no training. This seems to suggest that unlike labour organisations, the public sector in Botswana has benefited from the robust government human resource development strategy over time. However, it is important to underscore that there is still a need for more training in records management, more especially the management of e-records.

### **6.3.10 Vital records management and disaster management**

Good records management practice entails the need to identify vital records and information and then develop a records security policy. In this case, a vital records and records disaster management refers to mitigation and recovery as it relates to emergency preparedness. Usually contingency planning is essential. NARA (2010:3) lists the following as issues dealing with such a programme:

- determining the most critical activities that the organisation must perform in an event of a disaster;
- identifying which records support those critical activities and the resumption of normal operations;
- identifying which records series or electronic information systems contain information needed to protect the legal and financial rights of the agency and persons directly affected by the agency's actions and preserving copies of such records; and

- Establishing and implementing a plan to recover records (regardless of the medium of recording) that are damaged in an emergency or disaster.

The current study showed that there was no formal policy or programme in place for the identification, management and protection of vital records in the event of a disaster in most labour organisations. Most labour organisations were, however, aware of the need for management of vital records and the implication in the event of disaster. The admission of the indication of labour organisations' need for vital records and disaster preparedness is summarised in Table 28 in Chapter Five. As shown, a score of 30 (23.4%) affirmed the need for a vital records and disaster management programme. Of those that indicated the need for a vital records management programme and the need for disaster preparedness, the highest score of respondents 23 (18.1%) stated that the disasters that are likely to affect records in labour organisations were computer system failure; followed by unauthorised intrusions (22 (17.3%)). For ICT systems, most labour organisations are aware of, and use, the backup system provided by the on-site and off-site ICT support to their organisations. However, there are no ICT back-up and recovery policies in place in most labour organisations. This implies that there is lack of coordinated approach to disaster preparedness.

These results confirm findings of other earlier studies such as Kemoni (2007:320) who found out that 40 (89.2%) of the respondents in the survey in the Kenya public sector “confessed that they neither had criteria for evaluating potential hazards nor disaster management plan”.

In Botswana, an empirical study on disaster preparedness by Hlabaangani and Mnjama (2008:63) confirmed that information centres in Botswana were ill-prepared for disasters; lacked disaster preparedness plans, had inadequate policies and procedures, ill-equipped staff on disaster management and had an absence of conservation and restoration facilities. As regards identification of vital records by information centres, the study revealed that none of the information centres (100%) had identified and listed their vital information materials. Tshotlo and Mnjama (2008:29) also confirmed that the majority of the respondents 9 (75%) at the GCC in Botswana were of the view that the organisation did not have a disaster plan in place, although it placed emphasis on securing “confidential records...housed and managed by the secretary in the Town Clerk’s office”. The Town Clerk is the Chief Executive Officer of the city council. In all, the study reported that there were no clear guidelines to deal with disaster management.

The government of Botswana formulated a National Policy on Disaster Management which was approved in 1996 through Presidential Directive No. CAB 27/96. In 1998, the National Disaster Management Office (NDMO), a unit under the Development Division in the Office of the President was established (Hlabaangani & Mnjama, 2008:64). The national policy on disaster Management recognises that Botswana is prone to a number of disasters such as drought, floods, severe weather (hail, lightning strikes), veldt fires, epidemics, pest infestations, industrial accidents, and chemical spills (Hlabaangani & Mnjama (2008). However, the policy does not deal with individual organisation but with national community-based emergencies. The national policy therefore encourages both government and non-governmental organisations to develop their own internal disaster plans in view of the dangers posed by these disasters. The labour organisations could do well to embark on designing their sectoral disaster plans.

### **6.3.11 Mail/correspondence management**

In any organisation, mail management ensures that incoming, outgoing and internal mail in the organisation is handled in the fastest and most cost-effective manner. It is one of the key components of an effective records management programme. Any mail management programme encompasses various activities such as receiving, sorting, opening, classifying, filing and delivering mail.

Using a multi-response list, labour organisations were asked to state in Question 18 (see Appendix 2) their activities in relation to mail management. The results of the survey indicated that receiving mail had the highest score of 36 (16.2%). The other activities were opening of mail, with a score of 29 (13.1%), and delivery of mail to action offices, scoring 26 (11%). The study, however, established that the other key mail management functions such as filing of mail, with a score of 22 (9.9%); sorting of mail, with a score of 21 (9.5%); classifying mail with a score 15(6.8%); control of mail movement constituting a score of 13 (5.9%) all ranked very low. This implies the management of mail in most labour organisation remains a challenge. Overall, there were no clear guidelines on the types of correspondence that should be tracked, leading to delays in processing in-coming and out-going correspondence that was received.

Other studies in the public sector in the ESARBICA, though citing some challenges in mail management, have shown attempts of having some elaborate mail management programmes. For example, Kemoni (2007:295) reported that in the Kenya public service, all 157 (100%) had a mail management programme and that 129 (82.2%) respondents cited the receiving, sorting, opening, classifying, filing and delivering of mail to action officers as constituting their mail management activities. Similarly, in Botswana, though citing some delays in mail circulation, Tshotlo and Mnjama (2008:26) indicated the existence of a mail management programme at the GCC. Thus, unlike public organisations, labour organisations did not report having a well established mail management programmes. This implies labour organisations would need to re-examine all business processes which receive, distribute, track and manage correspondence. Specific attention should be paid to redundant processes and bottlenecks. Labour organisations could further learn from other organisations, which have modernised their systems and use technology to enable more efficient processing, distribution and management of mail.

## **6.4 E-RECORDS MANAGEMENT IN LABOUR ORGANISATIONS**

As has been advanced throughout this thesis, understanding the depth of e-records management was key to the appreciation of e-records readiness in labour organisations. Thus, although the preceding sections discussed best records management regardless of format, it was found appropriate to discuss some unique e-records management issues namely:

- Overview on e-records management
- Existing office systems;
- E-mail management;
- Integration of records management in ICT systems;
- Integration of ICT systems across computing platforms; and
- Integration of electronic and paper-based record management systems.

### **6.4.1 Overview on e-records management**

It has been noted throughout this study that increasingly, organisations all over the world are conducting their business functions using different ICTs. As a result of this, more and more records are being generated electronically. The findings of the survey indicates that almost all labour organisations now have access to computers, some intranet and e-mail and the

majority use them in the course of their day to day work. It is also clear from the survey that increasingly, most labour organisation operations and business were likely to be conducted using ICTs, though it is also definite that paper records will also be created, received, maintained and used in the foreseeable future. The current study seems to concur with an earlier study by the IRMT (2003:5), as alluded to in Chapter Three 3.5.2, which pointed out that in the developing countries, there are various barriers to the management of e-records such as:

- absence of organisational plans for managing e-records;
- low awareness of the role of records management in supporting organizational efficiency and accountability;
- lack of stewardship and co-ordination in handling paper-based as well as e-records;
- absence of legislation, organisational policies and procedures to guide the management of both paper and e-records;
- absence of core competencies in records and archives management;
- lack of appropriate facilities and environmental conditions for the storage and preservation of paper as well as e-records;
- absence of dedicated budgets for records management; poor security and confidentiality controls;
- lack of records retention and disposal policies;
- absence of migration strategies for e-records; and
- absence of vital records and disaster preparedness and recovery plans

Specifically studies in Botswana carried out in the public sector and local government by Keakopa (2006), Moloji (2006), Tshotlo and Mnjama (2010), all confirm such findings. For example, Keakopa (2006:135-136) revealed that in Botswana, there were challenges related to management of paper and electronic systems, back-up procedures, long-term preservation of electronic records, issues of access and coping with change from manual to computerised systems. Moloji (2006:105-107), also cited lack of procedures, lack of policy and legislative framework; lack of skills, among others, as challenges faced in the public sector. Similarly, Tshotlo and Mnjama (2010:30-32) carried a records management audit in a local government, GCC and revealed a myriad of challenges such as lack of records management policies to guide the creation, storage, access, retention and disposal of records



### **6.4.2 Existing office systems**

When discussing e-records management, it is usually prudent to make a distinction between ‘application’ or ‘business’ systems (such as human resource and financial management systems) that have a well defined structure and data management procedures, and ‘office systems’ that are used to generate and hold unstructured single digital objects, including e-mails and attachments, word processed documents, spreadsheets, scanned images of hardcopy records (IRMT, 2008:1). As will be discussed in the next sections, these two types of ICT systems – application and office systems need to be integrated. For example, technically, human resource systems could be interfaced with electronic documents (such as correspondences such as appointment letters) being created during human resource management processes (IRMT, 2008:1).

With regard to the existing office systems, the survey confirmed in Chapter Five section 5.1.3 that all the 45 labour organisations had access to some form of computer technology with the most significant word processing applications as a score of 41 (25.8%); 29 (18.2%) using MS power point and processing union application forms with a score of 27 (16.9%). However, despite this use of office systems, there were currently no institutional procedures that guide the filing, arrangement and disposition of electronically created documents by staff using desktop computers. This implies labour organisations are no different from many other organisations around the world that are making the transition to the electronic environment and have yet to establish standards and guidelines for the management of ‘office system’ records.

### **6.4.3 E-mail management**

As indicated in 5.1.2 in Chapter Five, the study also confirmed that though as per organisational policy e-mail had not been adopted and therefore may not be used mostly (ranked low in applications used in section 5.1.3), there was evidence that labour organisations were now slowly adopting it as an official means of communication with a combined score of 35 (77.8%) in the affirmative. Labour organisations also justifiably indicated that challenges of authenticity and admissibility were key reasons that had led to this slow adoption. Thus, this seems to suggest that e-mail poses huge challenges for most labour organisations. One of the major reasons was that there were no policies or procedures on the use and management of e-mails. For example, in most of the labour organisations

visited, users created and disposed of e-mails and attachments mainly at their own discretion without reference to institutional standards or controls. Some users said they 'archive' messages, while others printed and filed messages that they considered to be official and important.

These challenges are not unique to labour organisations. E-mail management remains a thorny issue in most organisations of the world and there are currently on-going attempts in its management as authentic records. Lamont (2011:1) pointed out that "even the legal department at Microsoft [was] not immune...and that "we are in an e-mail culture... [and]...many...e-mail messages [were] e-records". Lamont (2011) bemoaned the problems associated with e-mails in terms of ensuring long-term retention and how challenging it was to enforce compliance of organisational policies. Referring to a study by the Association for Information and Image Management (AIIM) in 2010 in the United States, Lamont (2011) observed that there were a lot of inconsistencies in e-mail management. According to the AIIM study, about one-fourth of the responding organisations reported that they maintain everything, while nearly one-third had either no policies or non-enforced policies. Another one-fourth had deletion policies that do not discriminate among e-mails. In 26% of the organisations surveyed, records maintained beyond their retention period affected a court case, and the effect was usually adverse. Most respondents, however, showed an increasing awareness of risk and the importance of records management, while 37% were still not confident that their records were protected from deletion or inappropriate access. Thus, Lamont (2011:1) recommended SharePoint, that has an automated "behind the scene record centre" which has a taxonomy on which the content type or classification scheme is based and which also supports security measures. According to Lamont (2011:1), such a solution would support retention automatically through automatic tagging and classification so that there is "a business process at the front end and compliance [of the policies] at the back".

In Botswana, several scholars have also alluded to these challenges too. Keakopa (2008:80) confirmed that most organisational policies tended to concentrate on the regulation of usage rather than the management of resultant records. Keakopa (2008:80) revealed that there were no clear or defined policies in terms of creation, use, storage, retention and disposal of e-mail in Botswana. Similar studies in Botswana by Moloji (2006) and Tshotlo and Mnjama (2010); Nengomasha (2009) in Namibia; and Sejane in Lesotho (2005) all point to the lack of clear policies on the management of e-mails. As recently revealed by Tshotlo and Mnjama

(2010:30) at the GCC in Botswana, “basically, respondents use[d] computers for e-mail... typing of documents and sending of correspondence, but whatever information is sent or received via e-mail remain[ed] with individuals who [were] at [liberty] to delete or save the e-mail...”

#### **6.4.4 Integration of records management in ICT systems**

Integration of records management in labour organisations’ ICT systems refers to ICT systems adhering to records management functionalities so that such systems are a basis for evidence, transparency and accountability.

The findings clearly indicate that most of the existing ICT systems do not integrate with the records management functions. This situation was prevalent in other organisations in Botswana. Earlier studies by Moloji (2006) and Keakopa (2006) all confirm the disconnect between ICT systems and records management functions in the public sector. A recent records management audit at the GCC by Tshotlo and Mnjama (2010:30) also confirmed that “although ICT was used...there was no linkage with the Records Management Unit.”

As has been observed in Chapter Five, when properly implemented, an ICT system that has integrated records management functionalities may permit the capture, organisation, use, retention, and disposition of records (IRMT, 2008:7). It has well been acknowledged in the preceding chapters that labour organisations have been slow to embrace ICTs. However, ICTs are capable of improving the operational efficiency of labour organisations, thereby enabling them to integrate in e-government strategies and ultimately national development goals. It is also evident that as ICTs are improved over time, so will their impact on all aspects of trade union functions and services. Thus, most ICT systems in labour organisations were increasingly creating, holding and providing access to the records and information on which labour organisations and its members and stakeholders depend. This means ICT systems must be able to provide trusted information that is reliable, complete, unaltered and useable. The experience worldwide has been that in many cases, ICT systems have been introduced without the essential processes and controls for the capture, long-term safeguarding and accessibility of electronic records (IRMT, 2008:1). Ideally, records management solutions should be integrated in ICT systems during their planning and design, rather than added on during or after implementation (IRMT, 2008:7). This of course is not

possible for systems that are already in use. However, labour organisations should still have the means of knowing whether those systems that hold its records (from cell phone text messages, email in MS Outlook to the payroll system) meet the basic international standards for managing electronic records so that, where necessary, remedial action can be considered. International standards, of which we have constantly referred to in the study, for example, include:

- (1) Guidelines and Functional Requirements for Records in Business Systems, ICA;
- (2) Functional Requirements for Records in Business Systems-National Archives of Australia;
- (3) MoReq 2, Model Requirements Specification for the Management of Electronic Records;
- (4) ISO 15489: 2001: Information and Documentation – Records Management;
- (5) IRMT E-Records Readiness Tool; and
- (6) DoD 5015.2 Design Criteria Standard for Electronic Records Management Software Applications, US Department of Defense.

#### **6.4.5 Integration of ICT systems across computing platforms**

As earlier observed, ICT systems in labour organisations are increasingly creating, holding and providing access to the records and information on which labour organisations and their stakeholders and clients depend. For this reason, this survey also sought to establish whether the systems are: (i) integrated across the different computing platforms and (ii) in a functioning networked environment. The survey confirmed that there is low network infrastructure in the form of intranets. Most of ICT systems in labour organisations systems operated as disparate and function-specific, in most cases as ‘stand alone’. There was therefore no integration between ICT systems except for a few adhoc links that created interfaces for say printing. It is important to underscore the fact that sound ICT infrastructure more particularly, stable networking environment is critical for effective implementation of any electronic records management programme because a functioning networked environment and the integration of different computing platforms remain a critical priority for labour organisations if they have to be integrated effectively in knowledge society.

#### **6.4.6 Integration of electronic and paper-based record management systems**

The IRMT (2008:33) posits that ICT systems generate records in multiple forms. This implies records may be produced both in paper and electronic form. Thus in many cases ICT systems must also account for paper-based records generated as a result of an earlier manual system. It is stated that “if records are to be complete and if the complete ‘evidence’ of a set of transactions or case is to be maintained, links must be established between electronic and related paper, digitised and other forms of records”.

The current study confirmed that (see section 6.2.4), records were produced both in electronic and paper-based form. There is, therefore, the need to manage such a hybrid environment. One interesting finding was that related to the way labour organisations viewed the organisation of paper and electronic records. It was observed that labour organisations tend to organise these formats separately and systems seemed to operate in a disparate manner and they appeared content with this. There was clearly de-linkage between the management of paper-based and electronic records management in relation to inter-connected business process. These issues were not generally taken into account when planning new information systems. As the study has established, the major reason for this was the lack of depth in knowledge and skill in records management.

