Integrating Records Management into Open Government Initiatives in Botswana

BY

Nna Yves Caesar Motlhasedi

Student number: 58554122

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CO-PROMOTER: Prof. M. Ngoepe

ABSTRACT

Open government relies heavily on reliable records to uphold service delivery and access to information. Without proper records management of business transactions and activities of an organization, the primary objective of openness becomes obscured and difficult to achieve. Within the digital space and environment, establishing good record-keeping procedures is challenging to both paper and e-records, because of a scarcity of clarity in the processes and measures in place, as well as as a result of lack of suitable ICT infrastructure plus skilled human resources to help facilitate good e-records management. The aim of this research was to provide a structure for the integration of records into open government initiatives in Botswana with the aim of assisting access to information and service delivery, and a subsequent transparent, accountable and open government. This is a mixed research study framed within the interpretivism epistemological inquiry model, and used Open Government Implementation Model and Action research being a theoretical lense in this study. Document analysis was used to gather information, complemented by interviews and questionnaires with participants and respondents alike purposively selected from the Ministry of Local Government and Rural Development (MLGRD).

According to the findings, the legislative as well as regulatory frameworks in order to manage both paper and e-records were available in Botswana although inadequate. Similarly, the research showed that legislation that gives the citizens access to information and subsequently make compulsory for organizations to avail information upon request is absent. Furthermore, it was established through the study findings that information management practitioners are particularly are ill equipped and inexperienced to manage paper and electronic records. Due to the inavailability of ICT infrastructure to help facilitate both paper and e-records management was noted. In addition, open government initiatives were identified as producing e- records, but there were no defined protocols to help aid in their management. Therefore, this weakness can be addressed by integrating records management into open government initiatives, and be able to utilize suitably identified Enterprise Content Management (ECM) or Electronic Document and Records Management System (EDRMS). Currently, open government remains ensured

through the reliance of only open government initiatives, without leveraging on good records management.

This project study suggests a structure to integrate records management into open government initiatives anchored on legislation and regulatory frameworks with the confidence that its employment would support better information and service accessibility by the citizens. Finally, because of poor records management and a lack of legislation that encourage access to information, there will be continued reliance on the discretion of records professionals by the citizens to have information access. Similarly, without proper records management procedures, Information Communication Technologies (ICTs) will remain underutilized. Thus, it is a recommendation that MLGRD should develop proper records management procedures to guide and improve on the management of records. A further study to establish the level of e-readiness of the Botswana government to fully automate and guarantee the success of open government is recommended.

Key words: Records Management, E-records Management, Open Government, Open Government Implementation Model, Action research, Freedom of Information Law, Access to Information Legislation, Right to Access Information Legislation.

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Gotsileene Yulette Motlhasedi for all their family support and prayers and strength during this journey.

Last but not least, I express my deep gratitude to the Almighty Lord for the wisdom, guidance and companionship throughout this doctoral journey. As it is written in;

Isaiah 41:10, "Fear not, for I am with you; be not dismayed, for I am your God; I will strengthen you, I will help you, I will uphold you with my righteous right hand."

Proverbs 3:5-6,
"Trust in the Lord with all your heart, and do not lean on your own understanding. In all your ways acknowledge him, and he will make straight your paths."

DEDICATION

This work is dedicates to my parents whom were both educators, my mother Manana Irene Motlhasedi and my beloved late father Gabriel Caesar Motlhasedi. **May your soul continue to rest in eternal peace.** Also, this thesis is dedicated to my lovely wife Olebogeng Motlhasedi, and my daughter Selemo Motlhasedi.

"There are no secrets to success. It is the results of preparation, hard work, and learning from failure."

- Colin Powell

"I know the price of success: dedication, hard work and an unremitting devotion to the things you want to see happen."

- Frank Lloyd Wright

To my wife and daughter, I pray and hope that this thesis can be the foundation and springboard to your inspiration to setting out to achieve far greater things in life, with the knowledge that, in order to become successful, one needs to work hard for all that which they aspire to have.

DECLARATION

Student Number: 58554122

I declare that this thesis on **"Integrating Records Management into Open Government Initiatives in Botswana**" Is my own effort, and therefore all sources which I have included or quoted have been confirmed and acknowledged with full references. As a consequence, I take full responsibility for any inaccuracies, discrepancies, or interpretations of data provided in this work.

22 October 2020

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SIGNATURE   DATE

Nna Y.C. Motlhasedi

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LIST OF ABBREVIATIONS AND ACRONYMS

BIDPA   Botswana Institute for Development and Policy Analysis

BIH   Botswana Innovation Hub

BNARS   Botswana National Archives & Records Services

DIT   Department of Information Technology

DPSM   Directorate of Public Service Management

EDRMS: Electronic Document and Records Management System

ECM: Enterprise Content Management

ECT: Electronic Communications and Transactions Act

ESARBICA   East & Southern Africa Regional Branch of the International Council on
            Archives

FOI   Freedom of Information

G2G   Government-to-Government

G2C   Government-to-Citizen

G2B   Government-to-Business

HOD   Head of Department

HOU   Heads of Units

HR   Human Resources

ICA   International Council on Archives

ICT   Information Communication Technology

IT   Information Technology

ILO   International Labour Organisation

IRMT   International Records Management Trust

ISO   International Organisation for Standardisation

MLGRD: Ministry of Local Government and Rural Development

MMR   Mixed Methods Research

NARA   National Archives Record Administration, US

NARSA   National Archives and Records Service (South Africa)

OGIM   Open Government Implementation Model

OGMM   Open Government Maturity Model

POPIA   Protection of Personal Information Act

RMU   Records Management Unit

RTAI   Right to Access Information law

SADC   Southern African Development Community

SLMS   Student Loan Management System

TLIMS   Tribal Land Information Management System

TNA   National Archives (UK)

UB   University of Botswana

UK   United Kingdom

UNISA   University of South Africa

US   United States of America

VERS   Victorian Electronic Records Strategy (Australia)

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CHAPTER ONE

1.1 INTRODUCTION

This study seeks to understand how integrating records management into open government initiatives may improve information access to the nationals and residents of Botswana. Furthermore, this study will assess the degree to which records management has been incorporated into open government initiatives that are e-government based and determine if there are sufficient regulatory and legislative frameworks to support the full acceptance and application of the several propagated open government initiatives in Botswana. An open government serves as a base for transparency, accountability as well as freedom of information by those in office (Sebina 2006). Good records management practices enable government agencies to provide residents with access to records leading to open government (Australian Government 2016). Sebina (2006) further reiterates that through freedom of information, governments are expected to create and sustain records in a tone that allows for its impartation and satisfy citizens' access to information demands. The government of Botswana identified key strategic areas that may assist in improving service delivery and the flow of information between residents and government officials in the public sector, and subsequently enhance easy access to resources. Accordingly, the government promulgated and implemented open government initiatives. Thus, it is imperative for progressiveness that this study establishes and identifies ways in which records management can be integrated into open government initiatives to ensure the availability of valid, reliable and authentic records.

For government officials to account for actions they take while in office and to allow citizens to access information easily, the Botswana government introduced various open government initiatives that are intended for fostering the provision of services, transparency plus accountability. These initiatives, designed to enhance and optimize access to information by the government, include but are not limited to, the Connecting Communities Programme, Government On-Line and Thuto.net. These initiatives connect rural communities with affordable and accessible internet services, offer a government

online portal with information and services provided via the internet, and incorporate school connectivity in an effort for secondary schools to be connected to the internet.

Shepherd and Yeo (2006:6) observe that "there are three key values which can be met by good records. First organizations use records in the conduct of current business, to enable decisions to be made and actions taken. Secondly, organizations use records to support accountability, when they need to prove that they have met their obligations or complied with the best practice or established policies. Thirdly, records may also be used for cultural purposes, such as research, promoting awareness and understanding of the history of the organization." Records are an important apparatus of sound business judgement and capable management. They provide data for preparation and decision-making, as well as proof of government transparency, and are often subject to legal requirements. Records keep track of what is done and why it is done in government departments. They serve as proof of communications, decisions, and engagements. (Australian Government 2016).

As more and more records are produced in high volumes, it is important to have structures in place that support sound records management for accountability and transparency. Good records management practices are important as they provide a platform for availing reliable and accurate information upon request, enabling open government. Palmer (2000) opines that records management regulations ensure that records information is captured in a system and is accessible when needed. Efficiently managed documentary proof, or records, is the foundation for establishing and evaluating legislation, upholding the rule of law, handling finances and staff, and safeguarding human rights. A good records-keeping system cannot be overly emphasized since records are fundamental in providing corporate memory that is a source of evidence on previous business operations.

Due to the advent of technology, a great number of official correspondences are now executed electronically. As mentioned by Kalusopa (2011), many organizations' methods of generating, storing, disseminating, and using information have changed as a result of information and communication technologies (ICTs). Organizations all over the world are increasingly using various ICT channels to perform their business functions and as a

result, quite a significant number of records are being generated electronically. Good records management practices afford organizations and governments the opportunity to provide evidence of transactions that take place and avail the information required to deliver services to the citizens. Ngulube (2010) observes that through properly managed and accessible government records to the public, belief, transparency, and better service quality can all be achieved. However, insufficient legislative frameworks, the absence of trained personnel and a non-existent appreciation for records management are some of the limitations to good records management and open government. According to a report by Keorapetse and Keakopa (2012), records management was amongst the most difficult professions to sell and was mostly undeveloped in Africa, with registries holding a low status in government structures and being managed by untrained personnel.

Over time, democratic countries have recognized the importance of managing records including the role it plays in upholding essential underpinnings of a thriving democracy. Therefore, a provision made by the government of services to its nationals and their operations needs to be well documented for future decision-making references and to inform its citizens on what transpired. Although Botswana is a modern democracy and promotes open government, it has not passed a law on freedom of information, has a statute of secrecy and does not have legislation on access to information either. According to Moatshe (2014), since the development of the National Maitlamo ICT policy in 2007, the government of Botswana has introduced e-government programmes with most ministries having websites, and a central government online portal used to give information to the public. While the government of Botswana has introduced e-government programmes to enhance open government, the absence of legislation for information access and freedom of information limits the public's ability to scrutinize government actions and decisions and binds efforts of warranting information access. Although the two are closely linked, they are distinct in that Dunu and Ugbo (2014:4) explain freedom of information legislation to be "an Act that makes public records and information more freely available, provides for public access to public records and information, protect public records and information to the extent consistent with the public interest."

Freedom of information legislation, according to Bamgbose and Etim (2015), is a "Right to Access" or "Right to Know", or it could be referred to as legislation that offers access to public records or information by all categories of persons such that when the release of such information is needlessly withheld, the applicant can have recourse in litigation. Bamgbose and Etim (2015) further explain access to information legislation as a piece of legislation that limits the release of information to persons who request the information. The law provides that public institutions should proactively disclose information without it being requested and where such information has not been published, it should be released upon request, except if it could be proven that the information is on the prohibited list. It can be deduced from the two laws that with freedom of information Act, to access information and public records without any formal requests made by the public is supported and enabled to make the information freely available; while the latter seeks to ensure the availability of information to those who try to find it. Some information may still be withheld based on the premise that with access to information legislation, some information may be withheld and access proscribed.

Sebina (2006) argues that without freedom of information legislation, access to information is limited and not a guarantee for the public to scrutinize government operations and decision-making processes. For that reason, Millar (2003:1) contends that,

> The passage of access to information legislation in a country is often seen as a signal of a shift away from a culture of secrecy and concealment toward a culture of openness and transparency.

Exponential growth in technology globally has seen many companies and corporations adopt the use of technology on many business operations, resulting in the conception and receipt of electronic records as a means of communication. Therefore, the evolution of ICTs has been compared to the evolution of electronic records management. It is the electronic application of records management principles. The preparing, managing, directing, coordinating, training, promoting, and other administrative activities related to the development, maintenance, use, and disposal of records using ICTs to achieve sufficient and proper recording of an organization's policies and transactions, and also

efficient and cost-effective control of department activities (Dearstyne 2002; Wamukoya & Mutula 2005).Open government efforts are made to empower citizens to obtain access to information, documents, proceedings, and significant active participation in government undertakings (Lathrop & Ruma 2010). Due to the ability to access electronic records remotely and by many people at the same time, it is imperative to consider them as enablers and key features to open government.

The open government initiatives implemented by the government of Botswana that are examined in this thesis are; the Connecting Communities Programme, Botswana Innovation Hub (BIH), Kitsong Centres, Thuto Net and the Government On-Line initiative. These initiatives are focused on promoting open government by providing information access, and with sound records management practices, information will be accurate also readily available. These initiatives are largely ICT based as the government identified the use of technology as an approach that could best give widespread access to those seeking information and those disseminating it. However, for this research, the researcher specifically focused on all open government Initiatives to be studied because it is through these initiatives that government pushes for citizens and residents to have information and services at the click of a button in an online environment, and to fully determine strides made by the government and develop a framework that can be adopted to enhance open government even further.

Therefore, the researcher attempted to identify if there was a need for social change through the findings of this study because, as outlined by Baker (1999), an action research theory's purpose is both to engage the subjects being studied as participants and to lead to pragmatic outcomes. The aim of an action research project is to not only comprehend the problem, but also to elicit change. (Hearn & Foth 2005). As a result, this study identified the best possible solutions to managing both paper and e-records that would encourage access to information and developed a framework that supports policies and legislature which uphold open access to information by the government through in particular good paper and e-records management. Also, Action research was applied throughout, assessing whether the current records management practices required changes, and identified if open government initiatives and any areas of the law required

improvements to enable the implementation of an open government through sound records management. The researcher was also guided by the Open Government Implementation Model (OGIM) which emphasized open involvement of the public on issues relating to government operations and leading to improved citizen-government collaboration.

1.2   DEFINITION OF KEY TERMS

According to Creswell (2013), definition of terms is done to permit those who are not experts in or acquainted with the field of study to understand concepts and jargon found within a dissertation or thesis, as it goes beyond common language. Definitions of terms are vital for those who are unfamiliar with the subject matter as well as those who are knowledgeable in the field of study because in research it limits confusion and enhance understanding (Yusuf & Chell 2005). Accordingly, this section identifies and defines key terms pertaining to the study. These include: record, e-record, records management, e-records management, open government, freedom of information and access to information.

1.2.1 Record and e-record

Definitions of what a record is are underpinned upon a common consensus within the field of records management as documented information that ultimately provides evidence of transactions that took place between entities. This is reinforced by the Australian National Audit Office (2003) which explains that records are described as information created, obtained, and retained as evidence and information by an agency or individual in the course of fulfilling legal obligations while conducting business. Furthermore, the international standard ISO 15489-1: (2016:2) delineates a record as "information created, received and maintained as evidence and as an asset by an organization or person, in pursuit of legal obligations or in the transaction of business" Likewise, Franks (2013:31) elucidates that a Record is "recorded knowledge, regardless of medium or attributes, created or obtained by an entity in the course of fulfilling legal requirements or performing work"

An exponential growth of technological adoption and use has contributed over the years to an exponential growth when it comes to the production of electronic records (e-records). Comparable literature expounds on what a record is and identifies digital records as those that are either created, received on machine-readable technology. According to IRMT (2009: 22), an electronic record "is a record that can be manipulated, transmitted or processed by a computer. It is written on a magnetic or optical medium (including magnetic tapes, cassettes, CD-ROMs, hard disks and diskettes), recorded in binary code, accessed using computer software and hardware, and easily manipulated." As reported by the Victorian Electronic Records Strategy (2002) cited by Kemoni (2009:191), "electronic records are evidence of organizational activities and are generally computerized versions of traditional paper records." The State of Florida Electronic Records and Records Management Practices (2010:4) describes an electronic record "as any recorded machine readable numeric, graphic, audio, video, and textual information which is transmitted in analog or digital form; such as electronic spreadsheets, word processing files, databases, electronic mail, instant messages, scanned images, digital photographs, and multimedia files."

For the purpose of this study, the word 'records' refers to "any paper, books, photographs, magnetic tapes, machine readable materials, microfilm, or other materials which document official actions, decisions, policies or procedures taken by an individual or organization" (Taiwo 2019:22); thus, in the context of this research, an e-record is explained as "the recorded information, documents or data that provide evidence of policies, transaction and activities carried out in an electronic environment" (Taiwo 2019:23).

1.2.2 Records management and e-records management

As reported by IRMT (1999:14), records management is that "area of general administrative management concerned with achieving economy and efficiency in the creation, maintenance, use and disposal of the records of an organization throughout their entire life cycle and in making the information they contain available in support of the business of that organization."

ISO 15589-1: (2016:3) explains records management to be the "structured management of record production, acquisition, preservation, usage, and disposition, as well as procedures for collecting and storing evidence of and documentation about company dealings in the form of records." These are the processes that are put into practice in looking after records that guarantee that records are authentic, reliable plus precise holders of information; thus allowing for those in office to be held responsible for their actions taken. Cunningham and Phillips (2005) state that the National Archives of Australia encourages sound recordkeeping so that citizens can evaluate the successes or failures of government for the benefit of accountability and for the interests of the community. Records and good records management are a cornerstone for accountability; records play a central role in fighting corruption, assuring transparency, accountability and good governance (Keorapetse & Keakopa 2012; Palmer 2000).

The ICTs revolution that the world is gripped in has promoted the creation of e-records by companies to execute daily business commitments that require a suitable approach to managing them. E-records management is the scientific and systematic control of electronic records (e-records) throughout their life cycle and reflecting it through controlling, capturing, organizing, maintaining and use, and disposing of e-records using ICTs (Wamukoya & Mutula 2005; Nengomasha 2009). In the context of this study, records management is defined as "field of management responsible for the efficient systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records" (ISO 15489-1: 2016:3) and e-records management is describes as the efficient and systematic control of the formation, receipt, maintenance, use, and disposal of records, as well as the process of collecting and preserving proof of information about business activities and transactions in the digital format (Roper & Millar 1999).

1.2.3 Open government

An open government index (2015) report defines an open government, as usually understood, to be a government that is open, available, reactive, and participatory, and a

necessary component of a government system anchored on the rule of law. An open government allows citizens to access information, equips them with resources to keep the government accountable, and encourages citizens' involvement in public policy discussions. According to Mutula and Kalaote (2010), there are public sector reforms occuring in governments globally to improve the provision of services. And thus e-government is one example of such a transition, which is aimed at allowing government to serve its programs and services more competently and to upsurge the involvement of residents. The advent of technology has brought with it many changes in the overall management of information. As many governments have espoused the use of ICTs to conduct their everyday business, it is imperative for them to adopt new ways of collecting, processing, storing and disseminating information, thus enabling open government. Records that are created through e-government platforms are therefore electronic records and should be managed appropriately in relation to the best e-records management practices to guarantee that they warrant access and are available when requested. Mnjama and Wamukoya (2006:274) posit that, "whether a government is ready for e-records, it must examine, among many things, the legal and regulatory framework, the physical infrastructure, procedures for collecting, processing, storing and disseminating e-records, the staffing and training levels and issues relating to the long-term storage and accessibility of e-records."

Open government is dependent upon good records management because lack of public information fosters corruption (Palmer 2000). Conversely, open government currently means a government that empowers citizens on access to information, documents and proceedings, and actively participates significantly in government undertakings (Lathrop & Ruma 2010). The Open Government Implementation Model provides for the implementation including conceptualization of open government initiatives. This model does not have a distinct definition of what open government is, but rather a description of how open government can be achieved through its use and guidance. From what the model advocates, a definition of what open government is can be deduced from it, which is a transparent and all-inclusive government, which encourages open participation of the citizenry in daily operations of the government through collaborative efforts within both the government and the private sector through the use of ICTs.

The Centre for Technology Policy Research (2012:2) defines open government as a "commitment to ensure that all aspects of the way government and public services are administered and operated are open to effective public scrutiny and oversight." Moreover, the principle of open government is the mix of external knowledge into the political-administrative process that involves citizens and their active participation in government undertakings. Although it is not solely dependent on online interaction, the internet and other network connections have had major large-scale influences on the collaboration between citizens and public administration (Collins 2009; Hilgers 2012). For the purposes of this research, open government will be explained by the definition of the Centre for Technology Policy Research (2010:2) Centre for Technology Policy Research (2010:2) of open government that states that open government is a "commitment to ensure that all aspects of the way that government and public services are administered and operated are open to effective public scrutiny and oversight."

1.2.4 E-government

An online presence helps residents, corporations as well as government bodies to be in constant communication with one another and, most importantly, provide valuable information on the various products and services they provide. As more and more services are provided online, most governments want to have broader outreach to its constituents and citizens. According to Colesca and Dobrica (2008:205), e-government serves to provide an amalgamated platform for different users, therefore the service vary among the government's numerous customers. For instance, locals may expect to find information on local or state government contacts, social services, and educational institutions. While businesses might expect to find information on taxes, contracts, procurement, and requests for proposals. And as for visitors to the area, they might expect to find information on entertaining events, inns, cafés, and other businesses, as well as a calendar of local events. While the rest of users may be looking for work opportunities, local ordinances, and other information. Nkwe (2012:41) explains that "e-government can result in huge cost savings to governments and citizens alike, increase transparency and reduce corrupt activities in public service delivery. It can transform old challenges and

create unprecedented possibilities for sustainable economic development, just as it has done for businesses in the industrial world."

Therefore, e-government can be defined as exploiting the internet and the World Wide Web are used to provide residents with government information and services. This may also include the utilization of other information communication technologies (ICTs) besides the internet and web such as databases, discussion support and multimedia (Yildiz 2007). For purposes of this research, the researcher will adopt a definition as defined by Brown and Brudney (2001) who explain that the use of technology, especially web-based applications, to improve access to and efficiently deliver government information and services to be known as e-government. Furthermore, e-governemnt can be categorized into three general groups of Government-to-Government (G2G), Government-to-Citizen (G2C), and Government-to-Business (G2B).

1.2.5 Freedom of Information

Freedom of information is a specialized and narrow statute that allows to largely push information to the citizens, and also to be able to pull out information by the citizens and therefore be granted access to information upon request. FOI allows citizens to request for information (pull) and for the public office to grant access (push) information. And thus FOI is a subsection of access to information law. According to Zapata (2017), in order for the civil society and the governed to access public information. FOI regulations have been identified as enablers of information access pushing the government to disclose public information which has historically been inaccessible to the community through proactive means and also help citizens to pull data by reactive means (agencies may be proactive (publishing public data without a request from civil society) or reactive (releasing public data in response to a request from civil society).

The Botswanan govt developed Initiatives essentially aimed at allowing the pulling of information by its citizens in a proactive manner.However FOI expects the government to be able to push public information proactively.Thus the right to know is another key principle that encourages democracy and to some extent deters corruption in countries throughout the globe. The Botswanan newspaper *Mmegi* (22 August 2017:3) reports that with the enactment and implementation of the Freedom of Information Law, citizens Will have the right to request information from any government agency or public entity as to why things are done the way they are done, because the citizens have the right to know. Only once citizens know their rights under freedom of information (FOI) and how to actually exercise that right can the government be considered transparent and maintain good governance. Mendel and UNESCO (2008:9) outline that "the right to access information held by public authorities is a fundamental human right which should be given effect at the national level through comprehensive legislation (for example Freedom of Information Acts) based on the principle of maximum disclosure, establishing a presumption that all information is accessible subject only to a narrow system of exceptions."

In defining freedom of information, Sebina (2006) acknowledges that FOI is a right which the citizens can enjoy without fundamentally depending on other people or organisations' intervention for it to take effect. He further notes that it is not a legal right only for a specific race or religion, but it is one that every individual has without any particular justification as to why they require to access certain information. However, in the context of this study, freedom of information will be defined as expected rights for citizens to have information access that is in the custody of officials in various government institutions and departments enabled by legislation (Omotayo 2015).

1.2.6 Access to Information

Sound records manegement promotes access to information and enables good governance, accountability, and transparency. Meijer, Curtin and Hillebrandt (2012) are of the view that citizens can actively participate in crucial decision-making by monitoring and influencing processes undertaken by the government via access to information in custody of the government. Therefore, to be able to access information requires the

presence of strong systems that avail and provide information to the citizens. Information access is a confluence of intellectual, physical and social factors that influence individuals' access to information (Oltmann 2009; Burnet, Jaeger & Thompson 2008).

According to Mendel (2005), access to information rights are normally linked to a right to demand and be given information, particularly in light of technological advancements that eases the process of requests and records distributions by both the private and public entities, thus ensuring the free movement of information amongst creating agencies and the residents. It is based on the right of access to information that citizens can fully examine government operations and partake in the decisions affecting their wellbeing. Thus, for purposes of this research, access to information is defined as a right of citizens to access state-held information and an aptitude for a country and its people to have unrestricted access to information (Omotoya 2015).

1.3   BACKGROUND AND CONTEXTUAL SETTING OF THE STUDY

Open government initiatives in addition to access to information and records management assume a key function in the attainment of transparent plus accountable government. They help in improving service delivery by governments as information can be accessed by citizens, allowing them to get closer to beneficial government developmental programs that improve their lives. Thurston (2012) observes that poor records keeping which result in unorganized, disjointed or misplaced records, can end up causing deferrals and complications in meeting freedom of information requests. If records are not properly maintained, they can be changed, manipulated, destroyed, fragmented, or lost, and records can become untrustworthy. With the lack of appropriate records management regulation, people cannot prove discriminatory or unfair treatment, human rights abuses are difficult to question, and the public cannot make an informed contribution to governance processes. Also, where there are weak records systems, there could be challenges to determine the rightful records dissemination processes and ultimately render the availability of records useless.

The public sector undertakes and implements governmental mandates through their various ministries and departments. Tsie (1996) alludes that the public servant in Botswana develop and put into practice development based policies and programs. Consequently, the public sector relies largely on the public servants to duly carry out their stipulated roles and responsibilities for the attainment of a common goal, which is primarily to give numerous services to the citizens. For decades and across the globe, the Botswana government has been labelled as a beacon of hope and a shining light of democracy in Africa through its efforts to provide its citizens and residents with an environment that is safe, secure and most importantly democratic (Alexander & Kaboyakgosi 2012; Cook & Sarkin 2010; Sebudubudu & Osei-Hwedie 2006).

Democracy is by nature quite fragile and its dispensation is sporadic in the African continent. Anarchic governance and political instability have for decades been the order of the day to African states as governments were either headed by authoritarian regimes, absolute dictatorships or toppled governments through military coup d'états. Several African countries that have been subjected to the aforementioned forms of governance have been in disarray since the early 1990s. Menkhaus (2007) argues that Somalia failed in nation building because of communities being shut off from an operative government authority, either due to governmental revulsion to peripheral frontier areas, prolonged war, or entrenched domestic and international motives in perpetuating state failure conditions. Another African country that has had its fair share of instability is Nigeria. After independence, Nigeria adopted and implemented a federal system of governance. As explained by Uhunmwuangho and Ekpu (2011), regardless of diversity in culture, religion, ethnicity and geographic location, as a system federalism is meant to join people together in a society. Federalism necessitates equitable power distribution and resources among diverse groups of people. However, in Nigeria, there has been occasions where the regime has openly violated the values of federalism. According to Badaway (2015), Nigeria can be identified in theory as operating a federal system of government, although the reality is that the nation is inclined towards a unified country. The issue therefore with Nigeria's federalism is its mixed implementation or lack of thereof of federalism through its distribution of power. As a result, ethnic tensions erupted and ethnic groups lost faith in one another.

However, a different story can be told in Botswana because democracy and the rule of law have constantly been observed, which led to peace and tranquillity to prevail ever since the country gained her independence in 1966. Botswana has been a democracy for a little over 50 years now, which has been shown by regular free and fair elections every five years in adherence to its constitution. For democracy to flourish and thrive, the environment should be favourable at all times. According to Sebudubudu (2010), enshrined in the constitution of Botswana are individuals' protection and liberties and constitutional rights. Accordingly, these constitutional rights are extended to the freedom to associate openly with any political party of one's choosing, as well as the right to vote. Moreover, these constitutional rights have largely been appreciated by all residents since independence, and overall there is a reverence for the rule of law. The courts of law are also respected by the state; hence the citizens uphold trust and confidence in the judicial system of the country.

On a similar note, the country is governed by clearly defined structures that make up its government. Botswana has a clear separation of powers as centralized powers to a particular body of government or individual is detrimental to democracy (Botlhale & Lotshwao 2013). Botlhale and Lotshwao (2013) further opine that due to the nature of governments' monopoly of force, it is imperative to devise a strategy to keep governments in check by separating powers. They identify three arms of government amongst which power should be apportioned and divided: (i) legislature; (ii) executive; and (iii) judiciary. The legislature makes law, the judiciary interprets and implements the law, while the executive implements government programmes and policies. The main point of contention fundamental to the separation of powers is that when an individual or group has a significant amounts of power, they can become dangerous to the citizens and this is a strategy of reducing the amount of power in any group's hands, making it more challenging to exploit. Legislatures are the "people's branch of government, the institution where citizen interests and preferences are expressed and transformed into policy, and the point at which, at least potentially, people must closely engage their national government" (USAID 2000:1).

The structure of the government of Botswana as delineated by Nsereko (2004) and Molomo (2000), consists of the executive, which comprises principally the president, deputized by the vice-president and the cabinet. However, according to Molomo (2000), the president's executive authority is far reaching and edges all the other arms of government as their powers are shown by their authority to employ and get rid of from office the vice-president, cabinet ministers and their aides, ambassadors or high commissioners, the attorney general, permanent secretaries, the chief of police, and the commander of the armed forces are all appointed and removed from office, chief justice and judge president, and other top government officials (Good 1996; Otlhogile 1998). As determined by Fakir (2009), although restricted, the Parliament develops laws for the order, peace and good governance of Botswana and controls the executive by translating policy into action. Furthermore, Botlhale and Lotshwao (2013) explain that after the executive there is the Parliament or legislature that is made up of the President and the National Assembly. It is clearly captured and propounded in section 57 of the constitution of Botswana that 'there shall be a Parliament of Botswana, which shall consist of the President and a National Assembly'. Within the constitution, several powers are stated in sections 86 to 89 and, more specifically, section 86 states that 'subject to the provisions of this Constitution, Parliament shall have power to make laws for the peace, order and good government of Botswana'. Another pivotal body on the structure of the government of Botswana is that of Ntlo ya Dikgosi (formerly called House of Chiefs before the passing of the Bogosi Bill in 2008), which is made up of 35 members from different ethnic groups found in Botswana, and which plays an advisory role to the Parliament of the country, especially on matters pertaining to the customary laws, tribal organization and the general administration of customary courts. The Ntlo ya Dikgosi in this regard does not have legislative or veto powers. On the other hand, the judiciary is charged with the interpretation of the law and includes the High Court, the Industrial Court, the Court of Appeal, and other lower courts, particularly magistrate's courts.

As a result of good governance practiced, through the adherence to the rule of law and residents' rights, Botswana has over time developed recognition as a distinct country in the third world, and especially in Africa, because of its prosperous economic management

and its commitment to democratic values (Hope, 1995). Accordingly, Isaacs (2007) reiterates Hope's sentiments of an economically growing country and states that post-independence, Botswana has done remarkably well economically, with one of the world's fastest growth rates. Botswana moved from being a poor country reliant on foreign aid a little over five decades ago to earning a middle-income nation status with a GDP per capita of $11,200 (2006). Since independence, the public sector has been growing steadily. This economic growth was driven mainly by the discovery of diamonds almost immediately after independence in 1967 (Mothusi 2008; Isaacs 2007). It is worth noting that the country's economic base is dependent on minerals, specifically diamonds, as the core export commodity to sustain its welfare and its citizens. Botswana is a semi-arid land-locked nation with a population of slightly more than 2 million people living on an area of 582,000 square kilometres (Statistics Botswana 2011).

In Botswana, the public sector is made up of 16 ministries and four semi-autonomous government bodies. As far as the public sector employees are concerned, they operate under the guidance of the standards set by the Public Service Charter, Public Service Act and General Orders which are used as parameters and the expectations that public servants are supposed to uphold (Mothusi 2008). Thus, Botswana's public sector includes the central and local governments, as well as parastatal agencies. The government sector is Botswana's biggest entity in terms of different services provided, people served, assets and expenses managed, and the number of employees. Moreover, the Botswanan governemnt and the public service are vital for the administration of national affairs. This is largely because of the nature of the economy wherein the sustained national growth is heavily reliant on the efficient channeling of mineral revenues into public programs and projects through the public finance mechanism (Hope 1995).

Recently, open government has been leveraged and enhanced in Botswana through e-government. It is through e-government initiatives aimed at bridging gaps in access to services and information by citizens that the government of Botswana realized a need to adopt and implement online platforms as an enabler to open government and improved service delivery. According to Moloi and Mutula (2007), electronic service delivery is a

progressive way of doing business in government, and it is therefore a component of ongoing government reforms and transformation. It is the advent of ICT that has seen a rise in e-governance and the reduction to the bare minimum of the bottlenecks in the bureaucracy that attend to operations by the government (Nkwe 2012; Fatile 2012; Ojo 2014). According to Abankwah (2010), several countries in the Eastern and Southern African region, including Botswana, have ICT policies to drive e-government strategies; however, the policies do not directly support the proliferation of e-government.

Moatshe (2014:180) indicates that "since inception of the Maitlamo National ICT policy of 2007, Botswana government has been pushing ahead with its e-government programme with most ministries now having websites, and a central government web portal introduced. Some forms have been made available online for users to print albeit very low compared to the targets, a number of networks and systems have been introduced to support the internal operation of government." He further mentions that despite there having been progress, it is not sufficient, because, citizens are frustrated by the lack of progress with the proposed e-government platforms that are directed towards open government. There are only a few government resources available online while online transactions can be performed online in collaboration with the private sector organisations, however people must go through extensive and procedural paper-driven government procedures.

Heckmann (2011) explains that the ICTs impact on politics and contamplative procedures provide a starting point to evaluate the potential effect of an ICT-driven method to open government on present systems of democracy. Heckmann (2011) further argues that technologies assign an ICT-driven approach to open government will vary greatly from what a strictly transparency-driven approach achieves in a democratic society. The latter is a rather thinly constructed method of informing the public, with residents largely acting as passive recipients of information. On the other hand, the former solution has the potential to advance people to a far more active degree of participatory and consultative inclusion.