In the review of literature in Chapter Three section 3.5.2.1 (b), reference was made by the IRMT (2004) to the fact that the level of integration between paper-based systems and electronic systems should therefore be assessed adequately in an organisation as it is critical to understanding e-record readiness. The IRMT (2004) argued that success or failure of electronic records management projects was usually driven by success or failure to understand the nexus of paper-based and electronic systems. IRMT (2004) argued that lessons learned in Ghana, Tanzania and Uganda had conclusively shown that automated systems cannot simply be overlaid on dysfunctional or chaotic paper-based systems.

Keakopa (2006:200) also found this very prevalent in the public sector in Botswana where there was a preference to deal more with paper records separately from electronic records. Keakopa (2006:200) cites the lack of skills and knowledge in electronic records and cautioned against the over reliance on the use of paper-based system by stating that “although personal knowledge of the physical layout of a manual records unit may lead to quick

retrievals, this is greatly impaired where storage covers a wide expanse of space...well designed computer systems will, however, retrieve information more quickly”.

The current study demonstrates that the need for an integrated approach is favourable to labour organisations given that while the adoption of ICTs is evolving, there is still a lot of information being produced dominantly in paper format. Several scholars also agree that the integrated approach is the most feasible in such circumstances (Hofman, 1996:41; Keakopa, 2006:218-220; Shepherd, 1994:41; Shepherd & Yeo, 2003:21-22). They argue that such an approach would ensure that all records are managed throughout their life-cycle regardless of their format. Shepherd (1994:41), for example, stresses the possibility of a hybrid system and argues that even if different media are stored separately and have to be retrieved manually, an intellectual structure can be devised and controlled centrally. Keakopa (2006:219) concurs and alludes to examples of the Department of Public Enterprise (DPE) in South Africa that have implemented such a hybrid system. Keakopa (2006:219), however, cautions that such “kind of system can only be successful if alliances between professionals in the two environments are formed...[since] IT experts will be needed by archivists and records managers to help in the design and maintenance of the new systems”. As has been elaborated in the recommendations and proposed framework in Chapter 7, labour organisations may need to explore this possibility.

## **6.5 USE OF EXISTING E-RECORDS READINESS TOOLS IN LABOUR ORGANISATIONS**

As observed in Chapter Five, whereas the assessment of the level of ICT and understanding the current records management capacity presented earlier constituted the basis for understanding the overall basis of the breadth and depth of e-readiness in labour organisations; this section consolidates the discussion on e-records readiness by examining certain key aspect that may not have been discussed based on existing e-readiness tools. The discussion centres on the following as per earlier findings:

- Policies and Responsibilities for Records and Information Management;
- Tools and Procedures for Records and Information Management;
- E-Records Management Products & Technologies;
- Resources and Training for Records and Information Management Personnel; and
- Internal and Public Awareness of Records and Information Management.

### **6.5.1 Policies and responsibilities for records and information management**

Though based on the public sector, the IRMT (2004:8) e-readiness assessment tool underscores that within the wider context of national legislation and standards, each agency that implements e-government services should establish internal policies and responsibilities for records and information management in a form appropriate to its internal organisational structure, culture and resources. The records management standard ISO 15489-1 (Section 6.3) also recommends that records management responsibilities and authorities should be defined and promulgated throughout the organisation, so that, where a specific need to create and capture records is identified, it should be clear who is responsible for taking the necessary action. The responsibilities should be assigned to all employees of the organisation. Specific leadership responsibility and accountability for records management should be assigned to a person with appropriate authority within the organisation.

The study thus sought to find out whether labour organisations have a basic records and information management policy that establishes organisation-wide principles, guidelines and responsibilities for the creation, capture, management and preservation of records.

The findings indicated that, 58.8% of responses were this low; 11% also said somewhat low; while 20.6% indicated this was moderately high. This implies that, in terms of the establishment of guidelines and responsibilities for the creation, capture, management and preservation of e-records, most labour organisations had a low state of e-records readiness.

This situation obtaining in labour organisations is not different from that in the public sector. Thus most of the studies reviewed in Chapter Three such as Mutiti (2001) Ngulube and Tafor (2006), and Wato (2005) in the ESARBICA region; Nengomasha (2009) in Namibia; in Botswana - Keakopa (2006); Moloji (2006); Tshotlo and Mnjama (2010); concur that there are no organisational policies guiding the management of electronic records. Keakopa (2006:216) argued that while BNARS had done a lot in guiding the management of paper-based records, for example, it had “not put in place any clearly laid out strategies to deal with the management of electronic records...[and]... had not been able to issue government agencies with any guidance and procedures on how electronic records should be managed”. From interviews, the current study also confirmed the same that while there is a robust

computerisation programme that has been referred to in section 6.2.7 and 6.5, there are still no clear guidelines on organisation-wide policies on the management of e-records.

### **6.5.2 Tools and procedures for records and information management**

The IRMT (2004:9) e-readiness assessment tool states that ideally, records and information management policies must be supported by tools and procedures to ensure effective policy implementation. It catalogues these to include, among others: standard forms and templates, records classification schemes, records metadata and profile templates, records retention and disposition schedules, security and access classification schemes, search and retrieval indexes and taxonomies, repositories and equipment for the storage of physical and digital records (e.g. filing cabinets, file rooms, records centres and archives, digital storage media, digital storage systems and archives, systems backup and recovery procedures, business continuity plans and vital records plan

Since most of the items covered above were implicitly dealt with elsewhere in the study, the following were assessed to consolidate findings:

- Existence of any central systems (central file directories, storage management systems, or electronic document management systems) for filing, storage or classification;
- Existence of proper classification, metadata or effective search technology for effective access; and
- Existence of security measures and access protocols not adequate to protect the records.

The survey showed that the level of staff members managing digital records and information on their individual computer stations was very low at (47.1%) and somewhat low (23.5%). The level of existence of any central systems for filing, storage or classification of electronic information is low (50%). The lack of proper metadata requirement for ICT systems was also confirmed to be as low as (42.2%). The survey further indicated that in terms of security and access protocols to protect records, most labour organisations indicated that this was low (41.3%) and moderately low (29.4%). Security measures and access protocols were also not adequate to protect the records in the labour organisations.



The IRMT (2004:9) e-records readiness tool also recommends that there is a need to assess central agencies such as BNARS that are tasked with the responsibility for setting standards for records management with the view to see if they were providing support in developing and applying appropriate tools and procedures in organisations. These tools need to be accompanied by procedure manuals describing when and how staff should fulfill their responsibilities for creating, capturing, classifying, storing, retrieving, tracking, disposing and preserving records.

As pointed out later on the role of National Archives in the management of records, several studies in Botswana such as Keakopa (2006); Moloji (2006); Tshotlo and Mnjama (2010); Nengomasha (2009) showed that in both the availability of these tools and the role of the National Archives to guide this were absent.

### **6.5.3 E-records management products and technologies**

The IRMT (2004:10) e-records readiness tool posits that over the past decade, a number of technologies and products for managing e-records have entered into the industry and market. It refers to several names associated with such e-records management products such as: Records Management Application (RMA) software, Electronic Document and Records Management (EDRM) systems, Enterprise Content Management (ECM), just to name a few. It is argued that there are also now several vendors in this market usually providing e-records and e-content management solutions. The technologies and products include scanning and imaging, forms management, document management, records management, web-content management, e-mail archiving, workflow and business process management, collaboration tools, compression, encryption, digital signature systems, data warehousing, backup and archiving systems, storage platform systems and storage media solutions. The technologies and product solutions in this market are intended to provide the enterprise-wide capability to capture, classify, store, retrieve and track e-records, regardless of the format (paper, email, web pages, digital documents, database transactions, etc). It is, therefore important to be aware of the solutions available for integrating e-records management before an organisation purchases or adopts them (IRMT, 2004:10)

As regards this, the current study found that the capability of most labour organisations in integrating e-records requirements information functional requirements for future systems

was low (50%), while 14.7% said it was moderately low. Interestingly in this case, the same percentage indicated that this was high. The case was not very different in terms of the extent to which systems have developed streamed records management with other systems. This was also reported as low (38.2%).

For this reason, labour organisations should therefore recognise the need to integrate e-records requirements and product solutions into existing systems or into the functional requirements for future ICT systems. This means when systems have been developed, purchased or implemented, there is need to assess if little attention has been paid to the need to streamline and integrate workflow processes, file formats, metadata, storage platforms or search and retrieval mechanisms across the business function and organisational units that the system will support (IRMT, 2004:10). As implementation of ICTs evolve, it is important for labour organisations to examine whether systems that have been developed, purchased or implemented are without consideration of how the records created will be integrated with records created by other systems.

#### **6.5.4 Resources and training for records and information management personnel**

The IRMT (2004:10) e-records readiness tool states that though any organisation may have established records and information management policies, tools and procedures; these would not be effective unless they are supported by qualified records management staff with adequate and regular financial support to implement and maintain them.

This e-readiness assessment indicator, therefore sought to find out and consolidate views on the resources and training for records and information management capability within the labour organisations. As earlier observed, this was further shown to be very low (24 (70.6%)) by labour organisations. Resources and training for records and information management specifically for e-records management were low within the labour organisations. This was further shown to be very low (70.6%).

Nengomasha (2009:219) also found this in the public service in Namibia and echoed the lack of resources by stating that:

...a lack of resources was also evident in back-up practices such as lack of resources to buy enough tapes, leading to overwriting of tapes and streamers tapes; inadequate server capacity leading to haphazard deletion of e-mail. Although these considered more of IT problems, they have serious implications for the preservation of authentic electronic records...

Studies by Keakopa (2006), Moloi (2006), and Tshotlo and Mnjama (2010) in Botswana tend to confirm this trend in the public sector in Botswana.

### **6.5.5 Internal awareness of records and information management**

In addition, The IRMT (2004:10) e-records readiness tool maintains that an organisation may have adequate records and information management policies, procedures, tools and resources but these will be ineffective unless there is a commitment to implementing them. Organisations must be aware of the importance of trustworthy and well-managed records for delivering effective records and information services and for protecting institutional accountability and integrity (IRMT, 2004:12).

Thus, the survey further sought to examine the extent to which members and executive union leadership were aware of the significance of well-managed and trustworthy records in the execution of trade union activities and whether they had the commitment. The assessment shows that the majority (44.1%) felt that this was low in the organisations. However, 20.6% indicated this was moderately high, indicating that internal awareness could therefore be on the rise. As earlier noted most of the labour organisation are slowly appreciating how fundamental e-records were in the execution of their tasks. Interviews, however, indicated that most of the labour organisation leadership were eager to implement comprehensive records management programmes but cited poor resource base as a hindrance.

Studies by Nengomasha (2009) in Namibia and by - Keakopa (2006) in Botswana found this trend in the public sector. Both stress the importance of awareness building as corner stone to effective e-record management. For example, Nengomasha (2009:207) argued that the “lack of understanding of what records are, and appreciation of the importance of records, [had] led to failure to protect some records such as e-mail messages and their attachments”. Keakopa (2006:201) also underscored this in Botswana, and argued that although senior management

in government were committed to the strategic role of e-records, there was lack of “archival” professional and visionary leadership to initiate and drive e-records management.

## **6.6 INTEGRATION OF LABOUR ORGANISATIONS INTO NATIONAL E-READINESS STRATEGIES**

As presented in Chapter Five, in examining and understanding e-readiness in labour organisations in Botswana, it was found appropriate to investigate the extent to which they have been integrated in national e-readiness initiatives.

The study found out that The NICT Policy is the flagship under which the government has created an enabling environment for mainstreaming ICTs into the development agenda of the country. Guided by the Vision 2016, it is also the platform that stipulates how Botswana seeks to be part of the global knowledge and information society through the effective use of ICTs. It was established that whereas there was evidence of various initiatives by government through policy proclamation to integrate various key sectors in the information and knowledge based society, labour organisations seemed to have lagged behind. Through document review and interviews, several reasons were pointed out by various stakeholders including, the labour organisations themselves, as to why this was the state of affairs. For example, most labour organisations were of the view that government policies and programmes towards creating an information society in Botswana have been largely targeted at government agencies and business. They indicated that except for some intermittent representation at some earlier meetings during the development of ICT policy, they have not been tangible collaborative efforts in entrenching ICT adoption and use in labour organisations. This was true to a larger extent in that interviews with most government officials seem to confirm this as they felt labour organisations had not been robust enough in the drive to develop an information culture in their organisation. Government tended to be more inclined to working with business for the simple reason that the policy and economic ideological framework seems to encourage a private sector led economic development pattern. It therefore logically follows that government tends to ‘favour’ the idea of working closely with the private sector. As the business sector aptly put it “business had a stake in the whole ICT environment because it was business to be in ICT business”.

Another interesting finding from the survey was that even though there were claims by labour organisations that government had sidelined them in policy and programme development, evidence from empirical data discussed in Chapter Five point to the fact that despite being information intensive organisations, they have not lived up to creating an elaborate information management culture among themselves. As has been pointed out in Chapter Five, their ICT adoption rate has been slow or sluggish. It is also important to underscore that critical analysis indicates that comparatively even the private and public sector, as literature review has shown, are still in transition in terms of e-record readiness. Thus studies by Keakopa (2006), Moloji (2006), and Mutula (2005), all point to this fact that all sectors in Botswana were strictly speaking, evolving. It is the extent of integration that may be less robust in labour organisations.

The study also explored what factors were likely to be restricting the adoption of ICTs in labour organisations leading to less integration in the knowledge economy. This brought out very interesting views. One striking view from the interviews, confirmed with empirical data from the questionnaires, was the question of the effect of the trade union organisational values on records management practices. The evolving thesis was that the organisational values of labour organisations, unlike business and government, are such that they centralise power into a few trade union leaders and as such this inhibits innovation and growth which in turn breaks down participation of the general membership; and so information is held in the hands of a few at the expense of the membership. As discussed in 6.2.3, this claim seems to be debatable and not conclusive. Labour organisations tended to deny this, and as the study has shown, there were other pertinent reasons for the low status in e-records readiness such as budget constraints, lack of human resources. This is an issue that may require further in-depth research as it is beyond the scope of this study.

Another finding which warrants critical discussion is the role of BNARS in the drive to integrate labour organisations in the information society. It is important to note that the BNARS Act was amended in 2007 in order to strengthen work on current or active records, including electronic records. From the interviews it was clear that BNARS placed a strong emphasis on developing records management in the public sector. It had undertaken a survey of the state of records management in government with the aim of playing a more active advisory role. This has resulted in the broadening of their mandate to include an emphasis on developing records management policies and regulations in the country.

However, as the interviews confirmed, the role of the BNARS was highly restrictive to the public sector. Moreover, as Ramokate and Moatlhodi (2010:77) rightly pointed out, BNARS has been riddled with lack of financial and human resources to actively pursue this role. In a comparative study, Keakopa (2006) argued that unlike their South African counterparts that have clear policies on e-record management, BNARS seems to be in transition. In that regard, in April 2003, the National Archives of South Africa (NASA) issued clearly laid out policies and procedures for the management of electronic records in government agencies. There are three publications that could be singled out which are meant to guide government agencies to manage their records. These are, the 'performance criteria for records managers of governmental bodies' which clearly lays out the purpose of the records management posts, describes the tasks involved and the competency requirements (NASA, 2003a); the Records management policy manual, which provides a statutory and regulatory framework to support records management (NASA, 2003b); the Managing electronic records in governmental bodies: policy guidelines which provides guidance to government agencies on appropriate management of electronic records and systems (NASA, 2003c). The government agencies are expected to comply with legislative requirements regarding records as an integral part of the strategic management of information. The policy guidelines contain information on the management of web-sites and web-based activities, data warehouses and geographic information systems (NASA, 2003c).

One would therefore assume that it could be an overestimation if BNARS was not expected to go far beyond to advise labour organisations given its constraints. In that regard, BNAR's claim that labour organisations had not taken the initiative to seek advice the management of e-records could only be correct to some little extent. The reality is that BNAR's capacity to assist in integrating other sectors other government in the national e-records management strategy has been low. The strong claim or perception that the nature of the labour organisations environment in labour organisations tend to militate against integration in the information society should consequently be seen in light of what BNARS has done to alleviate this as well.

As can be deduced from interviews, the Botswana government has been progressively modernising government processes and service delivery through the introduction of ICT systems. However, there was no evidence to suggest that officials responsible for planning

and implementing ICT systems were aware of the international Standard for Records Management (ISO15489) or of other standards or guidelines relating to contemporary recordkeeping. Thus, while BNARS has had an active records programme geared to the public service, it may be prudent for them to develop mechanisms of advising labour organisations as well on issues such as recordkeeping functionality and maintenance of electronic records over time.

Other national archival and records management authorities elsewhere in the world are providing such guidance. It could therefore be suggested that, in the long run, BNARS could adopt and adapt such frameworks for the management of e-records in the public sector but beyond that attempt to assist labour organisations as well.

## **6.7 SUMMARY**

This chapter has interpreted and discussed the empirical research findings. This was done in the light of empirical data presented in Chapter Five and existing records management theories and literature. Thus when interpreting and discussing research findings, an attempt was made to show how the current research findings, confirm or differ from previous records and information management research and practice.

It has been established that, like other organisations in Botswana, the depth of e-records readiness remains low and a challenge in labour organisations. The study established that labour organisations in Botswana have embraced traditional ICTs; were slowly adopting e-mail and very slow in embracing newer technologies such as web 2.0 and therefore hold promise.

In terms of records management, most labour organisations generate a lot of records but in practice poorly manage paper and e-records. The creation and capturing; organisation and classification; access and security; storage; records appraisal, retention and disposal; human resource capacity; management of vital record and disaster preparedness; and, mail management were below the standard envisaged standards, and require to be addressed.

Further, labour organisations, like other sectors, require technical and professional skills and guidance in the management of electronic records. The integration of records management

functionalities and ICT systems and computing platform was low yet promising. In addition, the integration of labour organisations into e-government initiatives as Botswana envisages a knowledge and information society was progressing albeit at a slow pace.

The next chapter provides a conclusion, summary and recommendations of how labour organisation could deal with the challenges outlined. It also proposes an appropriate framework for examining and understanding e-records readiness in labour organisations in Botswana.



## **CHAPTER SEVEN**

### **SUMMARY OF FINDINGS, CONCLUSIONS AND RECOMMENDATIONS**

#### **7.1 INTRODUCTION**

This chapter provides a summary of the findings, conclusions and recommendations of the research work undertaken based on the data presented and interpreted in the previous two chapters. The chapter further proposes a framework for examining and understanding e-records readiness in labour organisations in Botswana. It also makes suggestions on future work arising out of the study, implications on theory, practice and policy.

Williamson (2000:300) suggests that the following should be considered when writing conclusions and recommendations:

- That they should clearly be related to findings;
- That the researcher should not over-conclude, meaning, unwarranted conclusions and generalisations need to be avoided; and
- That the research questions should be answered.

Bouma and Atkinson (1995:227) also maintained that the purpose of a conclusion is to re-state the findings of the study and to draw the implications of the findings for the research questions at hand. Levine (2005:19), in advising post graduate students on how to write and present a thesis, was of the view that beyond “merely re-stating the research findings”, this section should be thought of to constitute the “so what statements” and advises that it includes “...the key ideas that ... can [be] drawn from [the] the study to apply to [the] area of concern”. Bless and Higson-Smith (1995:147) also affirm and add that, it is usually advisable to relate the conclusions to the findings within the theoretical framework by asking the questions relating to whether the findings consolidated theory, acceptable principles, added new perspectives or answers to old questions.

For the current study, the conclusions and recommendations of the study were drawn from the research findings discussed in Chapter Five. The conclusions and recommendations were

also premised on existing ICT uptake and use assumptions, records management, and e-records readiness theory and principles as espoused in Chapter Three. The conclusion and recommendations are therefore also drawn from and presented as per research questions guiding this study as alluded to in Chapter One, section 1.4.3.

## **7.2 SUMMARY OF THE STUDY FINDINGS**

The study established that, on the whole, e-records readiness in labour organisations in Botswana was evident but low and slowly evolving. It has thus been confirmed that labour organisations in Botswana are knowledge and information intensive and have embraced the utilisation of ICTs in their business functions such as negotiations and bargaining; recruitment; union administration, public relations; membership services; democracy and accountability; and general communication.

However, traditional ICTs such as the fax, telephone, are more prevalently adopted than the newer ones such as e-mail and the Internet. Labour organisations were yet to explore the use of social media technology such as Web 2.0 (Facebook, YouTube, and Twitter).

The study also established that though most labour organisations generate a lot of records, their records management practices fall short of established standards. In other words, the creation and capturing; organisation and classification; access and security; storage; records appraisal, retention and disposal; human resource capacity; management of vital record and disaster preparedness; and mail management was not satisfactory.

The management of electronic records and integration of records management functionalities and ICT systems in most labour organisations were in most instances non-existence, yet probable given the existing and evolving technological infrastructure. The integration of paper-based systems and e-records remained a challenge.

Furthermore, the integration of labour organisations into e-government initiatives as espoused in several policy proclamations as a drive to the quest for a holistic knowledge and information society was slow and remained challenging in Botswana.

On the whole, there was no clear and established framework to appropriately examine and understand e-record readiness in labour organizations so that the extent of the management of e-records could be properly understood.

### **7.3 CONCLUSIONS ABOUT RESEARCH ISSUES**

The conclusions of the research issues are guided by the research questions in the study in the context of e-records readiness in labour organisations. Therefore, the conclusions focus on the extent of ICT uptake and use; current records management practice; applications of selected and adapted e-readiness indicators; and the integration of labour organisations in national e-readiness initiatives.

#### **7.3.1 Extent of ICTS uptake and use in labour organisations**

The type of ICTs adopted and used in labour organisations was dominated by the fax, telephone and cell-phone. The Internet was slowly being reasonably adopted in labour organisations while the use of websites, facebook, YouTube, twitter and e-mail ranked very low in uptake and use.

Most labour organisations often used the telephone in the execution of their work. The cell-phone was the second most used while the fax was cited as the third most used. Labour organisations have no organisational policy on the use of e-mail as official means of communication, though it was said to be used very often. By comparison of the reasons for the motivation of use of the various ICTs, the telephone and cell phone were easy to use; while the telephone, fax, Internet, e-mail, were found to be affordable. Labour organisations indicated that they required prior knowledge since their depth on the understanding of the role of Web 2.0 technologies in social networking, organisation, recruitment and mobilisation was very low. They also cited the fact that other labour organisations rarely used such technology.

In terms of ICT access and networking, most labour organisations used office systems, with significant use of word processing applications and MS power point for workshop presentations. Most labour organisations were not linked to the BFTU or to other labour organisations.

Most of the labour organisations relied more on their long experience to engage in trade union matters; and often liked to ask questions from experienced peers to engage in trade union matters. The other evident sources of information were library/information resources centres from within and outside the union as well as government publications. The reliance on information resources such as the Internet or databases to confidently engage on challenging tasks in the labour organisations was low.

The culture of information literacy – ability to rely on information and effectively use it is not highly entrenched in most of the labour organisations. Most of the membership in the labour organisations were said to both lack the capacity to locate sources and also faced the language barrier in terms of access to information. Most of the labour organisations did not have elaborate human resources strategies in information management skills, something which ameliorates this situation. Training of the general membership, is mostly received from outside the trade union, and though found helpful, was specifically not designed to enhance trade union work. Labour organisations' yearned for this training and preferred that it be delivered to their membership through a mixture of lectures and workshop mode, interactive workshop and/or on-site training.

The following were cited as what would be the impact on trade union organisational culture if information management training skills were initiated and enhanced:

- Participation and democracy;
- Information sharing and solidarity among union members;
- Accountability of union leadership to members will be enhanced;
- There will be an increase in education and ideological depth among members;
- Increase in outreach trade union activities; and
- Perceived erosion of traditional trade union decision making structures.

Like many other organisations, the main challenges in the adoption and use of ICTs in labour organisations included funding for ICTs lack of skills and training among union members, low knowledge and understanding by the union leadership and slowness in adoption of ICTs.

### **7.3.2 Current record management practices in labour organisations**

There was limited guidance on requirements for records management in the relevant acts, instructions and instruments in the country. Most labour organisations were not conversant with the key statutory requirements such as the Employment Act (Cap 71:01 Section 93), Trade Unions and Employers' Organisations (Cap 48:01 Section 42-43), Public Service National Archives Act, that were pertinent to recordkeeping during their work. The National Archives Act was said to be restrictive to the management of public sector records. Most of the labour organisations had since attempted to develop and introduce a range of basic internal policies, standards and procedures especially in financial management to enable them to manage records so that they were in compliance with the demand to submit returns to the Registrar of Trade Unions.

The traditional labour organisation activities (business context) created various types of records that included among others policy documents, technical reports, financial reports, memoranda, correspondence, legal documents, minutes of meetings, proceedings of meetings, statistical series, publicity materials and graphic materials.

In ranking order, the following business functions created most records in labour organisations: internal and external communication; union administration; services to members ranked high in the production of records. Others that ranked high included collective bargaining activities; organising; education and training activities. However, sending of solidarity information, correspondence and discussions in international trade union bodies ranked low.

Most of the labour organisations had some form of recordkeeping systems that were largely managed by administrative staff, mostly receptionists and secretaries who had some office practice qualifications or experience. There were no well defined or clear procedures to guide the creation of records.

The study established that labour organisations were information and knowledge intensive organisations in that they used records daily in the execution of their work. Labour organisations were still pre-dominantly paper intensive with evident and sizable production of electronic records such as e-mails and MS package (word, excel, power-point).

Records were mostly used by the executive leadership, followed by union staff and less by the general membership. The organisational culture of labour organisations were a mixture of 'power' and 'role' culture which stressed regulations and accountability and this has had an impact on the approaches in the management of records. There was some evidence of centralised power around a few individuals and semblance of some level of bureaucracy that were said to stifle free flow and access to trade union records/information by the general membership. The core functions of collective bargaining as well as organisation and recruitment did not score highly in the use of records, underscoring the fact that most of the labour organisations are not extensively involved in these core trade union activities.

Most labour organisations were not aware of the procedures for filing both paper and electronic records and most had developed some form of in-house classification systems.

In the absence of well defined organisation-wide classification structures, most of the localised systems within most labour organisations relied on the initiative and memory of union staff such as secretaries and administrative staff on how to classify records. They also had some form of file plans though not systematically or elaborately developed. There was evident use or some presence of and the use of indexes; inventories or registers.

Due to poor organisation of records and the number of records personnel available, the location of the records and the systems in place for monitoring file movements, retrieval of records was found to be very problematic. There were no clear guidelines used for access and security of records and most labour organisations used the general principles of 'classified' and 'restricted' documents. There were no clear guidelines on the declassification of such documents. Paper records take mostly minutes to hours to retrieve.

Most labour organisations had some form of retention and disposal programmes but were not clear as to what this entailed in terms of retention requirements. Though some financial regulations in the country stipulated basic retention requirement (7 years) as provided for in legislation regarding financial records, no clear policies or procedures for retention and disposition of records in most labour organisations exists. Most labour organisations tend to

rely on standing instructions (financial regulations of keeping records for 7 years) or trade union standing administrative instructions for retention and disposition.

The lack of clarity in appraisal, retention and disposal, confirmed by a lack of records surveys has led to labour organisations not destroying records, thus choking and congesting most of their recordkeeping systems. The National Archives and Record Services Act were cited as the least used guiding instrument for retention and disposal in labour organisations.

In terms of storage, most labour organisations used steel cabinets for mainly storing current records. The equipment and space used did not sufficiently cater for records storage. Most of the labour organisations did encounter problems of lost files, torn and dusty records.

Most of those managing records and information in most labour organisations had not received any education and training in records management in organisations. A certificate was the only highest level of records/information management professional education/training received by such personnel. Seminars and workshops were considered as the most useful in meeting the short-term training needs in records management in labour organisations.

Most labour organisations were aware of the need for management of vital records and the implications in the event of disaster and therefore recognised that current arrangements for the protection of vital records and information were inadequate. Few labour organisations could point to any arrangements being in place, such as 'back-up' for the protection of 'vital' records. For electronic records, most labour organisations were aware of, and used, the backup system provided by the on-site and off-site ICT support to their organisations. There was no known elaborate and co-ordinated back-up programme for disaster preparedness. Though they did not have elaborate vital records management programme, most labour organisations used duplication and off-site storage methods for vital records protection.

Mail management was problematic as evidenced by delayed or perceived lack of response to official communications. There were inconsistent application file reference numbers on outgoing correspondence thus undermining the maintenance of a complete record of correspondence.

### **7.3.3 E-records management in labour organisations**

Like other modern organisations, increasingly labour organisations were conducting their business functions using different ICTs. The survey established that all the 45 labour organisations had access to some form of computer technology with the most significant word processing applications, followed by MS power point and processing union application forms. However, despite this use of office systems, there were currently no institutional procedures that guide the filing, arrangement and disposition of electronically created documents by staff using desktop computers.

The study also confirmed that though as per organisational policy e-mail had not been adopted, there was evidence that labour organisations were now slowly using it as a means of communication. Like elsewhere in the world, e-mail management seemed to justifiably pose challenges of authenticity and admissibility, among others.

Like in other organisations in Botswana, most of the existing ICT systems did not integrate with the records management functions. As has been observed in Chapter Five, when properly implemented, ICT systems that have integrated records management functionalities would permit the capture, organisation, use, retention, and disposition of records (IRMT, 2008:7)

There was also evident low functional network infrastructure in the form of intranets and ICT systems to support e-records management. Most of the systems operate as disparate and function-specifics. There is therefore no integration between computing platforms except for a few adhoc links that create interfaces such as for printing.

Though both paper and electronic information is produced in most labour organisations; there is some disconnect between the management of paper-based and electronic records management in relation to inter-connected business processes. The current study is consistent with other previous studies in that it found the integrated approach of managing a hybrid system as favourable to labour organisations. This was owing to the fact that while the adoption of ICTs is evolving, paper systems were still predominantly used.



### **7.3.4 Use of existing e-records readiness tools in labour organisations**

Further assessment through using existing indicators on other key e-records readiness issues such as policies and responsibilities for e-records and information management; tools and procedures for e-records and information management; e-records management products and technologies; resources and training for records and information management personnel; and internal and public awareness of records and information management confirmed that the breadth and depth of e-records readiness is low and still evolving.

### **7.3.5 Integration of labour organisations in national e-readiness initiatives in Botswana**

It was established that whereas there is evidence of various initiatives by government proclamations through Vision 2016, NICT policy and NDP 10 to integrate various key sectors in the information and knowledge based society, labour organisations seemed not to be adequately incorporated. Most stakeholders were of the view that labour organisations had not been forthcoming in the quest to integrate. Though there was some evidence that suggests this, it was equally apparent that there were no deliberate initiatives to bring labour organisations on board. Unlike elsewhere in the world and ESARCA region, BNARS' mandate was admittedly restricted to the public sector and was riddled with professional under-capacity to reinforce its advisory role to labour organisations.

## **7.4 CONCLUSIONS ABOUT THE RESEARCH PROBLEM**

The aim of the current study was to examine e-record readiness in labour organisations with a view to proposing an integrated framework for labour organisations in Botswana. The underlying assumption of the study was that an integrated e-records readiness underlines the basis and is a useful guide in providing benchmarks for comparison, gauging progress and comprehending e-records management in labour organisations. Such a framework would also be able to assist labour organisations to accurately establish, articulate and prioritise e-records management needs based on their known institutional capabilities in the current information age. A framework for understanding e-records readiness is discussed in section 7.5 in this chapter.

E-record readiness was examined based on a mixture of components namely ICT uptake and use; standard records management practices (hybrid of paper and electronic); selected tenets of existing e-records readiness assessment tools and the extent of integration into national e-readiness framework. The study has established from literature reviewed and empirical data that e-records readiness in labour organisations in Botswana remains slow and is slowly evolving. This is evidenced by the fact that most labour organisations have slowly embraced the utilisation of ICTs in their work. There were also some dysfunctional paper-based and electronic records recordkeeping practices. The integration into national e-readiness initiatives was also fraught with challenges.