1.4 STATEMENT OF THE PROBLEM

This study pursues to promulgate a structure that integrates records management into open government and to establish areas of legislative and ICT policy that require to be updated to address open government, access to information and freedom of information. Botswana's open government initiatives have no clear outline of the role and significance of records management to open government. Therefore, integrating records management to open government is critical for access to information. Various researches have been conducted in Botswana on access to information, e-government implementation and adoption with little emphasis on integrating records management with open government (Moatshe 2014). It should be mentioned that good records management enables the achievement of open government, especially where access to information is guaranteed by law (NARA 2012; Sullivan 2013). In agreement, Millar (2003) opines that the capability of governments to establish and preserve reliable, trustworthy, and correct government documents is critical to the success of open government.

The world over, countries have identified the importance of putting in place sound record-keeping procedures as endeavours of providing open access are a cornerstone to democracy, good governance and deterring corruption (Calland 2002; Neuman 2002; Roberts 2002; Sebina 2006; Dikopoulou & Mihiotis 2012; Thurston & Lemieux 2015). For example, in old democracies like the United States of America, records are the base of open government, supporting the principles of transparency, participation, and collaboration. Open government diminishes the attempts of governments to remain secretive in their operations and keeps citizens informed at all times through freedom of information laws and access to information. In contrast, information restrictions can be imposed by governments to select what to share and what not to share with their citizens with the aid of secrets laws (Sebina 2006; Omotaya 2015). Records that are properly managed can also be used to assess the effectiveness of programs, enhance business processes, and share information through the government. People's rights and interests are protected by records, and officers are held responsible for their conduct. (Isa 2009; NARA 2012; Dikopoulou & Mihiotis 2012; Ngoepe & Ngulube 2013).

Consequent to the above on accountability, information access and the protection of citizens' rights, the government of Botswana promulgated a long-term national vision 2016 produced by the presidential task group. In order to achieve financial growth, development and heightened morality, the vision had pillars to guide Botswana to reach her desired destiny. To mention but a few of the pillars for the vision; it was geared towards having an educated, informed nation, as well as an open, democratic and accountable nation. The few pillars mentioned above resonate well with this research study because one of the pillars advocates for an open, democratic and accountable nation which is easily attainable via the propagation of good records management in the public sector, which can be both for purposes of maintaining the control and use of records and for the ability of records to be availed so as to grant access to information, as that is the key focus of the study.

However, the vision identified major challenges such as, but not limited to, the availability of relevant and appropriate infrastructure that supports an open democracy and accountability. Accordingly, it identified a need for developing a supportive communityenough to allow for the unrestricted information flow among the citizens to guarantee that the country accomplishes and realizes its vision. Hence, it proposed a set of strategies that would act as guidelines to reach the goals. This study as focused on open government and its connection to records management, can be linked to the roadmap for Botswana's growth and development through its vision, since it is through this that key and fundamental aspects of open government are identified as a challenge and therefore call for measures to be identified and implemented to fully support access to information and the achievement of an open government. Moreover, the Vision 2016 roadmap emphasized accountability by all people for their decisions, from the State President down to local representatives and verdicts (Government of Botswana 1966; DPSM 2003; Vision Council 2010; Global Campaign for Free Expression 2011). The government of Botswana acknowledges the importance of good records management in spite of a lack of a freedom of information legislation, which is critical for good governance and open government (Sebina 2006).

The Botswana National Archives and Records Services (BNARS) (2007) Act although encourages access to public records as archives, this does not truly guarantee information access in a way that a specific access to information law would. This lack of access sureties are better illustrated in section 12, subsection 2, Act on Botswana National Archives and Records Services (BNARS), which states that "Notwithstanding the provisions of subsection (1), the Minister may, in respect of any public archives or any category thereof certified to him by the same person by whom or in charge of the office from which, the records concerned were transferred to the Botswana National Archives and Records Services, direct in writing that (a) such public archives or category thereof shall not be made available for public inspection until the expiration of such further period as may be specified in that or any subsequent directive." An access to information law would otherwise enforce information accessibility greater than the BNARS Act, since it will be primarily propagated for the granting of access to information.

Furthermore, Botswana has inculcated within the national Constitution various protective measures for citizens' rights, as it safeguards freedom of expression and incorporates the freedom to receive ideas and information without meddling, amongst other rights. However, legislation lack of freedom of information law and limited integration of records management into open government initiatives in Botswana dampens any attempts by the government to readily provide information to the citizens. Without laws enforcing and ensuring that public officers not only create and manage records, but also provide them to the citizens upon request may lead to little or no adherence to the citizens' rights to access information. Conversely, poor records management practices in itself act as a major hindrance to information access since records may not be issued to those who need them due to records managers' inability to locate and retrieve requested records, or due to the loss of records through various means, like records deterioration and damage.

Shepherd, Stevenson and Flinn (2011) reveal there is a strong link among effective records management to freedom of information legislation as they found that few councils responded about the need to gather more information competently so as to divulge it through freedom of information by way of organising their records better. Also, inadequate facilities and infrastructure in the form of legal and regulatory frameworks do effect efforts

of open government initiatives. The availability of information and records is beneficial to citizens because it allows them to add significantly to the debates on suitable socioeconomic planning, growth, and development strategies. According to Bamgbose and Etim (2015), politics and good governance are largely underpinned by access to comprehensive and precise information on the activities of government provided by good records keeping practices.

In spite of the positives brought about by good records management and the presence of regulatory frameworks that can be used to guide records management processes, in Botswana, literature illustrates that there are insufficient practices in records management and still a lack of sufficient regulatory frameworks that guide records management as a whole. According to Mampe and Kalusopa (2012), there is insufficiency in providing access, use, and retention of records, potentially affecting service delivery. They observed that in Botswana's Ministry of Health's Department of Corporate Services, for example, all five (100%) heads of units (HoU) agreed that the department's records management systems and programs were inadequate and had negative consequenceson on their capability to provide services. The findings to their study revealed that, the human resources (HR) division, for example, was unable to process recruitment on time, sometimes due to loss of applications rendered by applicants as admitted by the head of recruitment in the division. Similar to that, the accounting department was unable not be able to make available payments on time plus the supply department also was unable to obtain the required materials and equipment required to deliver services due to poor records management.

Similarly, the WHO (2009:1) report emphasized the inadequacy of health-care delivery in Botswana's Health Ministry was partly due to a deficiency of trained personnel in the records management unit and other information management units. Such challenges can be attributed to a variety of factors, amongst them is the development of a study programme in the late 1990s by the highest learning institution within the nation, of the University of Botswana. The university developed a training programme in Archives and Records Management at the high level of a Master of Arts qualification rather late. Thus, for some time, there was inavailability of trained archivists and records managers in

Botswana in the same way as in neighbouring countries such as Namibia and South Africa, so much so that Botswana opted to send archivists abroad to study archives and records management (Onyancha, Ngoepe & Maluleka 2015). A study by Ramokate (2010) in the management of land records in the Kweneng Land Board has shown that the retrieval of records in the records management units was inconsistent, with most responses showing that it could take ten minutes to retrieve records and even up to two days or more. Ramokate (2010) further points that the length of time that records retrieval takes was likely to hinder productivity and the land board's capability to make decisions on time.

Further research findings on public records management have revealed that there are minimal records management regulatory frameworks in many government public service organisations (Kalusopa 2011; Keakopa 2006; Kootshabe 2011; Ramokate 2010). Similarly, Coetzer (2012) points out that research projects conducted on the African continent by Prof. Mnjama revealed some startling findings that in Botswana and other countries in the region, the management of records was overwhelmed by many problems that include poor layout of, and untidiness in, the records storage area, consistent loss of files and information, lack of file indexes and registers, and lack of control of file movements. Furthermore, other complications identified are a lack of retention and disposal schedules, poor supervision of records staff and lack of knowledge of the importance of information. Therefore, inadequate records management systems and programmes, as well as regulatory frameworks, can be a major stumbling block with regard to open government and access to information since they are essentially facilitators and enablers to information access.

1.5   OBJECTIVES OF THE STUDY

The general purpose of this study is to investigate the integration of records management into open government initiatives in Botswana's public sector and explore the regulatory and legislative frameworks that support open government implementation.

The specific objectives of this study are:

1. To identify the role of records management in open government initiatives and establish if records management is included in Botswana's open government initiatives.
2. To assess records management policies, as well as legal and regulatory frameworks that support the implementation of open government initiatives.
3. To explore frameworks that can be integrated in enhancing open government.
4. To make recommendations in relation to the general management of records for open government in Botswana.

1.6   RESEARCH QUESTIONS

This study will address the following research questions:

1. What is the role and extent of records management integration to Botswana's open government?
2. How adequate is the records management legislative and policy framework for promoting open government in Botswana?
3. What type of framework would be appropriate in integrating records management into open government initiatives in Botswana?
4. What recommendations can improve the general management of records for open government in Botswana?

1.7   SCOPE AND DELIMITATIONS OF THE STUDY

Here research was restricted on document administration practices for the Botswanan government sector, specifically only central government departments and those found at the Ministry of Local Government and the semi-autonomous government department of information technology. Due to the open government initiatives promulgated by the Botswana government, the study is restricted to an investigation of integrating records management into open government in the public sector. Another limitation has been that, since open government as a field of study is relatively a new, there is limited and inadequate literature to obtain on the subject matter (Yu & Robinson 2012).

Business activities are intertwined between government departments as well as between the private sector and several government departments. The research project did not reconnoitre records management in the non-governmental sector, although the segment remains to execute a vital part in the delivery of various amenities in the country independently and through the government.

The study focuses on the public sector and an assumption is that there would be an overview of the role played by records and determine their significance in achieving open government as records management is incorporated into open government. However, data collected from the public sector is generally one dimensional in that it is limited to the public sector and therefore insufficient to provide a generalized overview of records management in open government initiatives as it excludes the private sector in that regard.

1.8   SIGNIFICANCE OF THE STUDY

Open government is dependent upon access to information that enables transparency and accountability of governments. As Botswana is a model democracy in Africa, its access to information should be underpinned by access to information legislation, and good records management practices. However, these are still deficient. Besides, open government involves disclosing government-generated information to permit citizens to fully partake in government decision-making processes.

Initiatives such as the Connecting Communities Programme, Kitsong Centres, Thuto Net, Government On-Line and the Botswana Innovation Hub (BIH) were introduced in an effort to connect communities with affordable, accessible computers and internet services by providing rural telecommunications connections, linking all secondary schools to the internet, and having a government web portal developed to make available services online for citizens (Guide to ICT Initiatives and Research Priorities 2012). Such initiatives are therefore making it convenient and easier for citizens to access public records with the aid of technology, thus prompting government agencies to integrate and implement

good records management practices to uphold the notion of reliable, accurate and authentic records to improve service delivery, accountability and democratic processes.

In order to provide a platform that may be used to evaluate the state of open government in the public domain as it is intended, this study will be using the OGIM as a platform to base its foundations on for guidance and direction, while attempting to give credence to the value brought about by an open government. Thus, the OGIM is an advocate for an open government, transparency of data, open participation and the enhancement of open collaboration that can help the public to embrace and develop open government. For that to be successful, a functional and informative model is required that can be underpinned to guide open government sufficiently.

Conversely, this study is important as the findings will assist the government of Botswana to understand the strengths and weaknesses of the current records management practices in the public sector, the role of integrating records management to open government and the significance of access to information law in achieving open government. Mainly because where there are no records, there is no transparency and accountability. Where there is no transparency and accountability, there is no evidence of good governance. The evaluation made by the study on records management and its integration into open government will not only make a positive contribution to understanding the needs for and benefits of good records management practices, but it will also raise awareness of the part played by integrating records management into open government initiatives in the attainment of good governance through access to information. It is expected that when the government implements the results of this study, it will begin to benefit from a good records management programme. Specifically, the study will benefit government departments and, by extension, also private organizations in the following respects:

- ✓ Illustrate how records are created, used, maintained, stored and disposed of in these Botswana open government initiatives: Connecting Communities Programme, Botswana Innovation Hub, Kitsong Centres, Thuto Net and the Government On-Line.

✓ Provide details on how ICTs are used in the processing, storage and retrieval of records in the above initiatives.

✓ Assist in the planning, development and continuous evaluation of records management systems to support open government initiatives by the government.

The study will benefit not just the concerned public sector departments of Botswana, but it will be beneficial to other countries, especially African countries, in realizing the significance of integrating records management and the contributions that records management brings about to open government.

1.9 ORIGINALITY OF THIS RESEARCH STUDY

Many studies both at doctoral, master's and general level such as those done by Mosweu (2014), Motupu (2015), Venson (2008). Moatlhodi (2015) and Sebina (2006) concentrated on private companies, comparative analysis on parastatals and on specific government departments to evaluate the management of records and their role in transparency and accountability within their respective organizations through e-government channels. Comparatively, this study did recognize and benchmark on a similar study from Kenya that was assessing "records management readiness for open government in the Kenyan judiciary" likewise, this study was concentrating on records management and open government. However, the two studies are different from one another in that the Kenyan study's research questions were trying to; determine how records were being created, accessed, used, stored, maintained, appraised, disposed of, and as well as preserved, followed by establishing what were the skills and competencies possessed by records management staff in the Kenyan judiciary including a focus on determining what strategies was the Kenyan judiciary using to achieve openness. The study therefore concluded that the current state of records management was most likely going to impede successful implementation of judiciary transformation and openness and the delivery of justice thereof. The study therefore recommended that among other things, records management in the judiciary needed to be improved by: formulation of records

management policies: building records management capacity by either hiring qualified persons or retraining the available staff: soliciting top management support: and using the Open Government Implementation Model (Lee and Kwak 2011) as a bench mark for the implementation of open government in the judiciary.

Therefore, this study is unique as it investigates the contribution that integrating records management into open government in the public sector brings to open government initiatives introduced in the country. To better understand how open government is supposed to work and to assist in yielding desirable results in relation to open government, this study will be informed by the OGIM because it promotes an open government through data transparency, which encourages citizens' open participation and openly collaborate with relevant concerned parties and for the public to embrace and advance open government.

An in-depth analysis of studies undertaken in Botswana has shown that little has been done with regard to records management as an enabler to open government, except for a study conducted to assess records management and freedom of information in Botswana (Sebina 2006). Sebina (2006) acknowledges that the records management roadmap planned to address the problems in Botswana's public service was not what was expected. Therefore, previously identified problems that continue to impact on the public sector's capacity to facilitate access to records continue even without the development of freedom of information legislation. This is so because there is insufficient focus on and interest in the impact that records and good records management, in co-existence with various access to information and right to information laws, bring to enabling an open government. A gap still exists to fill, therefore in spite of the studies mentioned above, there is a need to conduct a study that specifically investigates the public sector in terms of records management and determine the contributions and impacts it has on open government with or without relevant legislative frameworks that could aid in advancing open government, as well as assess the role that the initiatives that are developed to help implement open government are playing.

1.10 METHODOLOGY

The purpose of a research methodology is to provide step-by-step details of how the researcher should conduct research. According to Bless and Higson-Smith (2000), a methodology is a technique that provides a basis for information gathering and enables the researcher to reach conclusions between factors involved.

This study seeks to develop a framework that integrates records management into open government and support open access in the public sector. Furthermore, it will identify which areas of the legislative and ICT policy need to be updated to address open government and freedom of information. This study will adopt a mixed methods research approach which employs both qualitative and quantitative research techniques. A research project requires a design or a structure before data collection and analysis can instigate (Kothari 2004). A "Research design is defined as the plan or strategy for conducting the research" (Wiersma & Jurs 2009:118). In order to promulgate a framework that integrates records management into open government, this study will espouse a multi-case study design in an attempt to collect accurate, reliable and valid data from the target population. Yin (1993:3) defines a case study as "an empirical investigation that examines a phenomenon within its real-life context, notably when the boundaries between the phenomenon and the context are not plainly apparent."

Because of the dense data obtained in context, case studies are considered suitable to questions that require a clear understanding of a phenomenon. A case study does not presuppose any form of data collection, whether quantitative or qualitative (Yin 1993). Of note, in data collection, common tools to use in a case study are the use of interviews, observations and questionnaires.

In Botswana, the public sector has 16 ministries and four autonomous bodies. These are:

1. Ministry of Agriculture

2. Ministry of Defence

3. Justice and Security

4.   Ministry of Education and Skills Development

5.   Ministry of Environment, Wildlife and Tourism

6.   Ministry of Finance and Development Planning

7.   Ministry of Foreign Affairs and International Cooperation

8.   Ministry of Health, Minister of Infrastructure, Science and Technology

9.   Ministry of Labour and Home Affairs

10.   Ministry of Lands and Housing

11.   Ministry of Local Government and Rural Development

12.   Ministry of Minerals, Energy and Water Resources

13.   Ministry of State President

14.   Ministry of Trade and Industry

15.   Ministry of Transport and Communications

16.   Ministry of Youth, Sports and Culture

Whereas the four semi-autonomous government bodies are

17.   Attorney General

18.   Independent Electoral Commission

19.   Botswana National Archives and Records Services (BNARS)

20.   Department of Information Technology, which is mandated to facilitate and administrate ICT services across the public sector.

Data for this study will be gathered from one government ministry. The research will employ and combine both purposive and stratified sampling techniques to select the study sample. Bhattacherjee (2012) explains that purposive sampling allows the researcher to

select respondents based on their characteristics that can meet the study's needs. Bhattacherjee further explains that in stratified sampling, the sampling frame is divided into similar and non-overlapping subgroups called "strata", and a simple random sample is drawn within each subcategory.