However, there requires the need to reinvigorate the various components that constitute e-record readiness as alluded to in this study so that labour organisations could fully integrate in the e-environment in the country. The sections, that follow therefore, puts up several recommendations based on the findings discussed in Chapter Five and Six.

## **7.5 RECOMMENDATIONS**

In order to ensconce e-record readiness in labour organisations in Botswana, the following recommendations are suggested.

### **7.5.1 ICTS uptake and use in labour organisations**

The study established that the adoption of traditional ICTs was higher than the newer ones; networking among labour organisations was low; information seeking was based on person experiences rather than ICTs sources; information literacy culture was poor; and most labour organisations were riddled with challenges such as lack of ICT skills and training among staff and union membership; and there was low knowledge and understanding of the value of ICTs and information by the executive union leadership. In this context, the following are recommended:

- Labour organisations should explore ways of adopting newer technologies such the Internet, as well as social media network (Web 2.0) technology in their trade union work. As has been explained in Chapter Six, these technologies provide a competitive

edge and many of the labour organisations in the world seem to have benefited in one way or the other in their adoption and use.

- Labour organisations should adopt e-mail as official means of communication and develop policies and procedures that could deal with the challenges of authenticity, integrity and reliability.
- Labour organisations should enhance their computing networking capabilities and infrastructure within and is linked to other labour organisations for easy flow and sharing of information on matters that affect them.
- The information literacy culture in labour organisations should be enhanced through short on-site training in information management skills among union staff, executive leadership and general membership. Coalitions or alliances with employers and relevant training institutions such as the University of Botswana (UB) and other local training institutions could be explored.
- The current information systems such as Records Management Units, Documentations Centre, libraries/information centres and ICT units (in whatever form they exist), should be revamped and staffed with relevant skilled human resources that could initiate and drive the information management and literacy programmes in labour organisations.
- There is need to increase awareness of the value of ICTs, e-record and information among the key executive union leadership so that there is a buy-in regarding the deployment of information delivery systems relevant for labour organisations.

### **7.5.2 Current record management practices in labour organisations**

The following are the key recommendations on the current records management practices.

#### **(a) Legislative and policy framework**

The study found that the legislative framework was weak, in that, although there was limited guidance on requirements for records management in the relevant acts, instructions and instruments; there was no detailed guidance on the policies and practices that are needed to manage records in labour organisations.

In that regard, for labour organisations to be aware of, and comply with, any legislative requirements that relate to records and information, it would be necessary that they develop and introduce a range of internal policies, standards and procedures to enable them to fulfill the statutory obligations and also to improve their operational efficiency. As has been observed in Chapter Six, there are other countries such as the UK, Australia, United States and South Africa, that could be used as models for benchmarking on such policies. The recommended models are those that focus on responsibilities and obligations, and that specify monitoring and compliance mechanisms. The best models also recognise the interdependence between paper and digital records and the need to integrate and co-ordinate the management of records in all media.

It was also clear from the study that little attention had been paid to the link between acceptable recordkeeping systems practice and labour organisation functions. In that light, there is need for each labour organisation to develop sector specific organisational records and information management strategy. Such a strategy may act as a blue print that would ensure that records management becomes embedded in labour organisation culture, functions and processes, integrated with the records life cycle, from creation through storage and use to final disposition. The record and information management strategy would also need to address skills shortage and capacity building in records management, particularly in relation to electronic records.

#### **(b) Creation and capturing of records**

From the survey, most of the labour organisations lacked record creation policies and procedures. There were no recognised procedures and standards for titling, indexing, classifying and describing records so that they could be organised systematically and retrieved easily when needed. To this end, it is recommended that labour organisations put in place records creation policies that stipulate requirements for the description of records for the purposes of capturing, registering, classification, retention, storage, tracking, access and disposal (ISO 15489-1, 2001:7). Such policies, standards and procedures are required for managing records throughout their life cycle based on records continuum principles. For example, the mechanisms of best practice behind the records continuum model underscores the fact that in an electronic environment, there is need for “identifying records of organisation activities that need to be retained, then implementing business systems designed

with built-in recordkeeping capability [that] ensures capturing records of evidential quality as they are created". (Xiaomi, 2003:27). It is further affirmed that:

...built-in capture and assessment mean that records of value are created in the first place whenever electronic systems are used for business transactions. With appropriate metadata to ensure that they are accurate, complete, reliable, and usable, these records have the necessary attributes of content, context, and structure to act as evidence of business activity.... (Xiaomi, 2003:27)

### **(c) Organisation/classification**

It was established that there were no well defined classification schemes to guide the organisation of records in most labour organisations. In this context, policies, standards and procedures for organising, numbering and describing/indexing records are recommended. Such development of a classification and filing system should be based on the functions performed by labour organisations (Shepherd & Yeo, 2003; ISO 25489, 2001). Once put in place, the file classification systems should be made available to all staff members so that acceptance and ownership is greatly enhanced.

### **(d) File tracking and access**

It was established that the file tracking was problematic rendering access cumbersome as well. It is recommended that labour organisations should design and implement effective systems for both file and action tracking in paper-based and digital recordkeeping systems, and to ensure that adequate audit trails are built into all systems so that a history of access to, and use of, records is maintained. The monitoring and use of records can and should be linked to workflow and action tracking when this brings efficiency gains. This is particularly effective in the electronic environment (ISO 15489-1, Section 8.3.6).

### **(e) Appraisal, retention and disposal**

The survey established that though there could be some basic retention requirement as provided for in legislation regarding say for financial records, no clear policies or procedures for appraisal; retention and disposition of records exist in most labour organisations. There is, therefore, the need for labour organisations to examine all relevant legislation affecting retention and disposition of records and also to determine their own business needs for continuing to retain all categories of available records. This should be supported by a comprehensive record survey of the existing records. Based on all this, labour organisations

must develop comprehensive records retention and disposal schedules that are kept up to date and implemented as a matter of routine. Retention requirements must be determined for all the main categories of labour organisations records, based on their value in supporting their administrative, financial, legal, historical, research or informational needs. Labour organisations must also develop efficient mechanisms for the disposal or destruction of records they no longer need, whether they are hard copy or digital. The destruction processes must be secure, complete and well documented.

Attendant policies and standards should be developed that support the protection and security of records throughout their life cycle until they can safely be destroyed or deleted. These, among others could include, for example, e-mail policy, the use of records outside labour organisations offices, the management of records of staff who leave the organisation, and the application of retention rules to all electronic data and information.

#### **(f) Storage and preservation of records**

The findings of the survey revealed that storage of records was centralised at the Secretariat of each trade union with some specific officials keeping records in their respective offices. There were no well resourced and full-fledged records management units but many had some form of functional recordkeeping system. Steel cabinets were mainly used for storing current records in most labour organisations. Semi-current paper records were mixed-up with some current records on the shelves.

Labour organisations should put in place functional recordkeeping management units. That should also rationalise their storage requirements to improve the accessibility of its semi-current records that are bundles together with current files on the shelves. As alluded to above, the implementation of retention schedules could create a balance between the creation and disposition of records (as new records are created, so older records of no further use are disposed of) resulting in savings not only in terms of storage space but also staff time that would otherwise be spent looking for records.

The study also established that in terms of preservation strategies and practices used between paper-based and digital documents, most labour organisations faced the major problems, such as: poor storage of electronic versions of documents/records; poor migration strategies to

newer hardware and software technologies; poor management of access control; and use of defective storage media.

It recommended that digital material preservation programmes should be put in place. These should be preceded by detailed studies on needs and re-organisation of analog systems for identification, selection, classification of materials for digitisation.

#### **(g) Security and access**

The survey has shown that the security arrangements were not adequate for the protection of records in most labour organisations. Even though the security of hard copy and electronic records may raise different issues, all records, regardless of the medium in which they were created or the system, in which they are accessed, should be subject to an overarching security policy. The policy would need to be effectively communicated, and training and resources provided so that it can be implemented. The introduction of retention and disposition schedules, discussed above, could assist labour organisations to control the destruction of records of no further value at the earliest opportunity. Retrieval procedures would also need to be improved. Retention schedules would also ensure easy retrieval as there will be fewer current records to go through. The retention schedules should apply to both paper and electronic environments. Other possible avenues would be to use record management intern students from the University of Botswana on winter break or part-time, to assist in appraisal and decongestion of the bulk of records choking their recordkeeping systems

#### **(h) Vital records and disaster management**

The current study showed that there was no policy or programme in place for the identification, management and protection of vital records in the event of a disaster in most labour organisations. There is, therefore, a need to identify vital records and information and then develop records disaster management policies which could work hand in hand with the ICT security policies for records and information protection. In this context, well orchestrated records disaster management plans should be designed, implemented and reviewed regularly.

#### **(i) Mail management**

One of the functions of any record management system is to capture and manage correspondence/mail as a record. The study, however, found out that there was dissatisfaction

with the current procedures, for handling both incoming and outgoing mail in labour organisations, which were said to be riddled with inefficiencies.

As a recommendation, the labour organisations will need to re-examine all business processes which receive, distribute, track and manage correspondence/mail. Specific attention should be paid to redundant processes and bottlenecks. They could learn from other organisations in the public and business sectors that have modernised their systems and use a variety of mail management technologies to enable more efficient processing, distribution and management of mail.

#### **(j) Staffing and training in records management**

The survey established that most of those managing records and information in most labour organisations had not received any education and training in records management; with a certificate cited as the only highest level of professional education/training received.

It is recommended that labour organisations employ qualified human resources to run the record and information management functions. They could also work hand-in-hand with such institutions such as the University of Botswana (UB) to develop short-term winter programmes to beef up their skills base. Other organisations in the public sector such as BNARS, Botswana National Library Services (BNLS) and NGOs such as Botswana Council of Non-governmental Organisations (BOCONGO) have benefited from such arrangements in the past.

In addition, labour organisations should have a comprehensive orientation of its staff about the central role of records in their organisations and the need for their proper management. This could be done through continuous refresher courses. The programmes on sensitisation on records management and good recordkeeping practices should be designed and conducted regularly. This could be complemented by training and awareness modules that incorporate trade union (business) knowledge and understanding.

#### **7.5.3 E-records management in labour organisations**

The following are the recommendations on e-records management in labour organisations.



#### **(a) Integration of records management and ICTs systems**

The study confirmed that almost all labour organisations now have access to computers, the intranet and e-mail and the majority use them in the course of their day to day work. There were, however, no institutional procedures that guide the filing, arrangement and disposition of electronically created documents by staff using desktop computers based records management practice.

It is suggested that there is a need to incorporate records management components into both electronic business and office systems so that they can capture records in a seamless manner and protect the integrity of records over time. Attendant policies and procedures are needed that account for the management of both paper and digital records as an integrated whole.

#### **(b) Development of e-mail policies and procedures**

As with other organisations world-wide, e-mail management attracts several challenges in labour organisations. There is, therefore, a need to develop an e-mail policy that will provide guidance on how e-mails would be captured as records in an electronic recordkeeping system. This should also cover official messages received through official mobile telephones.

#### **(c) Integration of ICT systems across computing platforms**

The survey confirmed that there is low network computing infrastructure in the form of intranets and most of ICT systems in labour organisations systems operate as disparate and function-specific with a few adhoc links that created interfaces for say printing.

It is therefore recommended that labour organisations establish robust network computing infrastructure guided by some ICT strategy to support e-records readiness.

### **7.5.4 E-records readiness in labour organisations using existing assessment tools**

Further assessment through the use of existing indicators on other key issues such as policies and responsibilities for e-records and information management; tools and procedures for e-records and information management; e-records management products & technologies; resources and training for records and information management personnel; and internal and public awareness of records and information management; confirmed that though ICT uptake

was evident in labour organisations, the breadth and depth of e-records readiness is low and still evolving. In this regard, it is recommended that:

- Labour organisations should have e-records and information management policies that establish organisation-wide principles, guidelines and responsibilities for the creation, capture, management and preservation of e-records (IRMT, 2004:9).
- Labour organisations should put in place tools and procedures to ensure effective policy implementation of e-records. These could include, among others: standard forms and templates, records classification schemes, records metadata and profile templates, records retention and disposition schedules, security and access classification schemes, search and retrieval indexes (IRMT, 2004:9)
- Owing to the fact that there is currently a plethora of e-records management technologies and product solutions on the market intended to provide the enterprise-wide capability to capture, classify, store, retrieve and track e-records; labour organisations must, therefore, be aware of their full capabilities in integrating records management functionalities before they purchase or adopt them (IRMT, 2004:10)
- There is a need for qualified e-records management staff with adequate and regular financial support to implement and maintain e-records and information management policies, tools and procedures.
- The labour organisations' leadership must be committed and be aware of the importance of trustworthy and well-managed e-records for delivering effective records and information services and for protecting institutional accountability and integrity (IRMT, 2004:12).

### **7.5.5 Integration of labour organisations in national e-readiness initiatives in Botswana**

The study established that labour organisations were not well integrated into the national e-readiness policies and programmes. It has also been asserted that though BNARS has a role in assisting in this regard, its mandate has admittedly been restricted to the public sector and it has been riddled with technical and professional under capacity to reinforce its advisory role on e-records management in labour organisations.

Further, it was observed that other countries in the ESARBICA such as South Africa have successfully put in place the necessary policies and issued guidelines to government agencies

on the management of electronic records. These emphasise the importance of designing and implementing records classification systems, the systematic disposal of records, caring for specific types of records, training and compliance monitoring. For example, as stated earlier, in Chapter Six, section 6.5, the three publications issued by the National Archives and Records Service (NARS) of South Africa provide detailed guidelines on how records managers should manage electronic records. It has been said this has been working well and has been to a large extent successful.

Based on models such as South Africa, it is recommended that labour organisations work closely with the BNARS so that clear guidance could be sought on management of e-records.

## **7.6 PROPOSED INTEGRATED E-RECORDS READINESS FRAMEWORK FOR LABOUR ORGANISATIONS IN BOTSWANA**

One of the key objectives of the current study was to propose a framework for examining and understanding e-records readiness in labour organisations in Botswana. This section presents the justification and the key tenets that guide the proposed framework.

### **7.6.1 Justification for the framework**

There is diversity in the conception of what constitutes a framework and its distinct differences with the term model. Literature shows that more often than not, these terms are used interchangeably (Dix, 2007:115). Smyth (2004:168) defined a framework as "...a research tool intended to assist a researcher to develop awareness and understanding of the situation under scrutiny...forms part of the agenda for negation to be scrutinised, tested, reviewed and reformed as a result of investigation". Reeves (1997:386), on the other hand, saw a model as more of a hypothetical structure used in an investigation of interrelated aspects which are "developed from intuition, from earlier studies, and from theoretical consideration". Reeves (1997:386) concurs with (Botha, 1989; Cornford, 1991; Kemoni, 2008) as reviewed in the literature in Chapter Three, section 3.2, that models serve the purpose of analysis and prediction thus tend to explain theory. Reeves (1997:386), thereby argues that a model can be proposed, tested and confirmed or rejected.

However, Dix (2007:116) made a useful distinction between a framework and a model that is useful to the current study. According to Dix (2007:116), a framework is a “a general structure that provides an overarching set of concepts and processes, [while] a model is a specific structure of interrelated factors hypothesised to be tested...a framework may [thus] include or reflect a model, or guide the development of a model or a number of models”.

For purposes of the current study, an integrated e-records readiness framework can therefore be seen as a general structure that provides an overarching set of assumptions, concepts and processes, values and practices that guide the assessment and understanding of the breadth and depth of e-records readiness in labour organisations in Botswana. It is developed from empirical insights from the current study, earlier studies, and theoretical considerations based on the e-readiness, e-records readiness and records and information management best practices. Integration here is taken to mean logical linkage of key selected components that could be used to examine and understand e-records readiness in labour organisations which include: ICT uptake and use; current records management practices based on established standards, selected applicable existing e-records readiness indicators; and national e-readiness initiatives.

The justification of the framework is therefore premised on empirical findings presented in Chapter Five and literature review, which established that:

- There was no clear understanding of the integration of the processes of records management, ICT uptake, e-records management and national e-readiness initiatives in labour organisations in Botswana;
- The records management and ICT procedures operate in a disparate manner in most labour organisations;
- The integration of records management functionalities into ICT processes and procedures remain low and evolving;
- There was no clear understanding of the depth and breadth of e-records management in labour organisations within the context of national e-readiness initiatives;
- There was no clear framework dedicated to examining and understanding e-records readiness in labour organisations in Botswana.

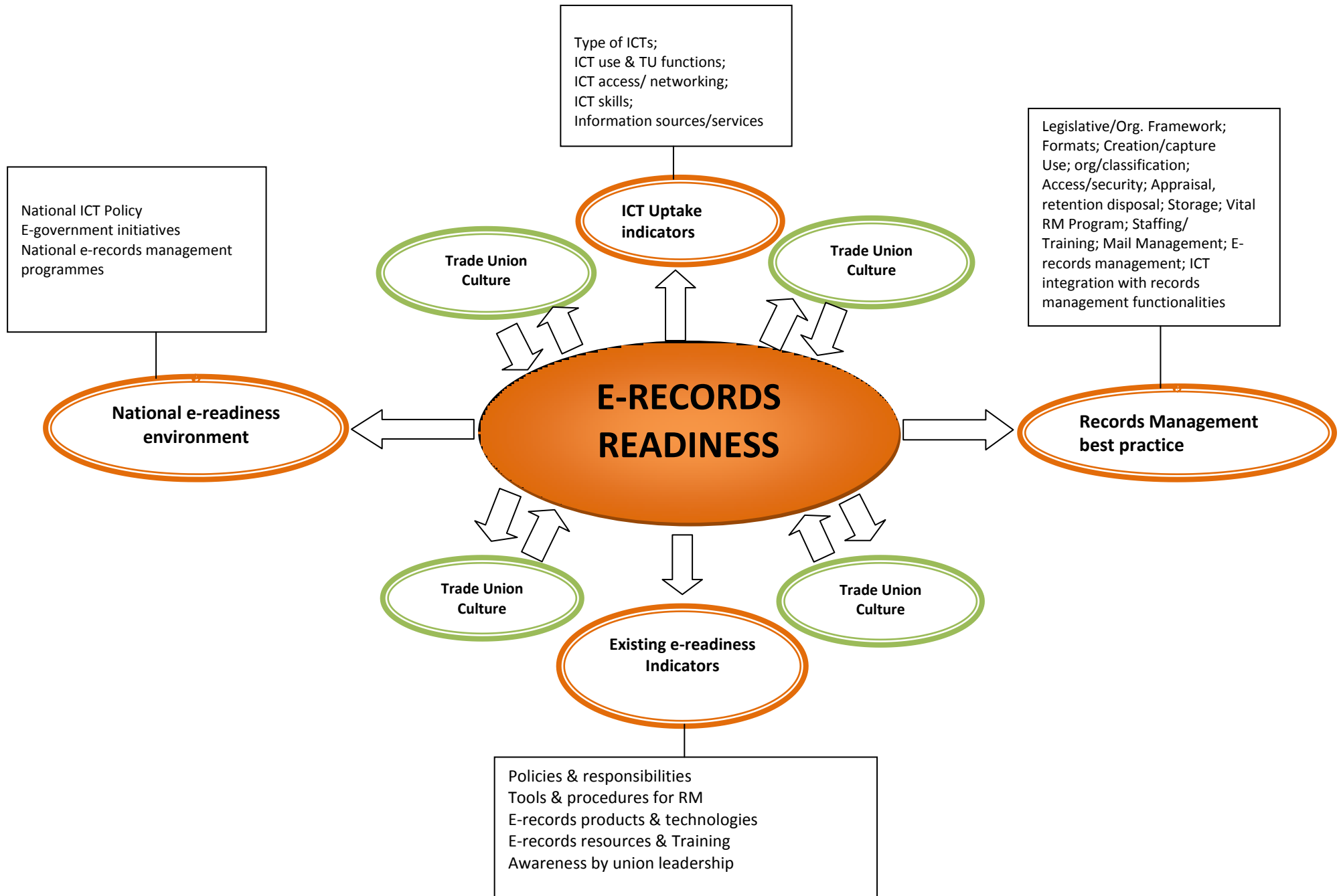
It has been argued throughout the thesis that records are created in any organization to support and provide evidence of transactions; and that e-records are therefore an important source of information for any organisation. This implies that labour organisations need to re-strategise and put benchmarks in relation to the manner in which they manage e-records and information: be it planning, evaluation, monitoring, dissemination or decision making. The need to have a clear framework for understanding the e-records readiness is thus critical for the overall integration of the labour organisations in the e-environment in Botswana.

As has been observed throughout this study, e-records readiness assessments are meant to guide development efforts by providing benchmarks for comparison and gauging progress in organisations in understanding the depth of e-records management. The e-records assessments assist in the ability for organisations to accurately establish, articulate and prioritise e-records management needs based on institutional capabilities thus illuminating the potential opportunities and challenges that the electronic and information age presents.

It has also been established that existing e-records assessment models and tools, serve different purposes, audiences and coverage. In this context, the need to have a contextual framework for examining and understanding e-records readiness in labour organizations is thus relevant for records and information professionals, labour practitioners and other stakeholders in Botswana. This is because, such examination provides the basis for building models of institutionalised knowledge that would be sector-specific and have local focus. Accordingly, such a framework of ‘institutionalised knowledge’ could guide the action on the management of e-records in labour organisations in Botswana (Kalusopa, 2010:140).

Figure 32 depicts the proposed framework for examining and understanding labour organisations in Botswana

**Figure 32: Proposed e-records readiness framework for labour organisations**



### **7.6.2 Explanation of the framework**

Based on literature and empirical research on labour organisations in Botswana, a contextual framework for examining and understanding e-records readiness in labour organisations in Botswana was proposed. This proposed framework builds on the existing body of knowledge on the e-records readiness. The e-records readiness framework first determines the principal capability factors upon which e-records management for labour organisations depends, that is, ICTs uptake and use; records management practices; and the levels of e-records readiness appropriate for commencing the e-records readiness programme. The application of the proposed framework to any labour organisation should be guided by the following:

- The organisational culture of labour organisations based on the core functions of collective bargaining, social dialogue, membership organisation and recruitment, and building ideological solidarity;
- What can labour organisations accomplish within its existing ICT resource capabilities including the attendant challenges to be encountered;
- Appropriate framework required to improve the utilisation of its existing ICT resources within their organisational culture;
- Appropriate understanding of the current records management practice based on good or best practice;
- Appropriate understanding of the current e-records management challenges based on relevant standards; and
- Appropriate understanding of the current national e-readiness environment.

This integrated e-records readiness was mainly developed from discussions in literature review in Chapter Three and empirical findings Chapter 5. In that light, the framework draws heavily from ICT adoption models, national e-readiness assessment tools and IRMT e-records readiness tools. There are four components that guide this framework, namely: ICT uptake and use; records management best practice; selected and appropriate existing e-records readiness indicators; and national e-readiness environment. It is argued that these are the four components are key to examining and understanding e-records readiness in labour organisations. However, the components should be examined in the context of the labour organisations or trade union culture. These components are explained in following sections.

### **(a) ICT uptake**

As established in the literature review in Chapter Three, most of the ‘stand alone’ ICT adoption models merely do look at how organisations adopt, adapt to or are motivated to use, and are de-motivated to use ICTs in general. Others have focused on public or business organisations, with a dearth of literature on labour organisations. Other e-records readiness models also refer to ICTs infrastructure as a key indicator for assessment of e-records readiness but do not go far enough to assess its uptake. Yet as we have established in the current study, understanding the level of ICT uptake and use is essential to the question of e-records readiness. ICTs are the basis and platform on which e-records are based or thrive. This means any thorough assessment of e-records readiness in labour organisations should take into account detailed examination of ICTs uptake and use. As has been established in Chapter 5, it is thus proposed that such examination and understanding could be based on, but not limited to, the following ICT uptake and use indicators namely type of ICTs adopted and used; ICTs Use and labour organisation functions; ICT access and networking; ICT/Information knowledge, skills and competences; and information sources/services in labour organisations.

### **(b) Records management best practice**

The second component proposed is the records management best practice. The study has established that as the basis for understanding the depth and breadth of e-records readiness in labour organisations, there is need to examine the current records and information management practices in labour organisations. In this context, as described in Chapters Two, Three and Five, such assessment should be based on various components that underline the desire for best records management practice such as ISO 15489. Such best practice applies to records irrespective of any format or media, created or received by any public or private organisation during the course of its activities (ISO, 2001a:4). Based on the records life-cycle and continuum, the key elements would include but is limited to looking at the: legislative and organisational framework; creation and capturing of records; use of records; format of the records; organisation and classification of the record collection; access and security of records; records appraisal, retention and disposal; storage of records; staffing and training; vital records management and disaster management; and mail/correspondence management.

It is also prudent to assess and understand the management of e-records management in general and also the integration of records management practices in ICTs systems and



platform in existence, in on-going projects and future implementations in labour organisations.

**(c) Existing e-records readiness indicators**

The study established that some selected generic indicators based on existing assessment tools were essential in validating and consolidating the overall understanding of the breadth and depth of e-readiness in labour organisations. These indicators assisted to illuminate the status of e-records readiness. It is therefore proposed that such a framework should include such to e-records readiness indicators, but not be limited to: policies and responsibilities for records and information management; tools and procedures for records and information management; e-records management products & technologies; resources and training for records and information management personnel; and internal and public awareness of records and information management.

**(d) National e-readiness environment**

As discussed in Chapter Three, several e-readiness in general and e-records readiness tools do have a national reference indicators or simply refer to them. The current study established that the national ICT policy and attendant e-record management initiatives do underline the need for several sectors to be holistically engaged if they have to be drivers in an information society. The current study also affirmed the need for labour organisations to be integrated into the information society within the context of the current e-government strategies. It is therefore key that any examination and understanding should take into account the following aspects:

- The extent of how the current ICT policy and legislative framework have attempted to integrate labour organisations in the overall national ICT initiatives;
- The extent of how the use of ICTs in government agencies have been able to support processes delivery of quality public services to labour organisations;
- Factors that are likely to restrict adoption of access to ICTs in labour organisations;
- Current efforts to integrate labour organisations in the drive for an information society in Botswana;
- Type of collaborative trainings ICT training programmes available for labour organisations to build competences and capacity for effective social dialogue; and

- The role of National Archives and Records Services in integrating all sectors including the labour organisations in the e-government strategy in Botswana.

#### **(e) Trade Union organisational culture**

Chapter Two of the current study was dedicated to understanding the context of the study. In that Chapter, labour organisations were defined as membership-based, which have unique core collective functions such as collective bargaining, organising and mobilisation, service to members, among others. As also established in Chapters Five and Six, most of the labour organisations are not as highly formalised as government and business but are a mixture of power and role (bureaucratic) culture. Most are funded differently, have different objectives, and operate in different environments. They also have different information seeking patterns and information skills and competences. It has also been alluded to that, most organisations, are uniquely different from public and business organisations but are however key in the development process and in the quest for the drive towards a knowledge and information society in Botswana. The study has also established that appreciating this organisational trade union culture is crucial to the examination and understanding of the depth and breadth of e-records readiness in such organisations. In that regard, the organisation culture formed part of the framework.

## **7.7 IMPLICATION FOR THEORY, POLICY AND PRACTICE**

There is grounded acknowledgement that records and information management theory has been shaped by the advances and application of ICTs and vice versa. As observed by Evans, Reed and McKemmish (2008:118), there is a “grounded belief that technology shapes ...recordkeeping and archiving processes and is in turn shaped by them”. This implies that empirical research provides the required theoretical and methodological growth in records and information management. Research frameworks thus provide the requisite “technological, methodological and technical” catalyst for “pursuing the development of new tools and technologies...solutions to digital challenges”.

As literature has shown in the current study, there has been consensus built around the conceptual evolution from records life cycle to records continuum model given the demands of the electronic environment. Admittedly, this has broadened the interpretation of records

management theory and has been a helpful guidance to shape practice as well. Critical to this has been the attendant evolution of e-records readiness theoretical frameworks or models that have sought to understand and measure the depth and breadth of the use of ICTs in records management. Most of these models have centred on either general understanding or e-readiness or e-records readiness at national and organisational levels (IRMT, 2004). As literature and empirical evidence will attest, such e-records readiness theory or models have concentrated in dealing with national public sector organisations.

The current study has posed and answered several conceptual and contextual questions as to the extent to which e-records readiness models may be used to explain the depth and breadth of e-record readiness in labour organisations. The study therefore adds to the existing theoretical and conceptual issues that form the on-going discourse on the content, measurements, outputs, benefits, management and implementation of e-records readiness in sector-specific organisations. Accordingly, one could, therefore, argue that the study will add to the on-going debate as to whether concepts derived, studied and adopted in the world of government and business such as e-records readiness can readily be applied to labour organisations. Further, the study embraces and adds, as a contribution, the synergy of ICT adoption, records management, e-readiness and e-records readiness theories/models in understanding e-records readiness in labour organisations as demonstrated in the proposed framework in section 7.5. For that reason, the current study could be said to be a pioneering empirical inquiry in labour organisations.

In terms of policy and practice, the current study empirically sheds more light on the current state of e-records and information management in labour organisations in Botswana. This is important in that it will in turn assist records management practitioners, labour leadership, labour specialist, government and other stakeholders in benchmarking labour organisations with other key sectors on the extent of their integration in the information society in Botswana.

Further, as established, the government in Botswana is actively leading the way in laying the foundation for the growth of a robust and vibrant information society largely driven by the creation of an enabling e-environment through various ICT infrastructural investments as well as policy and legislative mechanisms. The need for understanding the extent to which

labour organisations are e-records ready would ultimately be a significant response to such efforts. The current study therefore contributes to this

In addition, the study has presented an integrated e-records readiness framework that may provide a basis for assessing and understanding the depth of e-records and information management in labour organisations. It is hoped that such a recommended e-records management framework could pave the way for understanding the status and effective electronic records management in labour organisations in Botswana.

## **7.8 FURTHER RESEARCH**

As has been ascertained in the current study, there is dearth of empirical studies on e-record readiness in labour organisations in Botswana. Most of the studies on e-records management have tended to largely focus on the public sector in Botswana. The current empirical inquiry therefore breaks new ground and brings out several issues that would require further in-depth research. This is so because as outlined in Chapter One and Four, like any research, there are obvious limitations and delimitations of this study that warrant more investigations. Some of these research areas include, but are not limited to the following:

1. The study established that e-records readiness thrives on the adoption and use of requisite ICTs computing platforms. In that regard, ICT adoption and use was meant to understand the depth and breadth of e-records readiness. The current study did not specifically focus on the user acceptance of ICTs in the context of system characteristics, user perception and behavioural impacts in labour organisations. This could be an interesting area for further research.
2. It has been advanced in the current study that since the emergence of ICTs in the 1990, there has been a conception that the application of ICTs would correspondingly impact and possibly weaken labour organisational structure. In certain cases, it was even proclaimed that representative institutions such as labour organisations would simply whither away. For that reason, perhaps a further inquiry into the impact of ICTs on labour organisation structures in Botswana might unearth a lot of empirical information on this score.

3. In the current study, a thesis emerged regarding the impact of the organisation culture on records and information management practices. Chapter Five and Six attempted to discuss this in the context of Shepard and Yeo's (2003) taxonomy of organisation cultures and their impact on records management that stress how issues of regulation and accountability dictate the approaches to records management. An in-depth qualitative study on this would, therefore, be more illuminating.
4. There is also the question of the evolving adoption of e-mail in most labour organisations that was reported as slowly taking root. A further specific study on the strategies on e-mail management in labour organisations would therefore be useful.
5. The study also brought out the thorny issue of the relevancy and impact of modern social media technology on organisations. It is clear that labour organisations, like other organisations in the world, are still grappling with possibilities of the adoption of these technologies. Literature and empirical data has shown that given the nature of business functions of labour organisations that heavily emphasise organisation and mobilisation, such technologies may be beneficial. It would therefore be a worthwhile investigation to explore an in-depth qualitative study on the extent to which these newer technologies could be useful in the context of current records management practices and standards in labour organisations.
6. The web presence was also cited as low among many labour organisations in Botswana, yet evidence elsewhere in the world has shown that most of them have integrated web technology as a driver to trade union work. It would be worthwhile to also explore the question of web presence and do content analysis to investigate how this relates to key labour organisation functions.