Data collection will be conducted in the headquarters of the identified ministry. The identified ministry is:

1. Ministry of Local Government and Rural Development

In general, it is worth noting that, altogether, there are 20 government ministries in Botswana and four semi-autonomous government bodies which are mandated to implement a vast array of services to the citizens. According to Sharma (2010:135), "Local government in Botswana stands on four pillars: (a) Councils (City Councils, Town Councils and District Councils); (b) District Administration, headed by District Commissioners; (c) Land Boards, created after independence for allocation of tribal land; and (d) tribal administration, headed by Chiefs as traditional leaders." Sharma further laments that the political landscape of Botswana is conducive for local government to thrive because there is political stability, freedom of expression and opposition. He continues to emphasize that growth in public participation has been steady for some time in support of policy making, development planning and implementation. Thus citizen participation is typically seen as a valuable part of democratic citizenship and democratic decision-making (Michels 2011). To advance citizens' participation in decision-making and access to information, Obasi and Lekorwe (2014) state that, in attempts to bridge access to information gaps, the government intends to ensure access to information technologies (Its), television, audio and print media, and further develop an environment suitable to the free flow of information among all of the communities.

Equally, the Ministry of Local Government (ministry) is mandated to afford the citizenry with a vast array of services, which are land administration, chieftaincy (tribal administration) and social welfare services. Accordingly, the ministry is fundamental in making attempts and strides to establish that the open government initiatives by the government are utilized to guarantee accessibility by all. These government initiatives are

intended at granting access to services and information at different capacities and are therefore critical in the advancement of the ministry's mandate.

The study area was chosen because it is a ministry that deals with distinct services rendered to the public which could give a broader perspective to what open government initiatives have achieved over the years and reveals challenges experienced and how they could be addressed with regard to the availing of information and services to those that seek its provision. It is at the ministerial level that key decision makers who enact policies, develop frameworks and choose the type(s) of records management systems to be used are located. Also, this ministry is ideal, primarily because it deals with matters concerning rural development, social services for the uplifting of those deemed destitute, vulnerable and, in some instances, disadvantaged. Thus, access to information is the first basic step to being able to access and benefit from all the several programmes developed to try and help those in society that are economically disadvantaged and in some instances those that are stationed in remote rural settlements.

As a result, considering that open government initiatives in Botswana are ICT based, the researcher saw it fit to conduct this study in this department in an attempt determine how the public sector has fared with regard to embracing ICTs, implementation strides, and challenges, and also to evaluate the extent to which open government is attained through e-government and further establish whether or not open government has embraced and integrated records management and to assess how the integration of records management helps enhance open government.

The research will adopt and combine the use of probability and non-probability sampling techniques; in particular, the study will adopt purposive sampling and stratified sampling. The researcher will identify respondents taking into account their positions and roles at the ministry and Department of Information Technology. From the ministry, the researcher will pick the head of department (HoD), information technology (IT) personnel, including an IT manager and officer, an office administrator, and a records manager and records officer, as respondents in the study from each department. Six respondents are targeted from identified departments of the ministry, thus translating the total sample size for this study to 54 respondents. The sampled government ministry is shown below in table 1.

Table 1: The sampled government ministry

MINISTRY	DEPARTMENTS
1. Ministry of Local Government and Rural Development	1. Department of Social Services
	2. Department of Technical Services
	3. Department of Primary Health Care Services
	4. Strategy Management
	5. Department of Corporate Services
	6. Department of Local Government Service Management
	7. Dept of Local Governance & Development Planning
	8. Department of Local Government Finance and Procurement
	9. Department of Tribal Administration

Source: Botswana Government 2018

This study will employ questionnaires, interviews and document analysis to gather data. Research data can be gathered by using questionnaires, interviews, observations, and documentary sources (Onyango 2002). It involves measuring some research phenomenon, whether it is a process, an object or a human subject's behaviour. Quantitative data from the study will be analyzed by the use of the Statistical Package for Social Sciences (SPSS), while qualitative data will be coded and reduced into thematic categories that are in line with the study objectives and questions for analysis.

1.11 ETHICAL CONSIDERATIONS

This study will strictly follow the research ethics. The respondents will be assured that the research is part of the requirements of a Doctoral Degree in Information Science from the University of South Africa. Moreover, respondents will be informed of their right not to participate or withdraw from the study anytime they want to or if they are uncomfortable

with anything. Confidentiality will be guaranteed by anonymizing the departments from where specific data comes from, and the use of identification codes instead of names for respondents' details will be utilized in an attempt not to reveal respondents to other people. A survey and interview guide will be submitted to the UNISA Ethics Committee for clearance prior to administering the data collection instruments. The study will comply with the Botswana guidelines (2004) for research provided by the Ministry of Labour and Home Affairs, together with UNISA policy (2013) of research ethics.

1.12 STRUCTURE OF THE THESIS

This study will be structured into six chapters:

Chapter 1: This is the first chapter that covers the introductory part of the thesis and provides a background and contextual setting for the study, statement of the problem, definition of key terms and concepts, study objectives and questions, scope and delimitations of the study, significance of the study, highlights the originality of the study as well as the methodology to be followed to collect and analyze data.

Chapter 2: This chapter provides a theoretical review of a contending conceptual and theoretical model relevant to informing and guiding this study. This consists of the Open Government Implementation Model.

Chapter 3: This chapter provides the review of relevant literature from around the world on matters surrounding open government, access to information and establishes how the integration of records management into open government enhances access to information.

Chapter 4: This chapter describes in detail the research methodology that will be used for the study. It explains the methods of research employed, techniques used to identify the study population, collect and analyze data, as well as research's ethical considerations.

Chapter 5: This chapter presents findings from analyzed data collected through questionnaires and interviews. It also presents study findings on the significance of integrating records management into open government initiatives.

Chapter 6: This chapter interprets and discusses the findings and examines their implications based on the study's research questions.

Chapter 7: Based on the data presented and interpreted, this chapter provides a summary of findings, conclusions and recommendations of the study.

1.13 SUMMARY

This chapter lays a foundation for the thesis' main focus by clearly articulating the introduction, background information and contextual setting of the study and discussing the rationale of the study. Moreover, this chapter provides definitions of key terms and concepts, including brief deliberations of the research design for data collection and ethical issues to consider in carrying out research. The next chapter thus provides a review of literature on open government, records management and initiatives promulgated by the Botswana government intended towards realizing open government and access to information. Also, the chapter will establish how records management can be integrated into open government initiatives.

CHAPTER TWO

THE CONCEPTUAL AND THEORETICAL FRAMEWORK

2.1   INTRODUCTION

The purpose of this chapter is to establish a theoretical and conceptual framework for the study on the integration of records management into open government initiatives. According to Sekaran (2003), for one to be able to make reasonable sense of associations among several factors that are recognised as important to a problem, a theoretical framework is used by a researcher to explain a phenomenon as a conceptual model. Alluding to the idea of a theory as an underpinning of understanding a phenomenon, Creswell (2003) mentions that theories are thus found timely in the research plan of a study to act as a basis for shaping questions to be asked, identifying appropriate study participants for the study and explaining how data is to be collected. Therefore, a theory is defined as a systematic viewpoint or speculation that helps to understand of something or describe the nature of something (Eastwood 1994; Buckland 1994). Cornford (1991) further explains theories as analytical tools that make predictions and explain a phenomenon. Moreover, Wacker (1998) defines a theory as a statement of associations between units observed or estimated in the empirical world, while Silverman (2000:77) opines that "a theory can be said to be a set of concepts used to explain a given phenomenon."

2.2 THEORETICAL LENS OF THE STUDY

Although records management has, over the years, been influenced by the two briefly discussed theories, this study will be informed by Action research and the Open Government Implementation Model. Thus, this study will assess records management systems already in use by the public sector in an effort to understanding their contribution to open government in the absence of access to information statute, and also determine how the two theories that inform the study can be used to guide in the formulation of a

framework that seeks to integrate records management into open government to enable access to information to the residents.

2.2.1 <u>ACTION RESEARCH</u>

According to McDermott, Coghlan and Keating (2008:3), "action research focuses on research in action, rather than research about action. The idea is that action research uses a scientific approach to study the resolution of important social or organizational issues together with those who experience these issues directly." In order to develop a good records management structure, a legislative and policy framework for open access to information, an informed and relevant structure for managing both paper and e-records of the public sector is essential. Therefore, based on action research, the researcher plans, takes actions, evaluates the action and further ensures that the findings made by this study will be accurate, valid and reliable to be adopted and proposed frameworks implemented are to ensure that good records management practices are incorporated onto open government initiatives.

Moreover, action research would be applied throughout, assessing whether the current records management practices require changes, and identifying if open government initiatives and any areas of the law require improvements, to enable the implementation of an open government through sound records management. McDermott, Coghlan and Keating (2008) explain action research as both a sequence of events and an approach to problem-solving. As a sequence of events, it comprises iterative cycles of gathering data, feeding it back to those concerned, analyzing the data, planning action, taking action and evaluating action taken, thus leading to further data gathering and so on. On the other hand, Sanford (1981) describes action research as a process of analysis, fact-finding, conceptualization, planning, execution, and then more fact-finding or evaluation, all followed by a repetition of the same pattern. Cohen (1980) states that due to the nature of action research, it can be used to spur action, focus on job analysis, guide organizational change, planning, and policy making, create innovation, solve problems, or develop theoretical knowledge. Not limited to that, action research can further be used to guide social inquiry as either a methodology or as a theory of social sciences.

To this end, in this study, the researcher will use action research to determine where records management currently is in relation to supporting and enabling open government. The study will follow action research's four-cyclical approach of planning, taking action, action evaluation and, finally, planning further to address any gaps found by the researcher to ensure that the action implemented along the way does integrate good records keeping practices onto open government. Since the researcher has no capacity to effect change practically at MLGRD. Action research in this study was used to help integrate records management practices into open government initiatives through a proposal made by the study for MLGRD to plan and subsequently implement action as per the study's recommendations. According to Koshy, Koshy and Waterman (2010:10), "action research is a period of inquiry, which describes, interprets and explains social situations while executing a change of intervention aimed at improvement and involvement." And thus the underlying principles of action research are that it should simultaneously support a normative change (practice) while producing new knowledge (Koshy, Koshy and Waterman 2010; Elg, Gremyr, Halldórsson and Wallo 2020).

2.2.2 THE OPEN GOVERNMENT IMPLEMENTATION MODEL

Additionally, the research study is guided by the OGIM, which underscores a need for (1) an open government, (2) data transparency and (3) open participation by the public to embrace and enhance open government.

The model identified four implementation stages to achieve openness. According to Lee and Kwak (2011a), the open government implementation model asserts that government agencies should progress their open government initiatives incrementally, beginning with stage one which focuses on increasing data transparency, then stage two, which is concerned with improving open participation, followed by stage three which enhances open collaboration and, finally, stage four which focuses on realizing ubiquitous engagement. Both theorists argue that by following this sequence, agencies can engage

the public by harnessing the use of social media. The OGIM is depicted below in Figure 1.

Figure 1: The open government implementation model (OGIM)
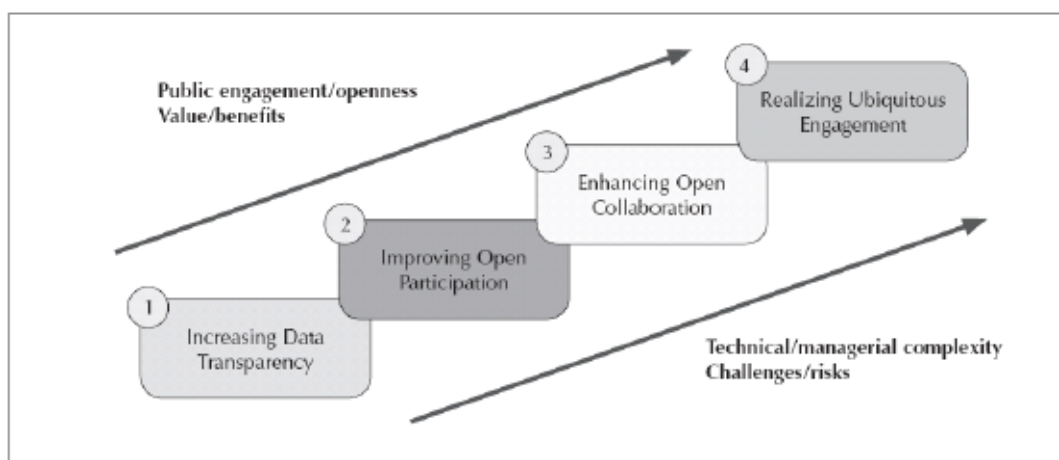
Source: Lee and Kwak (2011a:10)

Furthermore, Lee and Kwak (2011a) observe that it is the first stage that agencies focus on when growing transparency of government processes and performance, done through the dissemination of appropriate data online and sharing it with the public. Puddephatt and Zausmer (2011) are of the view that governments which are open and transparent are more accountable to their citizens and therefore less corrupt. According to Svärd (2007), a government that is chosen by the people of a country is not only responsible for the governed, but it is also exposed to public scrutiny that demands more transparency and accountability. In an effort to improve government transparency, agencies or in the case of this study, government departments provide more data about government operations to the public in a quest to involve the citizens in holding government officials accountable for their actions. Therefore, integrating records management into open government initiatives to help facilitate and enhance access to information through good records keeping will amplify transparency of government departments because, not only should information be available for the public, but it should also be trustworthy, complete and reliable information to assist in decision-making.

There are several roles played by sound and effective records management that include supporting efficient collaborative working and information exchange, facilitating good governance, the protection of human rights, risk management and effective implementation of freedom of information laws and other legislation. Also, other roles may include accountability supported by the provision of reliable records of actions, decisions and knowledge management across sectors of government by making reliable information available for sharing, extraction and summarization (Kemoni & Ngulube 2008). Further noted by Ngulube (2003) is that deprived of proper records management, accountability, transparency and efficiency, public service delivery would be heavily compromised, leading to corruption and loss of confidence in the civil service. Because the guiding principle of records management is to guarantee that information is available when and where it is wanted, in a systematized and competent fashion, and in a well maintained environment.

To ensure a timely response to information requests and a provision of reliable records, Lee and Kwak (2011a) suggest that the two most important tasks at this stage are finding high-value, high-impact data for the public and guaranteeing data quality in terms of accuracy, consistency, and timeliness. Departments therefore should establish and have structures in place which can evaluate and assess data quality to disseminate in time for public consumption to enable the citizens to know what is taking place in government. An OGIM evaluates ways to achieve openness by a department or agency as referred to by the model without expressing or exclusively explaining the role played by records and records management to attain open government.

According to Lee and Kwak (2011a:10), "To date, little research has been done to investigate critical issues associated with open government. As a result, a significant lack of knowledge exists concerning the implementation of open government." Gaps are found in the model in relation to what is considered pivotal to open government since there is nothing on the significance of records in achieving openness by government departments.

However, good records management seeks to provide complete, accurate and reliable records made available within a specified requested time as per access to information requirements. It is critical for records and records management to be one of the

cornerstones of the OGIM because the availability of records enables productivity and service delivery.

All four stages discussed and seen as paramount in describing what the open government implementation model advocates do not identify records management as key to the general pragmatism of the model. The availability of information for citizens to access and scrutinize online empowers them to fully contribute and participate in government decision and policy making. According to Omotayo (2015), access to information and participation of citizens in a democratic society are mutually dependent on each other. The delivery of information is a key element in citizenship. Citizens need thorough and precise information on the activities of the government to help them contribute to suitable strategies relating to socio-economic planning, growth and development. Citizens cannot fully participate in developing and enhancing their society without access to information. The first stage will be applied to assess records management systems currently in use, to identify whether they support good records management and also to evaluate their capability in providing access to information which is an enabler to data transparency.

The second stage is where agencies focus on improving open participation of the public in government work and decision-making through various methods and tools. Here open participation enhances policy decisions and government services by welcoming and utilizing the input of the public. Furthermore, agencies use social media and Web 2.0 tools, including but not limited to, web dialogues, blogs, microblogging and social networking. Social media is adopted and utilized to involve the public with decision-making (Lee & Kwak 2011). It is from the public's feedback on government operations that timely changes and informed decisions are made, thus proving an open government. However, with a lack of good records management practices, there will be challenges to accessing records that provide evidence of actions taken within government departments which are pivotal to a successful open government. The second stage looks at the systems used for e-records management that assess and evaluate whether or not the current systems provide a platform for citizens' participation and collaboration that supports open government.

The third stage is aimed at enhancing open collaboration, as agencies strive to collaborate with both the private and public sector by distributing government data with the intention to gain public inputs and feedback. Therefore, an open collaboration is consequent to open participation of citizens with the government agencies. For open government to be a success, citizens' participation and the organisation's contribution to major decisions through open participation act as a catalyst for open collaboration of agencies, citizens and the private sector. Open collaboration applications comprise of group writing and editing of documents, wiki applications development, open source software development, and policy/rule making. Therefore, collaboration is reliant upon Wikis, Google Docs, and Jive SBS interactive social media platforms (Lee & Kwak 2011).

The OGIM model will be used also to assess experts' and agencies' collaboration efforts on website development, knowledge sharing between web designers and general records management and between departments to establish their partnerships and their overall impact on grappling with managing records created in various ICT-based platforms such as those from the social media, emails and the overall constant influx of information at their disposal. For departments to best share skills and expertise amongst themselves, collaboration efforts are needed from various and sometimes comparable but primarily different organizations, even though collaboration cannot develop without a joint trust that should be established over time. Zorich, Waibel and Erway (2008) articulate a collaborative model that identifies the cumulative development of such trust and the increasing sophisticated investment risk and benefits which amass.