## **7.9 FINAL CONCLUSION**

The current study investigated e-records readiness in labour organisations with a view to proposing an integrated framework for labour organisations in Botswana. E-records readiness was examined based on a mixture of components namely ICT uptake and use; standard records management practices; selected tenets of existing e-records readiness assessment tools and the extent of integration into national e-readiness framework.

The study established that e-records readiness was evidently low and evolving as evidenced by the slow adoption of ICTs; inadequate records management standards and practices; and low integration in the national e-readiness framework. To foster effective e-records readiness in labour organisations, several recommendations (arising out of the study) that pointed to the effective ICT adoption and use, adoption of best records management practices and effective ways of how labour organisations could integrate in the information society were documented. Further, a proposed framework for examining and understanding e-records readiness in labour organisation was presented. The study also advanced its implication to theory and practice as well as areas for further research.

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# APPENDIX 1: COVER LETTER FOR PRE-TESTING THE QUESTIONNAIRES

**UNIVERSITY OF SOUTH AFRICA  
SCHOOL OF ARTS  
DEPARTMENT OF INFORMATION SCIENCE  
DEVELOPING AN E-RECORDS READINESS FRAMEWORK FOR  
LABOUR ORGANISATIONS IN BOTSWANA**

Dear Sir/Madam

I am a bonafide PhD student (student No. 4494-353-9) at the University of South Africa (UNISA) in the Department of Information Science conducting a study to assess e-records readiness with a view to developing an integrated e-records readiness framework for labour organisations in Botswana. Among other key issues, the empirical study intends to collect information on information communication technologies (ICT) uptake and use; current records and information management practices; the integration ICTs in the management of records; and the status of e-records readiness in labour organisations in Botswana. The study was cleared by the UNISA ethics committee and official permission to carry out the study in Botswana was granted by the Ministry of Labour and Home Affairs. I am seeking your assistance in my research project. In order to ensure the validity and reliability of the questionnaire as a data collection tool, I am conducting a pre-test on the questionnaire I am intending to use for the study. Your comments and contributions will be most welcome. Over and above your comments and observations can you also, please scrutinize the questionnaire using the checklist that is provided below.

1. Are there any typographical errors? [ ] Yes [ ] No
2. If your answer is “Yes”, please indicate them in the questionnaire.
3. Are there any misspelt words? [ ] Yes [ ] No
4. If your answer is “Yes”, please indicate them in the questionnaire.
5. Do the item numbers make sense? [ ] Yes [ ] No
6. If your answer is “No”, please, provide some suggestions below:  
.....  
.....  
.....
7. Is the type size big enough to be easily read? [ ] Yes [ ] No
8. If your answer is “No”, please, provide some suggestions below:  
.....  
.....  
.....
9. Is the vocabulary appropriate for the respondents? [ ] Yes [ ] No
10. If your answer is “No”, please, provide some suggestions below:  
.....  
.....  
.....

11. Is the survey too long? [ ] Yes [ ] No

12. If your answer is "Yes", please, provide some suggestions below:

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

13. Is the style of the items too monotonous? [ ] Yes [ ] No

14. Are the skip patterns too difficult to follow? [ ] Yes [ ] No

15. If your answer is "No", please, provide some suggestions below:

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

16. Does the survey format flow well? [ ] Yes [ ] No

17. If your answer is "No", please, provide some suggestions below:

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

18. Are the items appropriate for the respondents? [ ] Yes [ ] No

19. If your answer is "No", please, provide some suggestions below:

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

Please return the completed questionnaire to me **Mr. Trywell Kalusopa, University of Botswana, Faculty of Humanities, P/Bag 0022, Gaborone, Botswana.** Email: kalusopat@mopipi.ub.bw. Telephone: (+267) 71356528 by 15<sup>th</sup> December, 2010.

## APPENDIX 2: QUESTIONNAIRE FOR THE SURVEY

UNIVERSITY OF SOUTH AFRICA  
SCHOOL OF ARTS  
DEPARTMENT OF INFORMATION SCIENCE

### DEVELOPING AN E-RECORDS READINESS FRAMEWORK FOR LABOUR ORGANISATIONS IN BOTSWANA

Dear Secretary General,

I am a bonafide PhD student (student No. 4494-353-9) at the University of South Africa (UNISA) in the Department of Information Science conducting a study to assess e-records readiness with a view to developing an integrated e-records readiness framework for labour organisations in Botswana. Among other key issues, the empirical study intends to collect information on information communication technologies (ICT) uptake and use; current records and information management practices; the integration ICTs in the management of records; and the status of e-records readiness in labour organisations in Botswana. The study was cleared by the UNISA ethics committee and official permission to carry out the study in Botswana was granted by the Ministry of Labour and Home Affairs.

This questionnaire is being circulated to all the registered labour organisations in Botswana. As a registered labour organisation, you are therefore, kindly invited to voluntarily participate in the study by completing this questionnaire. I wish to assure your organisation that all the information supplied will be treated in utmost and strictest confidence and will be used solely for this study and academic purposes. I will, however, endeavour to share with your organisation the findings of this study.

I sincerely do appreciate that you have a very busy schedule, but I have the utmost belief that the results from this study would certainly provide labour organisations in Botswana with empirical and objective information on how they could use records and information in a highly electronic global environment world. This should subsequently assist labour organisations to engage, organise, mobilise and thus leverage and advance their key agenda of national and global solidarity and social justice.

I should, therefore, be grateful if you would complete and return the questionnaire by **15<sup>th</sup> February, 2010**. Should you have any queries about the study, please do not hesitate to contact me at the **University of Botswana, Faculty of Humanities, P/Bag 0022, Gaborone, Botswana. Telephone: (+267) 71356528**.

Thank you in anticipation for your time and mutual co-operation.

Yours Sincerely,

**Trywell Kalusopa (PhD Candidate)**



**QUESTIONNAIRE FOR COLLECTING INFORMATION ON ICT UPTAKE, CURRENT RECORDS MANAGEMENT PRACTICES AND E-RECORDS READINESS IN LABOUR ORGANISATIONS IN BOTSWANA**

**INSTRUCTIONS FOR FILLING IN THE QUESTIONNAIRE**

Kindly pay attention to the following instructions when filling in the questionnaire:

- Tick or mark applicable answer(s) clearly in the spaces provided for.
- Use spaces provided to write your answers to the questions. Please do print.
- Please, do not leave blank spaces. If the question does not apply please indicate “N/A”.
- If you use additional sheet(s) of paper for detailed answers, please, indicate in all cases the appropriate question number you are referring to.

**BACKGROUND INFORMATION ABOUT THE TRADE UNION**

1. Name of Trade Union:.....
2. Trade Union Sector (e.g. Agriculture, Education, Retail, etc.):.....
3. How many employees/workers does your Union have? (Tick once where applicable)
  - Below 100
  - 100 - 500
  - 501 - 1000
  - 1001 -2000
  - 2001 -3000
  - 3001-40000
  - 4001-5000
  - Over 5000

4. Address of Secretariat:

Physical Address:.....  
Telephone:.....  
Fax:.....  
E-mail:.....  
Website:.....

	<b>ICTS UPTAKE AND USE IN LABOUR ORGANISATIONS</b>
--	--

**Section 1: Type of ICTs adopted/use**

5. What type of ICTs below have been adopted and are being used in your trade union organisation?

(Please tick all that may apply)

- a) Fax [ ]
- b) Telephone [ ]
- c) Cell phone [ ]
- d) Internet [ ]
- e) Web site [ ]
- f) Face book [ ]
- g) YouTube [ ]
- h) Twitter, etc) [ ]
- i) Any other reasons, please specify:

.....  
 .....

6. Indicate the extent of use of these ICT in trade union work?

ICTs	Never used	Rarely used	Used at times	Used often	Used very often
(a) Fax					
(b) Telephone					
(c) Cell phone					
(d) Internet					
(e) E-mail					
(f) Website					
(g) Face book					
(h) YouTube					
(i) Twitter					

7. What motivates you to use the ICT listed below in your trade union work?

ICTs	Ease to use	Affordable	Has relevant knowledge/skill	Other organisations use them	Union policy
(a) Fax					
(b) Telephone					
(c) Cell phone					
(d) Internet					
(e) E-mail					
(f) Website					
(g) Face book					
(h) YouTube					
(i) Twitter					

Any other reasons, please specify:

.....  
 .....

8. What de-motivates you not use the ICT below in your trade union work?

ICTs	Not easy to use	Costly	Require prior knowledge/skills	Other Union do not use them	No Union ICT policy
(a) Fax					
(b) Telephone					
(c) Cell phone					
(d) Internet					
(e) E-mail					
(f) Website					
(g) Face book					
(h) YouTube					
(i) Twitter					

Any other reasons, please specify

.....  
 .....

9. To what extent are the ICTs listed below useful in trade unions (increase your performance)?

ICTs	Not Useful	Somewhat useful	Useful	Very Useful	Extremely Useful
(a) Fax					
(b) Telephone					
(c) Cell phone					
(d) Internet					
(e) E-mail					
(f) Website					
(g) Face book,					
(h) YouTube					
(i) Twitter					

Any other reasons, please specify

.....  
 .....

**Section 2: ICTs use and trade union functions**

10. In which trade union functions do you usually use the ICTs?

Trade Union function (s)	Never used	Rarely used	Used at times	Used often	Used very often
(a) Collective bargaining					
(b) Organising (recruitment of the organised and unorganized workers)					
(c) Internal and external communication					
(d) Service to members e.g. giving expert advice to members					
(e) Education and Training (e.g. advising and educating members how to deal with workplace issue; on-line training programmes)					
(f) Sending local solidarity					
(g) Discussions with international bodies					
(h) Union administration (financing, membership registers, etc)					
(i) Others..... .....					

11. Which trade union functions listed below do you feel does not necessarily require the use of ICTs?

Trade Union Function (s)	Never used	Rarely required	Required at times	Often required	Very often required
(a) Collective bargaining					
(b) Organising (recruitment of the organised and unorganized workers)					
(c) Internal and external communication					
(d) Service to members e.g. giving expert advice to members					
(e) Education and Training (e.g. advising and educating members how to deal with workplace issue; on-line training programmes)					
(f) Sending local solidarity					
(g) Discussions with international bodies					
(h) Union administration (financing, membership registers, etc)					
(i) Others..... .....					

12. Which trade union functions do you feel ICTs are under-utilised in your trade union work?

Trade Union function (s)	Under-utilization of ICTs (tick all that may apply)
(a) Collective bargaining	
(b) Organising (recruitment of the organised and unorganized workers)	
(c) Internal and external communication	
(d) Service to members e.g. giving expert advice to members	
(e) Education and Training (e.g. advising and educating members how to deal with workplace issue; on-line training programmes)	
(f) Sending local solidarity	
(g) Discussions with international bodies	
(h) Union administration (financing, fundraising, membership registers, etc)	
(i) Others ..... .....	

### Section 3: ICT access and networking

13. What type of computer applications do you use in your trade union? (Please tick all that may apply)

- (a) Word processing [ ]
- (b) Processing Union applications forms [ ]
- (c) Financial analysis [ ]
- (d) Developing presentations for workshops [ ]
- (e) Playing games [ ]
- (f) Desktop Publishing [ ]
- (g) Photo Editing [ ]
- (h) Surfing on the Internet about labour matters [ ]
- (i) Any other please specify.....

14. Are your computers linked to the Botswana Federation of Trade Unions (BFTU) for communication or any other purpose?

- (a) Yes [ ]
- (b) No [ ]

15. Are you linked using computers to others Unions so that you can share information on trade union matters?

- (a) Yes [ ]
- (b) No [ ]

16. Which of the following ways below do feel represents the most used method in communicating with your members within the Secretariat and other Unions in the country and beyond?

- (a) Direct mail [ ]
- (b) Face to face meeting [ ]
- (c) Newspaper (Print & Online) [ ]
- (d) Fax [ ]
- (e) TV [ ]
- (f) Radio [ ]
- (g) Telephone (landline) [ ]
- (h) Cell phone [ ]
- (i) E-mail [ ]

- (j) Website [ ]
- (k) Any other specify.....

17. Which one of the methods below **is not mostly used** in sharing/disseminating information in the Union and beyond?

- (a) Meeting [ ]
- (b) Fax [ ]
- (c) Telephone [ ]
- (d) Letters [ ]
- (e) E-mail [ ]
- (f) Website [ ]
- (g) Any other specify.....

**Section 4: Challenges of ICTs adoption/use**

18. List the general problems you are facing in terms of using or accessing ICT as a trade union? (Please tick all that may apply)

- (a) Funding to buy ICTs [ ]
- (b) Low knowledge and understanding by union leadership [ ]
- (c) Fear by leadership that technology will break the traditional decision making barriers [ ]
- (d) Lack of skills & Training among trade union membership [ ]
- (e) Slowness in the adoption of ICTs in trade unions [ ]
- (f) Poor ICT infrastructure where the trade union office is situated [ ]
- (g) Lack of space in the trade union office [ ]
- (h) Lack of support/collaboration from employers in the organisation [ ]
- (i) Any other specify.....

19. State the reason why your trade unions has not/has been slow to adopted ICTs? (Please tick all that may apply)

- (a) Limited budget in your Union [ ]
- (b) Time limit by union members [ ]
- (c) Lack of ICT skills, training of leadership and members [ ]
- (d) Limited support from the Trade Union leadership [ ]
- (e) Poor attitude by union members towards ICT [ ]
- (f) Lack of training development policy in the Union [ ]
- (g) Poor ICT Infrastructure [ ]
- (h) Age of membership (too old to appreciate ICTs)[ ]
- (i) Low education of union members [ ]
- (j) Any other specify.....

20. Indicate the problems associated with the use of each of the ICTs in your trade union?

ICTs	Cost	Limited member time at workplace/home	Lack of ICTs skills	Difficult to learn/ use	Biased towards the youth	Lack of technical resources	Low members hip education
(a) Fax							
(b) Telephone							
(c) Cell phone							
(d) Internet							
(e) E-mail							
(f) Website							
(g) Face book							
(h) YouTube							
(i) Twitter							

### Section 5: ICT/information knowledge, skills and competences

21. Please indicate what you feel about your union members each of the following statements relating to information literacy in your trade union.

Information literacy	Never	Occasionally	Rarely	Often	Always
(a) Members like to ask questions from experienced peers so that they can effectively engage in trade union matters					
(b) Members rely on their long experience in trade union matters to engage effectively					
(c) Members are eager to take on a challenging task on trade union matters because they are confident of the information they get from the internet/and databases					
(d) Members seek and evaluate information before they can engage openly in labour discussions					

22. Please indicate what you feel about your union members each of the following statements relating to the information literacy problems in your union.

<b>Problems in information literacy</b>	<b>Never</b>	<b>Occasionally</b>	<b>Rarely</b>	<b>Often</b>	<b>Always</b>
(a) Trade union matters are difficult to read/understand					
(b) Members have difficult in expressing their own ideas on trade union matters					
(c) Members are only comfortable expressing my trade union ideas in the local language -Setswana					
(d) Members are only comfortable expressing my trade union ideas in English					
(e) Members do not easily find information on trade union matters because they are not sure of the source					

### **Section 6: Information services in trade unions**

23. Please tick the source of information that you normally rely on in your trade union work.

<b>Source of information</b>	<b>Never</b>	<b>Occasionally</b>	<b>Rarely</b>	<b>Often</b>	<b>Always</b>
(a) Newspapers and television					
(b) Personal experience					
(c) Library or information resources centre from <b>inside</b> the union					
(d) Library or information resources centre from <b>outside</b> the union					
(e) Internal union records					
(f) Government publications					
(g) Information from the Human resource Department					
(h) Registry/record centre in the union					
(i) Regional/international websites on trade union matters					



**Section 7: Training needs in IT/Information management**

24. What type of information management training have you received from the union? (Please tick all that may apply)

- (a) Basic computer applications
- (b) Information seeking skills
- (c) None at all
- (d) Any other specify.....

25. Have you received information management training from elsewhere other than a Union?

- (a) Yes [ ]
- (b) No [ ]

26. If YES how has it assisted you to discharge you duties in the Union?

- (a) Not useful [ ]
- (b) Useful [ ]
- (c) Very Useful [ ]

27. Please indicate the form of training in information management that you would like?

- (a) Classic lectures [ ]
- (b) Interactive workshop [ ]
- (c) Lecture mixed with workshop [ ]
- (d) On-site training [ ]
- (e) On-line training [ ]

28. If made available, what kind of access to on-line training is convenient for you?

- (a) During working hours [ ]
- (b) After working hours but using office equipment [ ]
- (c) At home [ ]
- (d) Internet cafes and other public facilities [ ]
- (e) Not very Useful [ ]

29. Indicate the length of time of training in information skills that you feel can be appropriate?

- (a) One week [ ]
- (b) One month [ ]
- (c) Six months [ ]
- (d) One year [ ]

30. How should training needs in information management skills be identified in your Union?

<b>Mode of identification of training needs</b>	<b>Strongly agree</b>	<b>Agree</b>	<b>Neutral</b>	<b>Disagree</b>	<b>Strongly disagree</b>
(a) According to individual interests and needs					
(b) Upon established training scheme of the Union					
(c) Upon individual career development in labour relations					
(d) There is no training need identification in the Union					

31. Who should take the initiative in information skills training activities in the Union?

<b>Initiator of training</b>	<b>Strongly agree</b>	<b>Agree</b>	<b>Neutral</b>	<b>Disagree</b>	<b>Strongly disagree</b>
(a) Union leadership should decides					
(b) Interested Union members should apply					
(c) Union Leadership and members should discuss and agree					
(d)					

32. In your opinion, what do you believe will happen if information management skills were initiated or enhanced in your trade union?

	<b>Strongly agree</b>	<b>Agree</b>	<b>Neutral</b>	<b>Disagree</b>	<b>Strongly disagree</b>
(a) Participation and democracy will be enhanced in the Union					
(b) Information sharing and solidarity among union members will be enhanced					
(c) Accountability of Union leadership to members will be enhanced					
(d) There will be increase in education and ideological depth among members					
(e) There will be an increase in outreach activities					
(f) Regional and global social activism will be enhanced					
(g) Traditional trade union decision making structures will be eroded					

33. Indicate the barriers to your professional growth in information management skills in your trade union? (Please tick all that may apply)

- (a) Limited budget in your Union [ ]
- (b) Time limit [ ]
- (c) Limited/lack of information on training offered [ ]
- (d) Limited support from the Union leadership [ ]
- (e) Lack of motivation [ ]
- (f) Lack of training development policy in the Union [ ]

	<b>CURRENT RECORDS MANAGEMENT PRACTICES IN LABOUR ORGANISATIONS</b>
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**Section 8: Format of the records**

34. What is the format of the records in your trade union?

(Tick/select all that apply. Some collections may contain both paper and electronic information)			
<b>Paper</b>		<b>Electronic</b>	
(a) Loose papers (not in folders)		(a) E-mails	
(b) Loose papers in folders		(b) Web-site; Intranet	
(c) Lever arch files		(c) Word; Excel; Power Point	
(d) Input and output computer forms		(d) Databases	
(e) Bound volumes /publications		(e) HTML; PDF	
(f) Newspapers, photographs, maps		(f) Workflow systems	
(g) Others (please specify)		(g) Others (please specify)	

**Section 9: Description, creation and use of records**

35. Which activities below produce often your records in your trade union?

Trade Union Function (s)	Strongly agree	Agree	Neutral	Disagree	Strongly disagree
(a) Collective bargaining					
(b) Organising (recruitment of the organised and unorganized workers)					
(c) Internal and external communication					
(d) Service to members e.g. giving expert advice to members					
(e) Education and Training (e.g. advising and educating members how to deal with workplace issue; on-line training programmes)					
(f) Sending local solidarity					
(g) Discussions with international bodies					
(h) Union administration (financing, fundraising, membership registers, etc)					

36. Who often uses the records within the trade union? (Tick where applicable)

- (a) Union Staff [ ]
- (b) Executive Leadership [ ]
- (c) Membership [ ]

37. What are the records used for in your trade union? (Tick where applicable)

- (a) Trade union finance [ ]
- (b) Trade union personnel [ ]
- (c) Trade union administration [ ]
- (d) Trade union policy [ ]
- (e) Collective bargaining [ ]
- (f) Organising and recruitment [ ]
- (g) Others, please specify.....

38. Comment on the frequency of use? (How often are the records consulted?)

- (a) Daily [ ]
- (b) Weekly [ ]
- (c) Monthly [ ]
- (d) Yearly [ ]

39. How long are the records needed for each of these purposes? (How long do you keep the records after creation?)

Source of Information	0-5 yr	6-10 yrs	11-15 yrs	16-20 yrs	20-25 yrs	Permanent
(a) Finance records						
(b) Human resource records						
(c) Union general administration						
(d) Union policy						
(e) Membership records						
(f) Organising and recruitment records						
(g) Collective bargaining records						

**Section 10: Organisation of the record collection**

40. Is there an approved file plan available in your trade union office?

- (a) Yes [ ]
- (b) No [ ]

41. Are there any indexes; inventories or registers used?

- (a) Yes [ ]
- (b) No [ ]

42. Are there any clearly defined records series in you organisation of your records?

- (a) Yes [ ]
- (b) No [ ]

43. How are records arranged in your trade union office?
- (a) Alphabetically [ ]
  - (b) Chronologically [ ]
  - (c) Numerically [ ]
  - (d) Any other specify.....

**Section 11: Access and security of records**

44. Who has access to the records kept in the union?

- (a) Union Staff [ ]
- (b) Executive Leadership [ ]
- (c) Membership [ ]

45. Do you share records with other trade union units? If yes, which ones?

.....  
 .....

46. For paper records, how long does it take to retrieve information when needed to deal with clients?

- (a) Minute [ ]
- (b) Hours [ ]
- (c) Days [ ]
- (d) Weeks [ ]
- (e) months [ ]
- (f) Never located in some cases) [ ]

47. For paper records, are there systems for tracking records? (record of who has a particular file)

- (c) Yes [ ]
- (d) No [ ]

48. Which of the following tools do you use to track records use? (Please tick all the applicable options)

- (a) File tracking card [ ]
  - (b) File tracking register [ ]
  - (c) Computerised system [ ]
  - (d) Human memory [ ]
  - (e) Physical checking of files on shelves [ ]
  - (f) Subject index [ ]
  - (g) Other, please specify.....
- .....

49. Do you have procedures governing file tracking?

- (a) Yes [ ]
- (b) No [ ]

50. If yes, which of the following aspects of file tracking do they cover? (Please tick all the applicable options)

- (a) Who has authority to use files [ ]
- (b) Recording the circulation of files [ ]
- (c) Movement of files among action officers [ ]
- (d) How long action officers may retain files [ ]

- (e) Responsibility for documentation [  ]
- (f) Other, please specify.....

51. Which of the following problems do you face in providing access to records? (Please tick all the applicable options)

- (a) Staff do not understand users needs [  ]
- (b) Users know little about records held by trade union [  ]
- (c) Staff lack training in records management [  ]
- (d) Action officers retaining files [  ]
- (e) Files being bulky [  ]
- (f) Files torn and dusty [  ]
- (g) Lack of or poor records management unit layout [  ]
- (h) Mix-up of active and inactive files [  ]
- (i) Other, please specify.....

52. Are there any lockable cabinets to protect records from unauthorized access?

- (a) Yes [  ]
- (b) No [  ]

**Section 12: Records appraisal, retention and disposal**

53. Which of the following criteria do you use to appraise subject files? (Please tick all the applicable options)

- (a) value of records such as administrative, legal , financial and
- (b) Informational [  ]
- (c) Functional analysis [  ]
- (d) Sampling procedures [  ]
- (e) Other, please specify.....

54. Which of the following instrument do you use to appraise records?

- (a) Retention schedules [  ]
- (b) Standing instructions [  ]
- (c) Other, please specify.....

55. Do you have a record retention and disposal programme?

- (a) Yes [  ]
- (b) No [  ]

56. If yes, which of the following indicates the nature of your records disposition programme? (Please tick all the applicable options)

- (a) Transfer to archives [  ]
- (b) Physical destruction of records [  ]
- (c) Conversion to another medium [  ]
- (d) Other, please specify.....

57. Do you destroy records which have been appraised and earmarked for destruction?

- (a) Yes [  ]
- (b) No [  ]

58. Which of the following methods do you use for the destruction of confidential records? (Please tick all the applicable options)

- (a) Shredding [  ]
- (b) Chemical destruction (maceration) [  ]

- (c) pulping [ ]
- (d) burning [ ]
- (e) Other, please specify.....

59. Which of the following instruments guide records disposition in your trade union? (Please tick all the applicable options)

- (a) Retention schedules [ ]
- (b) Trade union administrative procedures [ ]
- (c) National Archives and Record Services Act [ ]
- (d) Other, please specify.....

**Section 13: Storage of records**

60. Which of the following do you mainly use to store current records? (Please tick all the applicable options)

- (a) Wooden racks [ ]
- (b) Steel cabinets [ ]
- (c) Cupboards [ ]
- (d) Adjustable shelves [ ]
- (e) Non adjustable shelves [ ]
- (f) Floor [ ]
- (g) Other, please specify.....

61. Which of the following explains where semi-current records are kept? (Please tick all the applicable options)

- (a) In the shelves with current records [ ]
- (b) In a separate room designed for such use [ ]
- (c) In a separate room not designed for such use [ ]
- (d) On the floors [ ]
- (e) Other, please specify.....

62. Where do you keep your non-current records? (Please tick all the applicable options)

- (a) In a separate room designed for that purpose [ ]
- (b) In a separate room not designed for that purpose [ ]
- (c) On the shelves together with current and semi-current records [ ]
- (d) On the shelves together with semi-current records [ ]
- (e) Other, please specify.....

63. Does the equipment used sufficiently cater for records storage?

- (a) Yes [ ]
- (b) No [ ]

64. If no, which of the following problems do you face in storing records? (Please tick all the applicable options)

- (a) Torn and dusty files [ ]
- (b) Unauthorised access [ ]
- (c) Loss of files [ ]
- (d) Loss of file folios [ ]
- (e) Torn file covers [ ]
- (f) Other, please specify.....

65. Is there any problem of space for storing records?  
 (a) Yes [ ]  
 (b) No [ ]
66. Do you monitor temperature and relative humidity in the record storage area?  
 (a) Yes [ ]  
 (b) No [ ]
67. Which of the following do you use to control temperature and relative humidity in the record storage area?(Please tick all the applicable options)  
 (a) None [ ]  
 (b) Fans to ensure good air circulation [ ]  
 (c) Use of dehydrating agents [ ]  
 (d) Use of dehumidifiers [ ]  
 (e) Air conditioning [ ]  
 (f) Other, please specify.....
68. Which of the following do you use to control light in the record storage area? (Please tick all the applicable options)  
 (a) None [ ]  
 (b) Providing windows with blinds and curtains [ ]  
 (c) Use of incandescent lights [ ]  
 (d) Fitting fluorescent light tubes with light diffusers and filters [ ]  
 (e) Other, please specify.....
69. Which of the following pests have you experienced in the record storage area? (Please tick all the applicable options)  
 (a) Termites [ ]  
 (b) Booklice [ ]  
 (c) Bookworms [ ]  
 (d) Rats [ ]  
 (e) Mice [ ]  
 (f) Cockroaches [ ]  
 (g) Other, please specify.....
70. Which of the following do you use to control pest infestations in the record storage area?(Please tick all the applicable options)  
 (a) None [ ]  
 (b) Thorough vacuuming of the record storage area [ ]  
 (c) Removing debris regularly [ ]  
 (d) Regular inspection of the record storage area [ ]  
 (e) Use of insect repellent chemicals [ ]  
 (f) Use of fumigation [ ]  
 (g) Use of pesticides [ ]  
 (h) Use of traps [ ]  
 (i) Sealing all cracks within the record storage area [ ]  
 (j) Other, please specify.....



**Section14: Staffing and training**

71. Have you received education and training in records management in your trade union?  
(a) Yes [ ]  
(b) No [ ]
72. If YES, which of the following choices indicates the highest level of records/information management professional education/training received by any personnel in your trade union?  
(a) Advanced diploma [ ]  
(b) Diploma [ ]  
(c) Certificate [ ]  
(d) None [ ]  
(e) Other, please specify.....
73. Which of the following best indicates your training needs in records management in your trade Union? (Please tick all the applicable options)  
(a) Managing paper records during their entire life cycle [ ]  
(b) Managing electronic records during their entire life cycle [ ]  
(c) Computer applications in records management [ ]  
(d) Changing role of record management [ ]  
(e) Other, please specify.....
74. Which of the following would be useful in meeting your training needs in records management in your trade union? (Please tick all the applicable options)  
(a) Seminars and workshops [ ]  
(b) Internships [ ]  
(c) Use of consultants [ ]  
(d) Training in records/archives schools and colleges [ ]  
(e) On the job training [ ]  
(f) Other, please specify.....

**Section 15: Vital records management and disaster management**

75. Which of the following indicates the need for a vital records programme in your trade union? (Please tick all the applicable options)  
(a) Identify potential hazards [ ]  
(b) Identify vital records [ ]  
(c) Develop records protection measures [ ]  
(d) Develop appropriate vital records storage facilities [ ]  
(e) Assign responsibility [ ]  
(f) Audit and test programme procedures [ ]  
(g) Other, please specify.....
76. Which of the following criteria do you use to evaluate potential hazards in your trade union? (Please tick all the applicable options)  
(a) No such programme exists  
(b) Environmental [ ]  
(c) Vulnerability of records [ ]  
(d) Unpopularity of records [ ]  
(e) Sensitivity of records [ ]  
(f) Other, please specify.....

77. Which of the following indicates the disasters that are likely to affect your records in your Union? (Please tick all the applicable options)

- (a) Pest infestation [ ]
- (b) Leaking roof [ ]
- (c) Floods [ ]
- (d) Unauthorised intrusion [ ]
- (e) Food and drink in record storage area [ ]
- (f) Computer system failure [ ]
- (g) Explosions [ ]
- (h) Bomb threats [ ]
- (i) Sabotage [ ]
- (j) Other, please specify.....

78. Which of the following methods do you use for vital records protection in your trade union? (Please tick all the applicable options)

- (a) Offsite storage [ ]
- (b) Duplication [ ]
- (c) Microfilming [ ]
- (d) Digitisation [ ]
- (e) Other, please specify.....

79. Which of the following explains the need for a disaster management plan in your trade union? (Please tick all the applicable options)

- (a) Minimize disruption of normal business [ ]
- (b) Prevent further escalation of the disruption [ ]
- (c) Minimize economic impact of the disaster [ ]
- (d) train personnel with emergence procedures [ ]
- (e) Salvage records [ ]
- (f) Other, please specify.....

80. Which of the following types of fire detection systems do you have in the record storage area? (Please tick all the applicable options)

- (a) Ionization detectors [ ]
- (b) smoke detectors [ ]
- (c) flame detectors [ ]
- (d) thermal detectors [ ]
- (e) Other, please specify.....

### **Section 16: Mail/correspondence management**

81. Which of the following activities constitute your mail management programme in your trade union? (Please tick all the applicable options)

- (a) Receiving mail [ ]
- (b) Sorting of mail [ ]
- (c) Opening mail [ ]
- (d) Classifying mail [ ]
- (e) Filing mail [ ]
- (f) Delivery of mail to action officers [ ]
- (g) Control of mail movement [ ]
- (h) Security grading of mail [ ]
- (i) Other, please specify.....