The cumulative nature of collaboration has been noted by Dornseif (2001) who identifies different levels of commitment in collaborative activity between co-located services. Collaborative activity between government departments can start with an understanding of the professional landscape developed by keeping abreast of professional developments through channels such as the media, newsletters and webmail. This low-risk activity builds an understanding of the possibilities and may lead to contact either in person or through social media channels such as Twitter or Facebook. Minimal resources are used and no commitments are made; however, collaborative ideas may start to emerge and a trust relationship may start to grow (Higgins 2013).

In working together as institutions that are custodians of information that is held in different mediums with the sole purpose of providing evidence of transactions and decisions that took place in the current and previous governments. Government departments such as those identified for this study could utilize their different skills and expertise to share knowledge and improve on service delivery, which in turn can be in line with information sharing and dissemination. Literature shows that collaborative efforts help leverage institutions and develop them. Galleries, Libraries and Museums (GLAMs) for instance have exploited collaborative endeavours to facilitate growth and development in their respective lines of duty, thus improving generally on service delivery to the clients. According to Baba (2005), GLAMs could utilize their different types of expertise to convert either medium to the next such as texts to images or sound, in an attempt to maximize access opportunities for the public which could mainly be achieved by working together and manipulating the technology and expertise at their disposal. Similarly, by sharing the infrastructure, expertise and technology, collaboration tends to be cost-effective for organizations concerned (Chigariro 2014).

Throughout the world, the collaboration of institutions is taking off at different levels. For instance, in the United States, due to the high demand for lifelong learning, collaboration has been encouraged by legislation while in a country such as Nigeria, collaboration for preservation among heritage institutions has not been encouraged by legislation or policy (Zaid & Abioye 2009). However, in the same line, in Botswana, there is no specific legislation or policy promulgated to encourage collaboration of departments, or institutions, whether in the same field of business or otherwise.

Websites developers and websites for information sharing as well as good records management practices are vital for successful open government. Hence, collaborative practices are essential as a way of providing each other with assistance where there are pitfalls and shortcomings in order to attain open government through ICT-based government initiatives. These collaborations can warrant access to the necessary records through authentic and reliably developed departmental ICT platforms.

Lastly, in the fourth stage of realizing ubiquitous engagement as observed by Lee and Kwak (2011a), agencies take transparency, participation, and collaboration to the next level of public engagement. The agencies improve and fine-tune existing open government initiatives, and expand their portfolio of open government initiatives to further benefit the public. Ubiquitous mobile computing devices facilitate public engagement and various public engagement methods, tools, and services are seamlessly integrated within and across government agencies so that the public can easily engage in various activities. Considering that in the final stage of the OGIM, technology applications are integrated to enable agencies to use a single platform to reach out to the public and limit users from having to open various applications to access information and services.

This study will assess the extent to which records management has been integrated into open government initiatives that are e-government based and will determine if there are sufficient regulatory and legislative frameworks to support their full implementation and adoption. From the above four identified stages of the OGIM, it is clear that each stage illustrates the importance of good records management practices by agencies, the adoption and significance of technology to afford the citizens an opportunity to participate in their country's governance through access to information thus enhancing open government. However, a lack of access to information legislation may act as a major hindrance to fully utilize ICTs to achieve open government. Moreover, all four the open government projects being studied are essentially at the very initial phase identified in the OGIM. These projects are all vying for an increase in data transparency through the availing of relevant ICT infrastructure and facilities and they are all at different junctures of doing that. These projects are discussed in-depth further in the thesis where it is an evaluation of open government in Botswana.

In addition, this chapter presented the conceptual model and theories that this study is based on. The researcher discussed two conceptual and theoretical frameworks: the action research and the open government implementation model identified, as suitable and appropriate for informing this study, due to their strengths, weaknesses and suitability to this study. Moreover, a few variables such as records management, open government, the right to access to information and the right to access to information laws reflected on the research problem for the study and key to the study, are derived and articulated and dissected further in the following review of literature. The next chapter thus provides a review of literature on open government, records management and initiatives promulgated by the Botswana government intended towards realizing open government and access to information. Also, the chapter will establish how records management can be integrated into open government initiatives. Literature review will also be on areas related to the research problem and research questions. Thus, the literature review chapter will provide an assessment of the literature from around the globe on the subject under study.

CHAPTER THREE

LITERATURE REVIEW

3.1 INTRODUCTION

The researcher examined the literature on the role of records management to open government in Botswana. Randolph (2009:2) mentions that "literature review is a means of demonstrating an author's knowledge about a particular field of study, including vocabulary, theories, key variables and phenomena, and its methods and history." The main reason for a literature review is to establish for the study a conceptual and theoretical framework on the integration of records management into open government initiatives which has been deliberated on in depth in the previous chapter covering the theoretical and conceptual framework. In this vein, this section of the study examines the literature on the role of a legislative and regulatory framework for records management in open government. It is imperative to reflect on the role played by relevant legal frameworks since they are utilised in informing ways to manage records and for the records manager to abide by acceptable permissible records management practices.

Furthermore, the chapter reviews open government in the developed and developing regions of the world, including Botswana, in order to have a deeper understanding of thecurrent state of open government in various jurisdictions and geographic dispensations. The comparative analysis of the regions and Botswana are done in an attempt to establish where the country stands with regard to open government, regionally and internationally. These reviews are efforts used to identify gaps and find ways in which other countries and regions are mitigating againgst the identified gaps and adopt some where there is a need. Moreover, the chapter further reviews literature on the integration of records management into open government initiatives and on records management challenges affecting the implementation of open government initiatives. This is because understanding open government, records management practices, regulatory frameworks and open government methods serve as the foundation for implementing it. Determining the accurate representation and scope in terms of benefits and challenges of open government in general provides a premise and system for developing a technique in

evaluating the gravity of management integration into open government initiatives in Botswana.

The researcher intends to conduct action research to understand the broader issues and to change and improve records management practices in the studies. This section is arranged as identified above by the following subtopics: the role of a regulatory and legislative frameowk for records management in open government, open government in the developed regions of the world, open government in the developing world, open government in Botswana, integrating records management into open government initiatives, records management challenges affecting the application of open government programs, as well as the condition of records management in Botswana's public sector.

3.2 OPEN GOVERNMENT IN THE DEVELOPED REGIONS OF THE WORLD

In developed countries, commendable open government efforts can be linked directly to the Australian and United State of America's governments, which effectively employed e-government services architecture in the form of websites where the former allows citizens to choose between access points, from call centre, to website, to physical government offices in their locality, and the latter developed a business-oriented services-laden website, which implements the web-portal of the US government's small and medium-sized businesses (http://www.sba.gov). This portal is focused on and planned around segments of a corporation's life cycle and allow access to suitable governmental and non-governmental services. It requires online business registration and enrolment in online business education courses (Schuppan 2009).

Literature extensively shows that across the developed world, governments strive for improved service delivery through electronic means, although they may not necessarily attain similar results regarding the acceptance and use of technology. For open government to be realized, access to information legislation had to be enacted to support in its entirety, countries to completely ensure open government. Sweden has been recognized as having developed the first freedom of information regulation globally in

1766, followed by related legislation by Finland in 1951 and the United States of America in 1966. Typically for countries to achieve open government easily, most have adopted technology as an alternative way of reaching out to their citizens in a more effective and efficient. Having an online presence, translates into but is not limited to widespread access, cost saving and convenience to both the concerned.

Many countries are keen on adopting technology to improve service delivery. For instance, in Romania in 2003, the government established its online portal geared towards offering a one-stop shop for government services. It enabled customers to sign up for collaborative and transactional services and aimed to progressively make every service and information available via this platform. Because of the country's infrastructure that is rapidly advancing, it became feasible for the government of Romania to achieve on several collaborative and transactional services are available online, like the value added tax (VAT) pronouncement, an e-procurement systems that is completely functioning, electronic payment of social security contributions and municipal taxation, innovative career search capabilities, and a civil service recruitment network. Despite these efforts, as per the UN e-government survey conducted in 2008, Romania falls within the mid-range countries in terms of use of e-government (Colesca & Dobrica 2008:206).

Waller et al. (2014) state out that to be able sufficiently offer an online platform for government's e-services, the UK government's plan to provide information and conduct transactions online was first made available and printed in 1996 and later followed by government departments that began to offer information through websites, and eventually online transactions such as the completion of tax returns. According to Beynon-Davies and Williams (2003), the use of ICT in the UK government began in 1997 with the new labour government. Weerakkody, Dwivedi and Kurunananda (2009) explain that critical to the UK's e-government programme was the department of the e-envoy, which was developed after the British prime minister's announcement of a commitment pledged by the government to deliver 100% public services online by 2008 to successfully roll out e-government. However, since inception of the e-envoy, several initiatives and changes were experienced along the way on e-government. In 2004, the UK introduced extensive

alterations to its e-government programme. Besides vital surges in costs on IT and growth with a number of high-profile programmes, a new vision for ICT has been advanced, directed through the reformation of the office of the e-envoy into the e-government unit (eGU). "The new role of the eGU is focused on ensuring that IT supports the business transformation of government itself so that it can provide better, more efficient public services" (Accenture 2005:94).

Throughout its implementation phase of e-government, the UK developed several websites that were applied and later on rejected for newer versions in attempts to improve e-government. In order to have good usage of and accessibility to e-government services, the Equality Act (2010) clearly mentions that websites are providers of a public service and, consequently, are illegal for such a service to discriminate against people. In order for the British government to be able to implement its e-government, there have been other developments and complementary legislations that assist in leveraging e-government by providing recognition of digital information sources, thus permitting and facilitating improved and better information dissemination on digital platforms. However, different laws in the UK provide frameworks that ensure accessibility of websites by all.

According to Al-Mashari (2007:177), "the British Government established what's known as the electronic communications Act which ensures the acceptance of electronic signature and digital documents in court procedures." Similarly, there has been an increase in the amount of electronic commerce activities carried out by organizations. Therefore, these online activities imply that they should be carried out in a professional manner and consideration given to the legal aspects of conducting online commerce (Taylor, McWilliam, Gresty & Hanneghan 2005). In order for the British government to implement and operate smoothly under an e-government platform, the UK meticulously developed laws that are used to assist in the management of e-government and the overall facilitation of such a platform to better improve its delivery of services to her citizens. Moreover, in order to have good usage and accessibility of e-government services, the Equality Act (2010) laments that websites are providers of a public service and consequently illegal for such a service to discriminate against people. In order for the

British government to succeed and implement its e-government, there have been other developments and complementary legislations that can assist in leveraging e-government by providing recognition of digital information sources, thus permitting and facilitating improved and better information dissemination on digital platforms.

The government viewed its transformation into e-government as a modernization endevour which instigated the development of accompanying legislation to drive this modernization. According to Martin (2002), the main step towards the initiation of the electronic government agenda which was targeting local government was through the Local Government Modernisation Agenda (LGMA). Beynon-Davies and Williams (2003) citing Martin (2002) state that there are three main streams of legislation which underpin the modernization agenda, namely (1) the Local Government Act (1999), which states that local government promotes partnerships and collaboration by providing local authorities with opportunities to assess their capacity to deliver improved services, assess risks with a view to offering support in areas most in need, and determine whether or not they could provide better services by exploring different service delivery options; (2) the Local Government Act of 2000, which grants local authorities powers to promote the wellbeing of local communities either economically, socially and environmentally. Similarly, the act also requires these local authorities to promulgate community methods and new operating systems; (3) a policy statement published in 2001 that, among other things discussed, gives a partial reform of the regime of local government finance and a decline in the number of legislative strategies that authorities must formulate for central government.

Beynon-Davies and Williams (2003) note that the foremost intention of the discussed modernization agenda is focused to advance the state of life for local residents. Therefore, to be fully abled to attain that, it is upon local authorities to provide, among other things, an operative foresight and communal authority, engage with local people, inspire public confidence and last, but not least, include services of great standards, which resort guided by the aim to enhace services. Similarly, the Welsh Assembly Government introduced several initiatives since 1997, including the best value regime (the Wales

Programme for Improvement) and policy treaties, in preparation of Effecting Electronic Government.

It is through the portal direct.gov which was established in 2004 and which attempted to give the public a one-stop website that brought together contents from numerous departments and, eventually, there was also a version for mobile devices. Distinct platforms are available forinformation to corporations (BusinessLink) including for the National Health Service. Each local municipality also had its own online platform which are constitutionally different. While part of the information may be connected and through connection shared, all local government portals kept their independence. Nevertheless, substantial central government support has been made available to invigorate local government. This was reviewed after the 2010 general election after which it was concluded that a replacement portal (gov.uk) should be developed to replace direct.gov. This brought citizens, businesses platforms as well as different departmental websites together combined into one. And again it provided a single platform that can be accessed from any computer or electronic device. In comparison, each division prioritized a central, high-volume transaction to render "digital by default" in order to push improved take-up of electronic transactions and minimize operating expenses. The phrase "e-government" was discarded in favour of "digital government", to represent a shift in strategy in support of "digital government," and gov.uk came online in 2012 to displace direct.gov.

Moreover, in the Nordic states of Sweden, Denmark, Norway and Finland a study to determine and describe e-government development strategies for Nordic countries was undertaken by Joseph and Avdic (2016) who assert that the foremost nations in the e-government standings comprise those they were studying (Sweden, Denmark, Norway and Finland). Their study aimed to progress the effectiveness and efficacy of their government services with the aid of electronic information and communication technologies. Accordingly, Joseph and Avdic (2016:13) state that "Denmark is a pioneer in the growth of e-Government among Scandinavian countries. However, Sweden on the other hand was the last country to launch its own e-Government initiative. Their approach

gyrates around integrated e-services, e-identification, e-participation, and e-inclusion, as well as modernization and standardization, and monitoring and legal frameworks."

Joseph and Avdic (2016) further lamented that Finland targeted that by 2015, it will be amongst the top five e-service provider nations in the world, while for Denmark, its clear goals are including several main tracks, amongst which are a full elimination of paper-based administrative processes by 2015, with the implementation of a digital welfare system in healthcare and education, as well as a collaborative public-sector endevour to accomplish its digital strategy. Joseph and Avdic (2016) highlight that Norway's determined objective is to construct the best public-sector development across the globe by close collaboration among governmental bodies. The Norwegian e-government method includes a secure knowledge society with ICT education for its residents, business innovation and value creation, development and growth, and the allocation of public self-service facilities. For those reasons, it is worth highlighting that the existing e-government strategies of the Scandinavian states aim to attain substantial developments in the regions of human-centered and competitive societies, the realisation of concepts for creation and innovation, the construction of inventive knowledge and lasting learning practices, and an interoperable information society.

Moreover, another country that makes up a part of the developed world is Slovenia which has a clearly articulated map on its e-government plan. According to Banjac (2017), Slovenia's e-government somewhat started to take place from the early 1970s and was based on early computerization of the Slovenian government sector at the time. Vintar, Kunstelj, Dečman and Berčič (2003) state that the 1990s saw a big penetration in the informatization of the public administration that had been aided by the establishment of a specialized government division for informatics in charge of establishing a comprehensive IT infrastructure and e-government. Furthermore, Banjac contends that one of the most visible achievements was the December 2003 launch of the strengthened 'E-government State Portal' (now e-Uprava), which provided a variety of services to residents, legal entities, and public employees from the start. The e-government national government

website was primarily designed to be a public portal of the Republic of Slovenia residents, as well as an electronic access point to a variety of services offered by government or public administration bodies.

E-government is appreciated as a driving apparatus towards the inclusiveness of citizens' active participation in issues that affect them socially, politically and economically. What differs from country to country is the approach employed to achieve the actualization of intended e-government initiatives. Gauld, Goldfinch and Horsburghin (2009) state that in North America, it has been investigated and found that people are more susceptible to use 'informational' facilities than 'transactional' amenities, which means they are more likely to use the internet to seek out information but less likely to use it for more complicated problems such as making payments. Jain (2017) is of the view that e-government not only transforms how services reach the public, but it is also an instrument of reform and a tool that can change a government.

Accordingly, e-government in the developed regions of the world is established throughout on different foundations. Vintar et al. (2003) state that in Slovenia, to match the ICT-based information platforms at the turn of the millennium, grounds were laid for the advancement of e-government in the future. The first of these was the Electronic Commerce and Electronic Signature Legislation was enacted. This Act was passed by the government on June 13, 2000, and it went into effect on August 22, 2000. The Corresponding Act no. 215/2002 on e-signature governed the formation, use, rights and responsibilities of private entities and individuals, as well as the trustworthiness and security of digitally signed e-documents (European Commission 2015:22). Following the development of the E-commerce and E-signature Act, the country developed yet another document by publishing in February 2001, the document titled "Strategy for E-commerce in Public Administration for the Period 2001-2004". The government espoused in 2004 an action plan for e-government. It was through this action plan that aims, automated services and tasks involved in launching e-government up to the end of 2004 were clearly enunciated. The document defined simple values, fundamental activities and identified

ventures that were supposed to be applied in a short while, in an effort to advance the country's e-government.

Banjac (2017) alludes that in order for e-government's application to be attained by Slovenia, three papers appropriate to the enhancement of e-government were adopted from 2005 until 2010. The government started off with adopting Slovenia's Development Strategy Document setting out aims of Slovenia's development whereby the welfare of the citizens is a priority. Followed by the adoption in April 2006 by the Republic of Slovenia's E-government Strategy for the Period 2006 to 2012, the report delineates plainly what e-government entails. Finally, the republic embraced the action plan for e-government for the period 2006 to 2010. The recognised three (3) documents above helped to endorse numerous programs aimed at encouraging citizens' engagement, with the most notable being the portal propagated by government (my.suggestion.gov.si).

Despite the three Slovenian e-government strategies having been in place for quite some time, Banjac (2017:43) argues that "between 2010 and 2015, nothing new e-government strategies was initiated, but significant changes in the government's activities in the field of e-government services were underway. The application Supervizor, for example, was created with the aim of improving the accountability of the government's public spending and activities."

In view of the above, it is worth noting that in summation, typically the developed world has essentially pioneered and championed open government, which has seen a large part of it in recent years realized via e-government. This championing is portrayed by a considerable number of states having long embraced laws and policies that improve the right to information and access to information, consequently attaining a somewhat open government. According to Berliner, Ingrams and Piotrowski (2018), the primary instigators were Sweden who, by 1766, enacted the Swedish 1766 Freedom of the Press Act which is seen as the earliest freedom of information legislation. In view of the need to usher in information access and fully drive for an open government, a few developed states, accompanied by some developing countries (Brazil, Indonesia, Mexico, Norway,

Philippines, South Africa, the United Kingdom, and the United States) in 2011 bound themselves to open government through the founding jointly of an Open Government Partnership (OGP), which was aimed at securing solid guarantees from governments to encourage transparency, community empowerment, anti-corruption efforts, and the use of emerging technology to enhance governance (Berliner, Ingrams & Piotrowski 2018). The OGP initiative was somewhat of a follow-up on initial frameworks that were put in place, as discussed above to further improve on open government wholly.

3.3 OPEN GOVERNMENT IN THE DEVELOPING WORLD

Globally, governments attempt to develop and enhance how they run their countries. Therefore, various initiatives such an open government are propagated to improve democratic disposition, grow economies and generally serve as a liaison between the government and the general public. It is explained by Schuppan (2009) that e-government was supposed to act as a provider of services, information, and a platform for consultation and communication. Similarly, Lu and Nguyen (2016) note that countries with emerging economies depend on ICTs as a tool to advance on the efficacy, cost-effectiveness, and quality of government information and services given to the residents.

Around the world, there has been an exponential growth in technology use by citizens, businesses and governments. Technological adoption by government is mainly aimed at improving service delivery and ultimately speeding up information access and the reach of services to the public. Mutula and Mostert (2010) opined that a lot of countries across the world were quite knowledgeable about the importance that e-government would offer in improving citizen service provision. Therefore, to adequately achieve open government, countries formulate legislation that advocates and enforces open government through e-government portals. Over time, the developing world has caught up with developments that encourage communication and the provision of services through ICTs. Onyancha (2010) stated that quite a few African governments have started programmes, plans, and policies to create efficient and operational e-governance. One of these tactics involves the development of government websites. However, of the 53

countries in Africa, only 32 were found to have official government websites that were enablers of e-government.

According to Schuppan (2009), regarding its implementation, e-government in sub-Saharan Africa was underdeveloped, except for South Africa. Schuppan (2009) reported that the underdevelopment of e-government in the region was caused by factors like limited internet access and limited e-government services. In spite of these shortcomings, several governments see e-government as a platform to upload information and an interaction space with citizens. In the sub-Saharan region of Africa, to encourage open government countries like South Africa and Nigeria have promulgated regulatory frameworks in an attempt to encourage open government. Specifically, South Africa developed the PAIA very early in the 2000s as a driving mechanism of access to information (Wamukoya 2012; Senam, Akpan & Mboho 2017).

Furthermore, Schuppan (2009) reported that in sub-Saharan Africa, e-government was minimal and mainly consisted of government websites as modes of communication, information sharing and a focal point in improving service delivery. In Ghana, various departments and authorities of government have their own distinct websites for e-government purposes. The office of the president and the harbour authority utilize http://www.ghanaports.gov.gh/, whereas the tax collection agency has its own website (http://www.irs.gov.gh). However, districts and provinces ddo not have websites of their own; the central "district portal" is the only one website used (http://www.ghanadistricts.com/home/). Onyancha (2010) lamented that African countries were confronted by challenges in their e-governance preparation and execution, and attributed this to feebleness linked with conceptualizing, operating and maintaining systems of e-governance. Onyancha (2010) further stated that a few other government sites, such as those of Benin, Cameroon, Uganda, and Côte d'Ivoire, were either under construction or unavailable. The challenges faced by African countries are largely the result of the lack of sound technological infrastructure to implement e-government, low ICT literacy and low economic development (Aupal & Oleja 2017).

In Sudan, Li and Abdalla (2014) state that the government embraced e-government as a resolution to support accessibility across numerous government entities. However, there have been weaknesses in the country's readiness that impede e-government implementation. These weaknesses include an unstable political environment owing to the prolonged conflict in the south prior to the country's secession in 2011 and the most latest current war in the Darfur, Blue Nile and South Kordfan regions. These have abstracted the focus of national leaders on something other than e-government acceptance and advancement. Also, an embargo and sanctions imposed in 1996, particularly the technological sanctions, have led to isolation from the rest of the world. Moreover, a deficiency in ICT skills and well-trained staff has been deemed as another factor that has impeded the application of e-government ingenuities over time. In addition, this country saw a growing number of its skilled professionals in IT immigrate to Arab states for greener pastures and better salaries.

Li and Abdalla (2014) report that Sudan was ranked 154th and 165th in 2010 and 2012 respectively in the UN's global e-government index and world e-government development rankings reports. According to the UN (2012) e-government development index report, Botswana has shown great improvements as a country in placing the country among the best 10 nations in the African continent, although with a drop in the world e-government rating from 117th in 2010 to 121st in 2012. Chipeta (2018) states that that according to the 2016 e-government growth index survey, Zambia was ranked 132nd in the world, whereas South Africa ranked 76th in the world while in the African continent Mauritius was ranked first (UN 2016).

In India, several initiatives have been established as a means for the government to utilise ICT to bring services closer to the people. Jain (2017) identifies numerous e-government initiatives adopted uniquely by different states to serve their diverse needs. The Bhoomi Project in Karnataka digitised land records, which provided 6.7 million people with access to at least 20 million rural land records. In the Dhar district, the intranet-based Gyandoot initiative aims to provide relevant information to the rural population. The Lokvani Venture is intended to offer e-governance solutions to handling public grievances, land

maintenance and any other essential services. The FRIENDS Project (Fast, Reliable, Instant, Efficient Network for the Disbursement of Services) was designed to allow citizens to pay taxes and easily do other government-related transactions. Finally, Jain (2017) mentions the e-Mitra established in Rajasthan and the Andhra Pradesh's e-Seva Projects. The former is mainly focused on ensuring anytime access to citizen services relating to all the government departments for both rural and urban citizens, while the latter project's aim is to offer government-to-citizen and e-business-to-citizen services. All services are delivered to residents electronically by linking them to the appropriate government departments.

In as much as these e-government initiatives are concerned with ensuring that the public is provided with much-needed access to amenities and information, it does not necessarily translate into a seamless process that achieves what it was set to achieve. This is echoed by Sachdeva (2017:781) who mentions that "despite the fact that the government has launched a range of measures to improve access to public services, the desired results are yet to be fully realized. This is mainly due to numerous front-end and back-end problems that the government is still dealing with. Front-end problems are user-specific concerns such as high illiteracy levels, a lack of user-friendly interfaces, unsatisfactory rural power supply, poor broadband penetration, including quite fundamentally, a lack of knowledge of e-government programmes."

The projects discussed above are notable for what they aspire to do, and not necessarily for what they accomplish. According to Venkatesh et al. (2012) there are challenges associated with technologies in developing countries that are significant to more than just e-government portals and sometimes not limited to ICTs. For instance, successfully implemented e-government initiatives which were examined in rural south India, and South Africa had failed a year later due to factors which are economic, social, political and cultural.

3.4 THE ROLE OF A LEGISLATIVE AND REGULATORY FRAMEWORK FOR RECORDS MANAGEMENT IN OPEN GOVERNMENT

According to Fumega and Scrollini (2011), for citizens to contribute to the policy-making process and thereby effectively collaborate with government, they need to have access to relevant public information as access to government information is a powerful and crucial mechanism in ensuring government accountability and efficiency. With access to information, a government provides a platform for an open government. Openness helps improve public service delivery, enhances government legitimacy amongst the population, and encourages citizens to collaborate with their government and monitor its performance.

Therefore, national obligations towards the notion of information accessibility for the public in the form of laws are a very important move in a bid to grow democracy, transparency as well as the accountability of actions taken while in office. Information management is crucial in all organizations and without access to that information when it is needed for decision-making, it becomes difficult to achieve organizational goals and enhance transparency. Millar (2003) defines access to 'information' as access to 'records' of the documented decisions of government and the evidence that supports and sustains public sector work. Without effective management of the records of government it is not possible to provide quality access to reliable and useful information.

As records are kept for future use, it is imperative for those records to be easily accessible with reliable information. Sebina (2003) elucidates that records are the yardstick upon which present and future decisions and activities of government are predicated. Where records are known to exist, but cannot be retrieved, decisions and activities of government cannot be evaluated. For information to be readily available to the public, there has to be laws that support and uphold access to information because they are critical as they empower information seekers by breaking down the barriers which may restrict access to information. Furthermore, Millar (2003) states that, when citizens seek answers using an 'access to information' law, they are not expecting a public servant to provide that information vocally. They expect to receive the original records, the evidence of the decisions and actions.

Generally, freedom of information legislation has been propagated and implemented by several countries around the globe. As lamented by Mabillard (2018), statistics show that for North American countries, freedom of information legislation was adopted reasonably early. For instance, the United States' Freedom of Information Act (FOIA) was voted in 1966 and enforced a year later. While in Canada, the Access to Information Act was passed in 1982 and came into force in 1983. Similarly, Colombia passed its first legislation on freedom of information in 1888. According to Torres (2012) and Sharma (2015), the adoption of the Code of Political and Municipal Organisation in 1888 allowed citizens to submit requests to governmental bodies requesting public information, thus making Colombia a leading country in South America and, more generally, in the world.

Mabillard (2018) expounds that, freedom of information laws have largely been applied in both North American countries (USA and Canada), as well as in all Central American states, except for Costa Rica, and in several Caribbean islands. In South America, Bolivia, Suriname and Venezuela are the only states where such legislation has not been adopted. Consequently, altogether 24 countries out of 35 have passed a law on access to information, bringing the total to 69%. Specifically, the distribution among regions can be described as follows: North America: 100% (2 out of 2), Central America: 89% (8 out of 9), South America: 75% (9 out of 12) in the Caribbean: 50% (6 out of 12), while in Africa, as expanded by Mabillard (2018), access to information is essentially on the rise. The continent has seen an upsurge in the passing of freedom of information laws since 2014, with six states having passed freedom of information laws. As a result, 21 countries now have some sort of legislation on access to public documents, especially in east Africa. Nonetheless, the global ratings remain rather low because 21 out of the 54 states on the continent not many, as it translates into 39%.

In the developed world, countries such as the United Kingdom (UK) have made efforts to provide the country with access information. Therefore, Acts have been enacted to support and enforce access to information. The World Bank (2014) expounds that the development and implementation of access to information (ATI) in the UK, is enshrined

in the Freedom of Information Act of 2000 (FOIA). It is laws such as the aforementioned that enable organizations to allow citizens access to public records. In the context of Africa, for instance, Rwanda has recently passed right to information legislation. According to the state of right to information legislation in the Africa report (2014), the passing of a right to information law was strategic for Rwanda even as it aims for more economic growth. This is because of the significant role that access to information laws play in the development process. Right to information laws enable development that is participatory, strengthens democracy, aids in achieving transparency and accountability by government and contributes to the effective delivery of services by the government. The Constitution of Rwanda therefore recognizes and guarantees the freedom of information.

Fundamentally, access to information is underpinned upon good records management and legislation. However, many African countries are still lagging behind despite efforts made by some governments to enact and implement relevant legislative and regulatory frameworks. Instances where there are laws in place, there is a lack of adherence to those laws, rendering efforts made redundant. Peekhaus (2011) points to a study that showed that countries such as South Africa and Uganda are placed behind other developing countries in promoting and facilitating access to information. The study revealed that South Africa responded to only 23% of all access to information requests. Similarly, as pointed out by Sendugwa (n.d), Uganda who has not passed regulations that operationalize the law of access to information and has experienced failure in observing the few access to information requests made, has shown that, years since the adoption of the Access to Information Act, the population is still unaware of the law, while the few requests that are made under the law go unanswered.

However, Peekhaus (2011) mentions that in spite of the good brought about by the Promotion of Access to information Act (PAIA) of South Africa to public and private bodies, the obligations that attach to the public sector are more stringent than those for the latter. Therefore, in South Africa, requests for access to information from public bodies do not require any reason or justification for the request although that does not extend to records from the private sector bodies. Accordingly, from the South African and Ugandan

perspective, it is imperative to not only have an initiative in the form of laws, but also to put such laws into practice to fully benefit from their existence.

According to Khumalo, Bhebhe and Mosweu (2017), in Botswana, the public is given the right to access information through of the constitution which provides for the protection of freedom of expression (1966, hereafter the Botswana Constitution). This section acknowledges that citizens have the right to access information and be able to voice their right to information and demand access to the information, as well as the right to receive it from those who hold it. Under the Botswana constitution, the people of Botswana have the right to receive information, but the right of access is not explicitly assured.

Good records management and access to information play a crucial role in open government. Through a privately sponsored bill, Saleshando (2010) attempted to push through Parliament a freedom of information act to promote open government, without success. Botswana insufficiently addresses concerns regarding access to information through its National Archives and Records Services Act, chapter 59:04, section 12, which states that; *"Subject to any written law prohibiting or limiting the disclosure of information obtained from members of the public and to the provisions of this section, public archives which have been in existence for a period of not less than 20 years may be made available for public inspection, and the Director or custodian of a place of deposit shall provide reasonable facilities at such times."*

3.5 OPEN GOVERNMENT IN BOTSWANA

As highlighted above, many countries strive for automation in efforts to develop into regional ICT hubs, and have services provided to the citizens conveniently online. Botswana is no different. Eze et al. (2013) report that the government is still in the process of liberalizing and enhancing regulation of the communications industry. Efforts are being made to reduce communications costs in Botswana, mainly through further liberalization of the telecommunications industry. According to Stork et al (2012), affordable access to ICTs is a policy objective common to all African countries. This is not only as a result of the increasing evidence linking investment in ICT to economic growth, but also because

some of the less tangible and quantifiable benefits of access to information is active citizenry and social and political participation. Open access throughout the rest of the world is mainly a growing phenomenon because citizens demand to be informed. In Botswana, initiatives that are implemented that improve service delivery, access to information and active citizen's participation such as e-government reforms, are a welcome development. They offer the public an opportunity to access information and become knowledgeable about the government operations. The government of Botswana developed ICT initiatives focusing on the digital divide, e-government, innovation and entrepreneurship. These initiatives are the: Connecting Communities Programme, Kitsong Centres, Thuto Net, the Government Online Initiative and the BIH. These identified initiatives are discussed in detail below and these programs are also part of the data collection instruments and were addressed further in the results chapter.

3.5.1 Connecting Communities Programme

The Connecting Communities Programme is focused on providing information that is relevant to the needs and conditions of the local people. The purpose of this initiative is to ensure that populations in rural, remote and urban areas have affordable and accessible computer and internet services. When it started, 197 communities were identified for the programme. According to Moatshe (2014), a variety of targets for the Connecting Communities Programme were established. These said targets for the Connecting Communities Programme included but were not limited to, ensuring that all communities (involving over 2 000 inhabitants) were connected to high-speed network access, and having 50 and eventually 100 fully functioning community access centres, which targeted the enablement of all public libraries and/or book rooms to connect to high-speed network access and have mobile internet units deployed with high-speed satellite access. To fully reach out to the residents of Botswana, concerted efforts were made in different capacities by the government in order to empower citizens to access information, regardless of geographic dispensation.

Equally, the Botswana national ICT policy termed "Maitlamo" policy of 2007 that was formulated to address the many issues relating to ICTs, identified the Connecting

Communities Programme as having been designed by the government to provide residents of Botswana, regardless of where they are located in the country, with access to computers and the internet with a keen emphasis on those who do not have connections and ICT infrastructures either at their work places or their homes. It is through this programme that community access centres would be established throughout the country and from these centres the internet will be provided to the members of the public in order for them to have not only access to information, but also to other vital services such as but not limited to school registration, social benefits, birth certificates and passport applications, livestock tracking; to mention just a few.

In order for these community access centres to have the major impact that they are supposed to have on the lives of the ordinary people, they will be situated wherever possible in schools and libraries to reduce cost. Similarly, according to the Guide to ICT Initiatives and Research Priorities (2012), this programme is focused on providing communities in rural, remote and urban centres with cheap and accessible ICTs and the internet. A total of 197 communities were identified for the programme. Although this initiative of connecting communities is focused on giving residents convenience and cost saving by bringing services closer to those in need, it is worth stating that information that is used, especially for official purposes, has to be looked after in a systematic manner to ensure that the information stays authentic and reliable.