82. Which of the following actions do you take when opening incoming mail in your trade union?  
(Please tick all the applicable options)
- (a) Check address on envelope [  ]
  - (b) Date-stamping [  ]
  - (c) Extract mail [  ]
  - (d) Account for all enclosures (if attached) [  ]
  - (e) Other, please specify.....
83. Which of the following indicates the need for recording received main in an in-house mail in your Union?  
(Please tick all the applicable options)
- (a) Mail register in your trade union [  ]
  - (b) Provide evidence of received mail [  ]
  - (c) Discourage dishonest staff from removing or destroying mail [  ]
  - (d) Attend to complaints of delay due to lack of action [  ]
  - (e) Trace letters whose subject is not stated [  ]
  - (f) Trace wrongly filled mail [  ]
  - (g) Other, please specify.....
84. Which of the following information is recorded in the inward mail register in your trade union?  
Please tick the applicable options)
- (a) Senders name [  ]
  - (b) Senders address [  ]
  - (c) Senders designation [  ]
  - (d) Mail subject [  ]
  - (e) Mail reference number [  ]
  - (f) File reference on which mail is filled [  ]
  - (g) Other, please specify.....
85. Do you have procedures for circulating mail to action officers in your trade union?
- (a) Yes [  ]
  - (b) No [  ]
86. If yes, which of the following indicates the reasons for mail circulation to action officers in your Trade Union? (Please tick all the applicable options)
- (a) Have immediate knowledge of mail received [  ]
  - (b) When action officer requests to see mail [  ]
  - (c) When requested as a "bring up action" [  ]
  - (d) Give instructions on necessary action [  ]
  - (e) Other, please specify.....
87. Which of the following tools you use to control the movement of mail in your trade union?  
(Please tick all the applicable options)
- (a) No tool are used in the circulation of mail [  ]
  - (b) File movement card [  ]
  - (c) Systematic searches [  ]
  - (d) Daily list of wanted files [  ]
  - (e) Other, please specify.....
88. Which of the following indicates the security classification of mail in your union office? (Please tick all the applicable options)
- (a) None [  ]
  - (b) Top secret [  ]
  - (c) Secret [  ]
  - (d) Confidential [  ]
  - (e) Restricted [  ]

- (f) Open [ ]
- (g) Other, please specify.....

89. Which of the following indicates the need for security classification of mail in your trade union?

(Please tick all the applicable options)

- (a) Protect confidential information [ ]
- (b) Protect loss of information [ ]
- (c) Protect the interests of your ministry [ ]
- (d) Other, please specify.....

90. Do you have procedures for managing outgoing mail in your trade union?

- (a) Yes [ ]
- (b) No [ ]

91. If YES, which of the following indicates the actions taken on outgoing mail in your trade union?

(Please tick all the applicable options)

- (a) Mail signed by action officers [ ]
- (b) Mail are date stamped [ ]
- (c) Correct reference number indicated [ ]
- (d) Subject clearly indicated [ ]
- (e) Correct address indicated [ ]
- (f) Postal expenses entered in the postal register [ ]
- (g) Mail entered in the dispatch book [ ]
- (h) Copy of mail filled [ ]
- (i) Other, please specify.....

92. Do you enter mail in the outgoing mail register in your trade union?

- (a) Yes [ ]
- (b) No [ ]

93. If YES, which of the following information is recorded in the out-going mail register in your trade union?

(Please tick all the applicable options)

- (a) Date of letter [ ]
- (b) File reference number [ ]
- (c) Subject [ ]
- (d) To whom letter is sent [ ]
- (e) Other, please specify .....

**Section 17: E-records management in labour organisations**

94. Indicate which systems/application are used that generate e-records in your trade union?

.....

.....

95. What system of filing or organisation of e-records do you use for easy retrieval in your trade union?

.....

.....

96. How do you deal with issues of reliability and authenticity (as evidence) of e-records in your trade union?

.....

.....

97. How do you handle the retention and disposal of the official e-mails (are they ever deleted, and who authorizes this)?

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

98. Do you have any back-up strategies for the management of e-records your trade union?

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

99. Do you have any or do you plan to have any digitization programme in your trade unions?

.....  
.....

100. How do you deal with the legacy (historical) systems of e-records in your trade union?

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

101. Is there any training provided to anyone for the management of electronic records in your trade unions?

.....  
.....

102. What are the challenges of managing electronic records?

- |     |   |     |
|-----|---|-----|
| (a) | Inadequate staff with expertise in managing records                 | [ ] |
| (b) | Inadequate funding to purchase enough computers and its accessories | [ ] |
| (c) | Lack of relevant training   | [ ] |
| (d) | Poor communication between users and IT officers                    | [ ] |
| (e) | Security  |     |
| (f) | Technology obsolescence   | [ ] |
| (g) | Low awareness on IT issues  | [ ] |

**E-RECORDS READINESS IN LABOUR ORGANISATION**

103. To what extent do the following constitute a state of e-records readiness in your trade Union [1 =Low; 2 = Moderately low; 3 = Somewhat low; 4 = Moderately high 5 = High

SN	E-records readiness indicator (s)	Extent of e-records readiness				
		1	2	3	4	5
(a)	<p><b>Policies and Responsibilities for Records and Information Management</b></p> <p>Does your trade union have a basic records and information management policy that establishes organisation-wide principles, guidelines and responsibilities for the creation, capture, management and preservation of records?</p>					
(b)	<p><b>Tools and Procedures for Records and Information Management</b></p> <p>i. Do staff members manage digital records and information on their individual computer workstations?</p> <p>ii. Are there any central systems (central file directories, storage management systems, o</p>					
	<p>iii. r electronic document management systems) for filing, storage or classification?</p> <p>iv. Are digital records difficult to access due the lack of proper classification, metadata or effective search technology?</p> <p>v. Are security measures and access protocols not adequate to protect the records?</p>					
(c)	<p><b>E-Records Management Products and Technologies</b></p> <p>i. Is there recognition of the need to integrate e-records requirements and product solutions into existing systems or into the functional requirements for future e-government systems?</p> <p>ii. When systems have been developed, purchased or implemented, has little attention been paid to the need to streamline and integrate workflow processes, file formats, metadata, storage platforms or search and retrieval mechanisms across the business function and organisational units that the system will support?</p> <p>iii. Have systems been developed, purchased or</p>					

	implemented without consideration being given to how the records created will be integrated with records created by other government systems?					
(d)	<p><b>Resources and Training for Records and Information Management Personnel</b></p> <p>Is there a designed records and information management unit within the trade union?</p>					
(e)	<p><b>Internal and Public Awareness of Records and Information Management</b></p> <p>To what extent are the members and Executive union leadership aware of the significance of a well-managed and trustworthy records play in the execution of trade union activities?</p>					

**THANK YOU FOR SPENDING TIME ANSWERING THE QUESTIONNAIRE!**

Once the questionnaire is completed, kindly send it to: **Mr. Trywell Kalusopa, University of Botswana, Faculty of Humanities, P/Bag 0022, Gaborone, Botswana.** Email: kalusopat@mopipi.ub.bw. Telephone: (+267) 71356528

# **APPENDIX 3: INTERVIEW GUIDE ON ICT INTEGRATION IN THE MANAGEMENT OF RECORDS**

(Adapted from the IRMT RM Framework and ICT Integration)

**UNIVERSITY OF SOUTH AFRICA  
SCHOOL OF ARTS  
DEPARTMENT OF INFORMATION SCIENCE  
DEVELOPING AN E-RECORDS READINESS FRAMEWORK FOR LABOUR ORGANISATIONS  
IN BOTSWANA**

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**Objectives: To ascertain the best-practice framework of the integration ICTs in the management of records in the labour organisations in Botswana.**

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1. Are there any standards and procedures for integrating records management in ICT systems in the organisation and, if not why?
2. Is there any organisation-wide records/information management strategy that includes a specific objective to integrate records management in ICT systems and, if not why?
3. Does the organisation have specific tools for auditing and evaluating records management integration in ICT systems and, if not why?
4. Are there any unique identifiers assigned to the records that will remain unchanged as long as the records exist in the ICT systems adopted in the organisation and, if not why?
5. Are there any supporting and application of security and access controls during the process of capturing records to ensure that the records are protected from unauthorised access, alteration and destruction/deletion and, if not why?
6. Do the existing ICT systems provide an easy method of checking the audit trails for changes to records and records' metadata within the system and, if not why?
7. Are there system rules which are consistent for physical, hybrid and electronic records (e.g. records are labelled or described for searching and retrieval purposes) and, if not why?
8. Are there any documented policies and procedures for assigning retention and disposition instructions to records and, if not why?
9. Are there any backup strategies capable of: providing backup for all records and the records' metadata within the ICT systems in use?
10. What is the level of knowledge and training of the staff managing ICT systems and records in the organisation?

**END OF INTERVIEW!**



# APPENDIX 4: INTERVIEW GUIDE FOR KEY STAKEHOLDERS

UNIVERSITY OF SOUTH AFRICA  
SCHOOL OF ARTS  
DEPARTMENT OF INFORMATION SCIENCE

DEVELOPING AN E-RECORDS READINESS FRAMEWORK FOR LABOUR ORGANISATIONS  
IN BOTSWANA

## INTERVIEW GUIDE

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**The objective of the interview is to assess national strategies in the integration of labour organisations in the information society in Botswana**

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1. To what extent does the current ICT policy and legislative framework attempt to integrate the development of ICT initiatives in all sectors of the economy including labour organisations?

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2. To what extent is the use of ICTs in government agencies able to support processes delivery of quality public services to labour organisations?

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3. What are the factors that are likely to restrict adoption of access to ICTs in non-governmental organisations such as labour organisations?

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4. What efforts can be put in place to integrate labour organisation in the drive for an information society in Botswana?

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5. Are there any ICT training programmes available for labour organisations for competences and capacity building in order to enhance social dialogue?

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6. Are there any collaborative training projects with non-governmental organisations such as labour organisation?

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7. What would you say about the role of National Archives & Records Services in integrating all sectors including the labour organisations in the e-government strategy in Botswana?

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**END OF INTERVIEW!**

Thank you for taking time from your busy schedule to grant me the interview.

# APPENDIX 5: OBSERVATION CHECKLIST

UNIVERSITY OF SOUTH AFRICA  
SCHOOL OF ARTS  
DEPARTMENT OF INFORMATION SCIENCE

DEVELOPING AN E-RECORDS READINESS FRAMEWORK FOR LABOUR  
ORGANISATIONS IN BOTSWANA

RECORDS MANAGEMENT PRACTICES & E-RECORDS MANAGEMENT IN LABOUR  
ORGANISATIONS IN BOTSWANA

NAME OF LABOUR ORGANISATION.....  
ADDRESS.....  
TELEPHONE.....  
EMAIL.....  
DATE OF OBSERVATION.....

SN	Items to Observed	Indicators	Observation Responses	
			YES	NO
1.	<b>RECORDS ENVIRONMENT/PRESERVATION</b>	Temperature control Humidity control Cleanliness, dust, pests		
2.	<b>ORGANISATION OF PAPER RECORDS</b>	Filing, indexing, physical organisation		
3.	<b>STORAGE OF PAPER RECORDS</b>	Storage media, storage space, equipment, layout and design		
4.	<b>ACCESS &amp; USE OF PAPER RECORDS</b>	Retrieval tools (Indexes) Classification schemes		
5.	<b>APPRAISAL &amp; RETENTION SCHEDULES OF PAPER RECORDS</b>	Presence of retention schedules, records earmarked for disposal, records disposal certificates.		
6.	<b>SECURITY OF PAPER RECORDS</b>	Locks in the storage area, lockable drawers Broken windows		
7.	<b>E-RECORDS</b>	Type of records, Storage media, software applications, organisation (by cause, type, content), access & criteria for searchability, retention, disposal back-up, audit trails, firewalls, antivirus, disaster preparedness		
8.	<b>ICT INFRASTRUCTURE FOR E-RECORDS</b>	ICT resources, software, networking, etc		

## APPENDIX 6: LIST OF REGISTERED TRADE UNIONS IN BOTSWANA

<b>TRADE UNIONS IN BOTSWANA</b>	
1	Air Botswana Employees Union
2	Barclays Management Staff Union
3	BCL Citizen Senior Staff Union
4	Botswana Agricultural Marketing Board Workers Union
5	Botswana Bank Employees Union
6	Botswana Beverages and Allied Workers Union
7	Botswana Bureau of Standards Staff Union
8	Botswana College of Agriculture Staff Union
9	Botswana Commercial and General Workers Union
10	Botswana Construction and Wood Workers Union
11	Botswana Diamond Sorters Valuers Union
12	Botswana Energy Workers Union
13	Botswana Federation of Trade Unions
14	Botswana Government Workers Union
15	Botswana Hotel and Tourism Workers Union
16	Botswana Housing Corporation Staff Union
17	Botswana Land Boards and Local Authorities Workers Union
18	Botswana Manufacturing and Packaging Workers Union
19	Botswana Meat Industries Workers Union
20	Botswana Media Workers Union
21	Botswana Mining Workers Union
22	Botswana Postal Services Workers Union
23	Botswana Power Corporation Middle Management Staff Union
24	Botswana Power Corporation Workers Union
25	Botswana Primary Teachers Union
26	Botswana Private Medical and Health Services Union
27	Botswana Public Employees Union
28	Botswana Railway Train Crew Union
29	Botswana Railways Amalgamated Union
30	Botswana Savings Bank Employees Union
31	Botswana Secondary School Teachers Union
32	Botswana Security Services Workers Union
33	Botswana Teachers Union
34	Botswana Telecommunication Employees Union
35	Botswana Textile, Manufacturing and Packaging Workers Union
36	Botswana Unified Revenue Service Employees Union
37	Botswana Vaccine Institute Union
38	Botswana Wholesale Furniture and Retail Workers Union
39	Central Bank Union
40	Citizen Entrepreneurial Development Agency Workers Union

41	Institute of Development Management Botswana Workers Union
42	Maranyane Staff Union
43	National Amalg. Local & Central Govt. & Parastatal Workers Union
44	National Development Bank Employees Union
45	National Mining and Allied Workers Union
46	Non-Academic Staff Union
47	Rural Industries Promotions Workers Union
48	Standard Chartered Bank Citizen Managers Union
49	Trainers and Allied Workers Union
50	University of Botswana Academic and Senior Support Staff Union

## APPENDIX 7: LETTER GRANTING PERMISSION TO CONDUCT RESEARCH



Block 8, Government Enclave, Khama Crescent  
Private Bag 002, Gaborone, Botswana  
Tel: (+267) 361 1100 E-mail: mlha-pro@lists.gov.bw  
Fax: (+267) 390 7426 Website: www.mlha.gov.bw



REF: CHA 1/17/2 XVIII (6)

1<sup>st</sup> November 2010

Mr. Trywell Kalusopa  
University of Botswana  
Private Bag 0022  
Gaborone

Dear Sir

### GRANT OF A RESEARCH PERMIT: MR. TRYWELL KALUSOPA

Please refer to your application for research permit dated 12 July 2010.

You are hereby granted permission to carry out research entitled "**DEVELOPING AN E-RECORDS READINESS FRAMEWORK FOR LABOUR ORGANIZATIONS IN BOTSWANA**" Permission is granted subject to the following conditions:-

1. Copies of any report/video produced are deposited with the Director of Research and Development office of the University of Botswana, Botswana National Library Service, Botswana National Archives and Records Services, and Ministry of Labour and Home Affairs.
2. The Permit does give authority to enter any premises, private establishment or protected area. Permission for such entry should negotiated with those concerned.
3. The permit is valid for a period beginning **3<sup>rd</sup> November 2010** to **31<sup>st</sup> March 2011**.
4. You shall conduct the study according to the particulars furnished in the application form.
5. Failure to comply with any of the above - stipulated conditions will result in the immediate cancellation of the permit.

1

You are also requested to submit a copy of the report to the Ministry of Labour and Home Affairs.

Thank you.

Yours faithfully



S. Sithole  
for/ **PERMANENT SECRETARY**