3.5.2 Kitsong Centres

According to Joseph (2014), Kitsong Centres are a Botswana Technology Centre (BOTEC) ingenuity. The Kitsong centre initiative was propagated by Botswanan government intending to solely focus on the provision of rural telecommunications. This programme is dedicated to providing essential ICT infrastructure services in rural areas and bridging the digital divide of its citizens and arming them with a platform to access information. Morakanyane (2010) explains Kitsong Centres as intended to enable people living in rural areas to have access to integrated email and online information, with emphasis on the distribution of locally generated information for various aspects of the

development of the rural economy. Furthermore, Kitsong Centres are mandated to develop an integrated computer communication system that will link rural communities and information providers, government or private, thus easily enhancing service delivery and ultimately saving the community's travelling time and costs while at the same time serving as a marketing tool for products and services in both the rural and urban communities.

Morakanyane (2010) further explains that information availed through these centres would vary but would adequately, amongst other things, cover the historical background of the village, highlight the different ethnicities found in the village, business activities and opportunities that exist in the villages, and offer downloadable government forms that aid socio-economic development. These downloadable forms include information and application forms for youth grants, documentation of some of the government processes such as company registration and business license renewals and others. These centres are identified as community based and generally are operated in existing institutions like schools, public libraries or government departments where there the public can access the facilities easily. Essentially, these centres were established to encourage access and utilisation of ICTs in the rural areas to assist those communities to use opportunities brought about by ICTs to alleviate poverty, access social services and facilitate the growth of an informed and educated nation (Lebele 2016).

The presence of these centres within communities offer other support systems to the societies at large. That support is manifested through their dependence on these community centres because community members emerge as economically dependent on the existence of these centres because operators generate employment for other community members who assist them with daily centre operations; hence providing them with income which helps sustain households and livelihoods (Joseph 2014). Similarly, Murray (2001) points out that these centres are supposedly intended to integrate relatively isolated communities into the national and international information networks. Through this, they accelerate the exchange of private goods and services, the transfer of expertise to and from the community in a number of areas such as in the agricultural sector, and in

this way, local producers can access market information, subsequently reducing the need for middlemen and increasing rural income.

3.5.3 Thuto Net

Another open government initiative considered is the Thuto Net, which is an expansive project that incorporates the schools' connectivity and links all secondary schools to the internet. According to Garegae (2012) and Kgokgwe (2003), the Thuto Net programme focused on the school connectivity and concluded that the availability of schoolroom computers is a guarantee for both computer literacy and ICT subject integration. The Thuto Net was not necessarily created for ICT subject integration but rather for using schools as centres or cafés for communities.

Additionally, the Maitlamo policy (2007) expounds that the Thuto Net initiative is an approach that could be implemented to address the developmental aspects of Botswana's ICT to better position her and the people of Botswana to achieve the country's aim of having a knowledge-based economy and be competitive globally. Thus the Thuto Net is geared towards linking all secondary schools to the internet, where a total of 104 out of 235 secondary schools were identified throughout the country as having access to the internet. This initiative aims to give all the identified and connected secondary schools in the country have computer laboratories comprising approximately 15 to 20 computers. Therefore, this initiative is aimed at reducing literacy gaps between students in urban schools and rural schools. It is also geared towards better positioning learners to ICT literacy; hence the department of education is training teachers on using ICT as a classroom tool (GESCI 2017; UNESCO 2016; Guide to ICT Initiatives and Research Priorities 2012).

Furthermore, UNESCO (2016: 31) argues that "to successfully implement the Thuto-Net programme, an efficient infrastructure connecting all schools and learning centers must be accessible, affordable, fast and offering reliable network services. The School Connectivity Initiative will connect about 100 primary schools (out of 753 schools), 208 junior schools, 35 senior schools, 13 colleges and 40 Brigades." However, the Thuto Net

initiative, through the Maitlamo national ICT policy (2007), states that sustainable ICT-driven transformation and national growth will only be achieved through the development of local skills and expertise with a particular emphasis on the development of ICT skills in children and young adults. In order for the country to achieve its goal of a "knowledge-based society" as outlined in its 2016 Vision, the policy outlines that the government will expose children to highly effective education in ICT. Furthermore, the policy elucidates that the Thuto Net initiative demands that ICT be introduced to learners at the earliest possible age and formalized into the general curriculum so that learners acquire ICT skills throughout their academic development.

According to the Commonwealth of Learning (2015), Botswana's national development plan 9 (NDP 9) identified Thuto Net as a tool to use in integrating ICTs across the nation's education spectrum. It included providing all schools with modern ICT infrastructures such as computers and access to the internet; increasing the ratio of computers to learners to 1:7; designing and implementing an ICT content and curriculum development programme for the primary, secondary, vocational and tertiary sectors; designing and implementing professional development amongst teachers; developing ICT skills programmes for adult and non-formal learners; introducing a strong ICT proficiency measurement and skills monitoring programme; supporting e-education research and development; and securing funding to sustain ICT use in education. Therefore, Thuto Net is an expansive, overarching programme that includes the Schools Connectivity Initiative (or School Net) and the Computers for Schools programme that supports Botswana's Education System.

3.5.4 Government On-Line

The Government On-Line ingenuity is a web portal with information and e-services that have been developed to avail services online for citizens. Moatshe (2014) expounds that the portal extends the "reach" of government and provides citizens with access to information and services, from virtually any location. The Government On-Line initiative is aimed at providing over the internet all government services that are appropriate for online delivery.

Through this initiative, citizens will be able to conduct numerous services online such as license applications, payments, school registrations, including applications for citizens' identity cards and passports, businesses and company registration, tax submissions, micro-credit applications and export advice. The Government On-Line initiative will not be restricted to residents and citizens only, as visitors to Botswana will use the e-government portal to access information and services on matters such as tourism and investment opportunities (Maitlamo Policy 2007). Therefore, for the public sector to deliver on the various objectives of service delivery set individually at departmental and ministerial levels, or on those that are identified above, there is a need to try and incorporate records management with e-government especially considering that, open government can be realized twofold; either as permission granted to those seeking information and as the provision of information by those that are creating agencies and custodians of information. Venson, Ngoepe and Ngulube (2014) observe that in the Botswana National Development Plan (10), there is an inclusion and objective of archives and records keeping in the country's developmental plans. Venson, Ngoepe and Ngulube (2014) further reiterate that it is through the National Development Plan that the government recognizes that archives and records management should be properly managed since they are key and critical resources that contribute towards national development.

Conversely, in the Maitlamo ICT policy it is further stipulated that it is through this government online initiative that information access will be rendered to the residents of the country. The Guide to ICT Initiatives and Research Priorities (2012) asserts that this government web portal has been developed primarily to offer information and e-services. Moreover, the portal is customer focused, making the organizational structure of government more transparent to citizens and business. Essentially, it is by e-government that interactions by government with constituents, clients and partners are achieved easily. The portal extends the "reach" of government and provides everyone with access to information and services, from practically any location and at any time. Furthermore, all government services that are appropriate for online delivery are availed through the government online platform on the internet.

However, recent studies on e-government suggest that even with an initiative such as Government On-Line, even with its online presence and implementation, there is still limited use. Moatshe (2014) notes out that through this initiative, only a few services already exist such as school results dissemination on the portal via short instant messages (SMS) and there are available and downloadable business forms on some ministries' websites. Through the Presidential Speech of 2012, Moatshe (2014) further found that the number of citizens able to access online services is reportedly growing, with surveys suggesting that 42% of citizens now go online several times a week, with an additional 23% making occasional use of the internet.

3.5.5 Botswana Innovation Hub

According to the Guide to ICT Initiatives and Research Priorities (2012), the BIH is responsible for stimulating start-ups and providing an enabling environment for technology-driven investors. It provides stakeholders such as researchers, higher education and the ICT industry, a forum to interact with each other to foster innovation and new business. Furthermore, the Guide to ICT Initiatives and Research Priorities highlights that the BIH is an initiative that is geared towards offering an ideal location and environment from which to run business operations with complete tax incentives, innovation fund, incubator with a specific aim of increasing ICT eco-system and a move away from the current reliance on diamonds. In order to better position itself to be able to deliver on technological innovations, the BIH has partnered with Microsoft as part of a joint initiative to grow and stabilize the ICT sector. It is aimed at realizing digital inclusion through skills acceleration activities, job creation, thought leadership and fostering of local innovation. The BIH has proposed sectors through which businesses, research and training could be explored. These areas include ICT, bio-technology, and energy and mineral technology. In his study, Moatshe (2014) explains that the BIH is responsible for stimulating start-ups and providing an enabling environment for investors. Technology-driven and knowledge-intensive industry, researchers, higher education and the ICT industry, are provided with a forum to interact in order to foster innovation and new businesses.

With several initiatives propagated by Botswana to implement e-government and avail it to the public at large, for purposes of this study, the researcher has identified all government initiatives as appropriate open government projects for this dissertation, to best inform this study on the effectiveness of government initiatives for improved service delivery to the public through e-government channels. Records are pivotal to fully implement this initiative for multiple services online such as license applications, payments, school registrations, applications for citizens' identity cards and passports, businesses and company registration, tax submissions, micro-credit applications and export advice. These recognized services would require expert knowledge of managing records, whether electronic or paper based, as it provides evidence of all that has transpired between an agency and the applicants. Integrating records management into open government initiatives cannot be ignored or separated from achieving actual open government to the residents and citizens of the country. Ngoepe (2012:84) contends that "organisations without proper records management run the risk of destroying records too soon and, consequently, of not being able to produce the records when legally required. Alternatively, they (organizations) adopt the costly practice of keeping everything forever."

3.6 INTEGRATING RECORDS MANAGEMENT INTO OPEN GOVERNMENT INITIATIVES

Another study within the context of Africa looked at "records management readiness for open government in the kenyan judiciary" similarly, this study was focusing on records management and open government. These studies are dissimilar as the Kenyan study's research questions were on but not limited to; determining how records were being created, accessed, used, stored, maintained, appraised, disposed of, and as well as preserved, followed by establishing what were the skills and competencies possessed by records management staff in the Kenyan judiciary including a focus on determining what strategies was the Kenyan judiciary using to achieve openness. And comparatively, the Kenyan study utilised OGIM as its guiding theory similar to this study. However, despite similarities established between the two studies, this study on another vein used the Open Government Maturity Model (OGMM) to establish the level of e-government implementation and maturity by the Botswana government. Because there has been an

exponential shift to online platforms the OGIM was identified as appropriate to evaluate the process and significance of integrating records management into open government initiatives. However, to further understand in general e-government and open government in Botswana's public sector and strides made.According to Fath-Allah, Cheikhi, Al-Qutaish, and Idri (2014) various maturity models are selected for use to evaluate or categorise e-government portals. They explained that this is done to assess electronic services provided to the citizens.

An Open Government Maturity Model (OGMM) had been proposed for use to gauge progress of the government and its departments alike towards achieving openness and and their ability to implement successfully set milestones. According to Lee and Kwak (2012) there are five maturity levels to open government, starting with the first level (Level 1) being the initial conditions, followed by data transparency (Level 2), then level 3 as open participation,whilst open collaboration is at fourth (Level 4), and finally ubiquitous engagement (Level 5). Thus government agencies can use OGMM as a guiding framework inevaluating their current level of open government maturity and to enable themselves to move to higher levels of maturity in a systematic and incremental way. Critically the important principles of OGMM are that government agencies should follow the proposed stages from the lowest to higher maturity levels, instead of achieving all maturity levels at once or skipping a level and jumping to the next level (Lee and Kwak 2012c). The OGMM is depicted below in Figure 2.

Figure 2: The open government maturity model (OGMM)
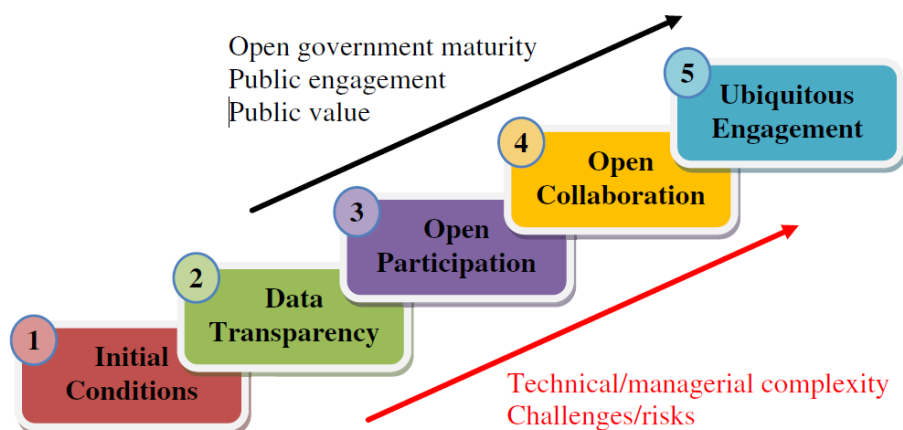
According to Lee and Kwak (2012) the first level focuses on information broadcasting, and it is only here that limited data is made available thus becoming a one way static communication route and therefore, little or none existent public engagement. The second level of data transparency establishes transparency of government processes and performance through high value, high impact data that is published online thus inceasing public awareness of government data, increased accountability and an improved quality of the data and a shift into cultural openness starts here. According to Lee and Kwak (2012) data transparency can be measured by establishing a reduction in the number of FOIA requests, and the accuracy in data, consistency and timeliness. Furthermore, the next level they identified is that of open participation that is highlighted as involving public feedback, conversations and in general interactive communication between the government and the public. It is during open participation that the building and development of a culture of transparency is achieved, conversely, it is on this level that there is a pervasive use of social media for interactive purposes and on-going conversations with real-time instant and diverse feedback from the public achieved. This open participation therefore they opined that it can be measured throughthe usefulness and quality of public comments and ideas.

Lee and Kwak (2012) further explained that the fourth level involves interagency collaborations, open collaborations with the public and the public is engaged through

project tasks which is achived through various social media platforms such as google docs and wikis that can be measured by the number of value added services and number of interagency collaborations. And lastly they identified the fifth level of ubiqouitious engagement as a level to measure maturity of openness by stating that it is here that there will be an increase in the scope depth of data transparency where data can easily be accessed via mobile gadgets with the public engaed in multiple government activities and openness achieved throughout lifetime. This is measured by the number of mobile users and level of integration of open government processes.

In order to achieve transparency countries globally have adopted open government data to grow public trust in the government and increase citizens' participation through data portals aimed at disclosing public records (Saxena and Janssen 2017; Corrêa, Couto de Paula, Corrêa and da Silva 2017). According to Wamukoya and Mutula (2005), in other parts of the world, especially the developed regions such as North America and Europe where government services have increasingly moved online, volumes of produced e-records are used for several purposes, such as confirmations of pension and other entitlements to residents, birth and death registrations, verifying of citizenships, and many more functions. Therefore, it is imperative to often always have provisions for good records management practices that would eventually ensure that e-records created by the citizens is managed appropriately and diligently in order for the produced e-records to be always available when required. The above sentiments are echoed by Wamukoya (2012: 123) that "records are fundamental to the success of ICT and e-government initiatives, ICT systems will fail if electronic records cannot be identified, retrieved and used, if their integrity cannot be established, if they are stored improperly, or if they cannot be linked to related paper records. Therefore, even as governments, as well as private sector agencies across the continent fast-track the introduction and adoption of ICT systems, the end product is the record which documents decisions or actions. When managed properly, the records convey high quality, reliable and timely information that can be relied upon."

Sound records management practices cannot be over emphasized in any government structure as they offer a variety of important roles such as providing for an accountable and transparent government. A study conducted by Lembethe (2018) concluded that generally, records management has a significant role to play in promoting good governance because a cornerstone to good governance is transparency and accountability which are anchored on records management. Therefore, a clear records management framework guides the very existence of good governance and provides a conducive and ideal environment for information flow amongst the citizens and information bearers. Isa (2009:68) explains that "records provide evidence of administration and operation, they only surface when triggered by an accountability process that is intimately related to the responsibility of the government." However, records management and records keeping practices have not been fully developed or implemented in Botswana despite their obvious importance of providing corporate memory, which is vital for the accountability of those in government offices. Keorapetse and Keakopa (2012) point out that a poor state of records may contribute to breeding corruption if records are not well managed for accountability of officers' actions.

In Botswana, government records from various departments are managed in their respective creating agencies, but eventually, after conducting primary appraisals, they are transferred to any national records centre across the country and inactive records, upon determination through a secondary appraisal of its long-term value, are transferred all to the national archives for their centralized management, specifically during their non-current stage. According to Mosweu (2011), the BNARS was established in 1967 although the archives legislation was passed by an Act of Parliament in 1978. It is the National Archives Act of 1978 that offered the BNARS the mandate to manage the preservation, custody and control of public archives of Botswana. The mandate of the department was expanded in 1992 by Circular No. 4 of 1992, to cover the management of records for the entire life cycle and the consequent amendment of the National Archives and Records Services Act in 2007. Imperatively, the BNARS Act of 2007 as a revised and improved archives and records management framework has notable changes to it, as

alluded to by Kalusopa and Ngulube (2012) that the Act was reviewed to strengthen the general management of current or active records and specifically electronic records.

In spite of the department's mandated responsibilities of managing archives, as the overseer to government departments in various capacities such as advising on records procedural manuals, the BNARS has failed to address the shortcomings in its advisory role since it has not always managed to deliver from that end. According to Ngoepe and Keakopa (2011), the BNARS is still faced with lots of challenges in satisfying departments and ministries to fulfil its records management role, especially in developing national policies and procedures, appraisal of records and a lack of retention schedules.

Keorapetse and Keakopa (2011) further contend that there is a general lack of proper policies, procedures and other guidelines from which government bodies can derive their own specific policies. Equally Kalusopa (2016) explicates that several researches conducted on the state of records management in Botswana revealed a few issues associated with the management of paper and electronic systems, recovery processes, long-term protection of digital information, access problems, and dealing with the transition from manual to electronic systems. Kalusopa (2016) citing Moloi (2006) outlines and bemoans a lack of procedures, lack of policy and legislative frameworks, and lack of skills, to mention just a few, as challenges in the public sector. Equally, Tshotlo and Mnjama (2010) performed a records management audit in a local government at the Gaborone City Council (GCC) and revealed many challenges, amongst which a lack of records management policies to guide the creation, storage, access, retention and disposal of records.

However, in first-world countries like in the UK, records management as an enabler to open government has been seen as critical. According to Lowry and Shepherd (2014), the UK has a national action plan focused on enhancing the importance of good records management practices to encourage open government. However, there is a need to enact and implement laws relevant to access to information, and have good records-keeping practices to encourage access to information. However, it is apparent that Britain has also

been subjected to "poor" records keeping, thus limiting access to information. Anderson (2011) alludes that the British government intentionally lost archival records which might otherwise implicate their colonial administration on human rights violations in Kenya during the Mau resistance. Contrary to common belief that the developed world has structures like records management policies, laws and infrastructure in place which are in most parts effective when managing records, it is with dismay that there appear to be gaps and loopholes in such structures, as portrayed by the British government due to the irregularities accompanied by the colonial Kenyan archival records.

A country closer to Botswana, South Africa, has a secrecy bill that would somewhat counter the PAIA. Klaaren (2015) asserts that the Bill attempts to put into law a government duty of confidentiality that goes beyond the conventionally narrow protection of national security information. In this sense, the Bill was understood as a statutory mirror of the PAIA, whereas the PAIA provided rules for government information disclosure, the Bill would provide rules for non-disclosure of government information consistent with the PAIA. Further afield in the African continent, Nigeria enacted the Freedom of Information Act (2011) which in itself was designed to grant access to information; however, hoarding of vital information is a challenge. Primarily because the Freedom of Information Act, provides for reasonable refusal to grant information, public officers or public institution can refuse an applicant access to public information as far as they can justify such refusal (Senam, Akpan & Mboho 2017).

While African countries are submerged in a clutter of poorly managed records leading to undetected fraudulent practices, unaccounted actions and mismanagement of government funds, a number of sub-Saharan countries, including Botswana, Sierra Leone, Gambia and Kenya, have hindered access to government records, which has led to failure to account for fraud and corrupt practices. Due to this, open government becomes a mirage because government practices are shrouded in secrecy (Keorapetse & Keakopa 2012). These sentiments are further shared by Keakopa (2013) as she goes on to argue that organizations in Botswana do not have records management procedures and the country remains under-developed with regard to records-keeping practices.

Similarly, in his study, Ngoepe (2008) states that records are initial ways by governing entities to justify and prove their decisions and actions taken. A government division's ability to function efficiently and give account of its actions could be negatively affected if proper records management practices are not applied.

To corroborate the assertions discussed above on poor records-keeping practices prevalent in the African continent, for instance, Ngulube and Tafor (2006) note that, among other things, this is due to limited resources, the lack of standards, inadequate training, neglect of electronic records and a general lack of legislation and guidelines. They identify problems ranging from funding, lack of skills and standards to manage records and archives, poor appraisal practices, preservation challenges and ethical issues as contributory to poor access capabilities to records. These assertions highlight the importance of good records management despite underdeveloped records-keeping practices identified around the world, but more especially in Botswana. Therefore, integrating records management into open government initiatives will not only avail information to the citizens upon request, but also enhance access to information and encourage open government.

3.7. RECORDS MANAGEMENT CHALLENGES AFFECTING THE IMPLEMENTATION OF OPEN GOVERNMENT INITIATIVES

3.7.1 Records management factors that promote open government initiatives

Ultimately, all of the identified open government initiatives in Botswana are e-government-based approaches that seek to improve service delivery and access to information. Nkala, Ngulube and Mangena (2012) explain e-government as involving the use of information and communication technologies to improve the delivery of government services and information, enhance the efficiency and accountability of the public administration and strengthen economic performance. They continue to argue that e-records are inseparable from e-government since the electronic delivery of services online to businesses and citizens will produce electronic records as evidence of what transpired. The evidence will need to be retained as records, which in turn requires e-records preservation to enable reliable continued access.

According to Muchaonyerwa and Khayundi (2014) and Marutha (2011), e-records resulting from e-government ought to be looked after and used to effectively continue providing evidence of e-government activities undertaken by either the public or government officials. Since properly managed records are beneficial to organizations or government bodies, they are rewarded with but not limited to, easy retrieval and access to records. Organizations are custodians of large volumes of records, and these are faced with a variety of issues that can either hamper or enable access to information. Access restrictions, records preservation, authenticity, reliability and security concerns are some of the issues that promote or hinder open government. To provide the public regularly with records for consumption with the assurance that they have documented accurate and reliable information, it is imperative to establish systems that would ensure the authenticity of records.

According to Meijer (2003), archival science is focused on ensuring the authenticity of records and curbing records alterations, thus warranting records to be the same as they were initially created. Similarly, it is an ideal for governments who are accountable to strive for records authenticity as the residents and citizens expect trustworthy records to be available and accessible to the general public. Park (2004) explains that the authenticity of records is the ability to establish the integrity of documents by ensuring that they are complete and unaltered from their time of creation. Duranti and Blanchette (2004) define authenticity as the trustworthiness of records, whereas Park (2004) and Duranti and Blanchette (2004) state that an authentic record is a record that is what it purports to be, Rogers (2016:26), citing Duranti and MacNeil (1997) elucidates that "Authenticity is protected and guaranteed through the adoption of methods that ensure that the record is not manipulated, altered, or otherwise falsified after its creation, that is, the record is precisely as reliable as it was when made, received, and set aside."

Moreover, it is suggested that immediately when electronic records are created and captured, they must be maintained in a manner that their attributes of authenticity, reliability, completeness and usability are preserved for as long as the records are needed

to serve the organization's business needs, and to meet accountability requirements prescribed by state law or organizational policy (Ngoepe & Saurombe 2016). Constant changes in technology inevitably brings about a need for records to be well preserved, especially that digital records are found within an environment that is quite volatile in itself due to technological obsolescence, concerns over loss of information as a result of intentional and unintentional deletions. Katuu (2006) is of the view that technological innovations have improved in several aspects that are concerned with access to information either through the speed at which information may be retrieved or options for records storage both in the office and at home. However, with these developments came concerns about technological obsolescence, resulting in increased pressures of long-term preservation of the information generated. Due to fears on potential loss of information across the globe, efforts have been made to try and protect e-records.

In North America, the US congress came up with the National Digital Information Infrastructure and Preservation programme (NDIIPP) legislation in December of 2000, which assigned the Library of Congress to lead a national campaign and countrywide planning efforts on the long-term preservation of digital content, as well as to capture current digital content that is at risk of disappearing (NDIIP 2005). The European Commission introduced the i2010 digital libraries initiative, which was geared towards digitization and providing an online presence aimed at the preservation and accessibility of cultural and scientific heritages of Europe (Commission of European Commission 2005). All the while in the African continent, according to IRMT (2008), in response to the challenges brought about by digital preservation, quite a few training programmes were introduced for records managers, especially to those that specialized in the management of electronic records. These training programmes were established in order to assist information professionals to manage any sort of challenges related to the preservation and management of digital records.

Therefore, having a system that is relevant and appropriate in the management of e-records can be utilized to effectively reduce risks in digital records preservation and their authenticity, and control access to the records easily. Johnston and Bowel (2005) argue that employing technologies like an Electronic Document and Records Management

System (EDRMS) has benefits such as less effort to complete tasks, compliance with legislation and records management requirements, and work done in a shorter time than in a manual system. Furthermore, there is enhanced access and sharing of information and an ability to secure and protect confidential information. Also, according to Commonwealth of Australia (2011), an EDRMS has the ability to improve access to information, improve information security, automate business processes and eventual improved information management that may ultimately have organizations adopt EDRMS solutions. Mainly through an EDRMS, can control over access be easily attained, thereby enabling the much desired open government platform to succeed.

Controlled access to records is imperative because electronic records are typically much easier to track, especially if there has been unauthorized access to the systems and any changes made to the records themselves. De Mingo and Cerrillo-i-Martínez (2018) argue that due to improper or unauthorized access to information and possible traces of evidence on the probable manipulation or deletion of documentation, changes or falsifications of records can be able to be easily tracked within the records management system, and the mere absence of records-keeping controls would create suspicion that tampering had occurred.

However, considering that many facets of any nation's economy are dependent upon records to show evidence of actions, decisions and transfers that take place, the health fraternity also experiences creations and the receivable records frequently. Conversely, as deliberated in their study on the Continuous and Transparent Access Control Framework for Electronic Health Records, Jayabalan and O'Daniel (2017) state that information access control is an ultimate mechanism to be implemented for Electronic Health Records (EHR) to ensure confidentiality and integrity of data and resources, as it maintains the confidentiality through the disclosure of information only to an authorized person.

Furthermore, Jayabalan and O'Daniel (2017) opine that access policies should be enforced in order to limit the actions of an individual user or group subject to the need-to-know principle. Here it is critical to acknowledge patients' consent as an important consideration and vital requirement for the EHR system to be implemented because it

should be incorporated into the access to information policy in a way that provides patients the right to limit access to their personal data during normal situations. A country like South Africa that has amongst its ranks the Protection of Personal Information Act (POPIA) that purports that there are two levels of personal information: ordinary personal information and special personal information. Therefore, health records are within the category of special personal information and can only be processed under special conditions thus permitting mainly the patients to disclose their health records or give consent given to another person to divulge their information (Katuu 2015).

Likewise, records security is tantamount to other factors that promote open government as access to information without securely and safely looked after records may result in the likelihood of loss of information through intentional deletion, theft and alterations consequent to unauthorized access or poor security measures. According to Trinkaus-Randall (1995), the security of records includes consideration of elements such as fire alarms, provision of adequate access controls, provision of fire detectors and existence of emergency exits are provided to ensure that records are safe and if there is any sign of danger, the equipment designed for raising alarm takes effect. There has to be systems in place which would keep e-records secure from outside intrusion and the authorization of access to e-records should be controlled in a different approach altogether. The elements which are to be considered for disaster preparedness should vary drastically for both paper and e-records because they are faced with dissimilar challenges. Wold and Shriver (1997) reiterate that security control protects items against theft, and deliberate or unintentional damage and destruction. As such, security control refers to all the measures adopted within an organization to safeguard assets, ensure the accuracy and reliability of records, and encourage operational efficiency and adherence to prescribed procedures.

In taking the aforementioned into account, it is of outmost importance that organizational records are authentic, clearly prove their provenance and are secure, as these would provide the organization with the necessary means of accounting for actions and decisions undertaken. Meijer (2003) opines that accountable government organizations need to ensure the authenticity of their records. They implement technological and

organizational safeguards for the preservation of authentic records, and have measures in place to control access to records, and to ensure that records are authentic, reliable and accurate bearers of information. For records to be considered legitimate, they should not be easily tampered with or altered where they would lose their authenticity.

3.7.2 Records management factors that inhibit open government initiatives

According to Meijer (2003), the use of ICTs can threaten the authenticity of records in different ways. Records authenticity constraints emanate from, amongst others, a lack of uptake or implementation of initiatives designed to leverage open government. Conversely, over time, sub-Saharan countries such as the South African government has incorporated e-government in the public sector to enhance service delivery. Nonetheless, according to Tyhulu et al. (2016), South Africa lacks electronic records preservation, infrastructure and technically skilled staff to manage a trusted digital repository. This in spite of the attempts by the government to benchmark against international standards on policies and strategies in the adoption and implementation of electronic records management. These limitations, like the one shown above, lead to the loss of credibility of records due to the doubtfulness of their authenticity resulting from unskilled manpower managing a digital repository, amongst other things. Moreover, despite all documented efforts of trying to prolong the lifespan of electronic records to achieve long-term access to information, records managers are often faced with the challenge of managing and looking after large volumes of e-records with little or no expertise in how to tackle various issues that are a manifestation of e-records.

The most direct threats are of a technological nature. Malfunctioning of digital systems may lead to corruption of data and digital records can generally be altered more easily than paper records. Therefore, good records management and good security measures are crucial as they offer a platform for access to information that would not be tampered with in any way. Security of records is critical because a record should have integrity, provide reliable, accurate information from the records creators and should also be readily available. Duranti (2009) mentions that a record has integrity when the message it is meant to communicate in order to achieve its purpose is unaltered. For records not to be altered easily they should have security to curb unauthorized access or, in some

instances, have software that protects e-records from alteration upon accessing. However, InterPARES (2002) states that electronic records produced by information technologies tends to pose significant risks that may lead to records being altered, either inadvertently or intentionally. Conjointly, poor records management would hinder open government initiatives consequent to poor security measures for electronic records produced by organizations.

Furthermore, in managing records, the primary objective is to store records safely and provide them as corporate memory. For continuity to take place, the preservation of records should be sought after to allow for access to information. In democratic countries that observe people's rights, access to information is of great importance and governments of the day come up with initiatives that would enable their citizens to have access to records produced in the public sector. Access to records makes audits and accountability easier to achieve. However, for this to take place, records should be produced, managed and well preserved. Lin and Ramaiah (2003) opine that with physical records, the information is contained on media that are durable and that can be read by sight or with relatively simple viewing devices. While deterioration is visibly apparent and there is a time window during which conservation measures can be undertaken if required, paper records should retain their integrity and usability for many decades, even centuries, under proper environmental conditions. Furthermore, Lin and Ramaiah (2003) are of the view that an electronic record is preserved if and only if it continues to exist in a form that allows it to be retrieved, providing reliable and authentic evidence of the activity that produced the record. Poorly preserved records and documents offer little or no access to information, as records with longer lasting value may be lost amid their scanty management.

The preservation of records produced in either medium is critical, as it allows for an open government where records can have a longer lifespan, regardless of their medium. Due to the needs associated with the preservation of digital records, the National Archives of Australia has come up with the agency-to-researcher-preservation project in an attempt to formulate better preservation tactics for their digital records as a country. Heslop et al. (2002) state that the agency-to-researcher-preservation project was mandated to ensure

that digital records of long-term value will remain accessible for use over time with sound preservation strategies employed for the longevity of digital records. Preserving digital records relies on the ability to authenticate

3.8 THE STATE OF RECORDS MANAGEMENT IN BOTSWANA'S PUBLIC SECTOR

Overall, the country has a national policy that guides and informs government departments and to a lesser extent private businesses on issues relating to archives and records management. However, Ngulube (2004) notes that legislation needs to specifically address digital records management, although he found that in most cases in the region of sub-Saharan Africa, it does not adequately address digital records. Similarly, Ngulube and Tafor (2006) recognize weak legislation that does not account for digital records as a problem in sub-Saharan Africa. In spite of these shortcomings, Botswana, through their National Archives and Records Management Department, has the NARS Act of 2007, which was initially formulated in 1978 and amended later. In spite of the position of importance held by records for both corporations and the nation, even with the presence of a national policy that guides on archives and records management, in Botswana records management is still in its infancy, with little or no recognition within organizations.

Keakopa (2013:38) reports that "in Botswana, recordkeeping practices remain marginally developed with only a few organisations making efforts to design records management policies and procedures. However, most of these efforts are still fragmented in approach and do not cover the whole life-cycle of records as guided by the International Standard for Records Management, ISO 15489." Keakopa (2013) further maintains that there are mounting concerns regarding the lack of policies and procedures essential for the implementation of records management strategies. Moreover, she reports a lack of implementation of available policies and procedures; lack of resources; poor storage facilities; lack of understanding and appreciation of the role of records management in organizations. She continued to highlight the position to be taken by organizations in order for them to be more accountable to the public, as she mentioned that strategies

development should be more aggressive because records management in Botswana is still in its infancy.

As a result, over the years, organizations in Botswana have relentlessly been attempting to improve their records management as shown by the adoption of ways to develop a records-keeping system, for example, at the Botswana Meat Commission. Mnjama (2000) bemoans the lack of trained staff that could not develop and implement a functional records management programme. IRMT (2008) in its study discovered that most records managers in Botswana lacked formal training in records management. These were highlighted by Ngoepe and Keakopa (2011) in their comparative analysis between Botswana's National Archives and Records Services and South Africa's National Archives and Records Services that both lacked trained personnel.

While Kalusopa (2016) reports that in labour organizations in Botswana, there was need for staffing and professional training in records management as it emerged as critical, especially when it comes to electronic records management. In the era of technological advancements, more and more organizations in Botswana have electronic records to deal with as a result of having created or received them from their stakeholders. Cain and Millar (2004) point out that, globally, governments are in a quest to computerize and automate their key fundamental functions and use IT to streamline their operations. Moreover, until recently almost all records were in paper format, but modern organizations are increasingly using digital media to store and maintain records on digital formats. Therefore, the resulting records maintained digitally are known to records managers as electronic records or digital records (Shepherd & Yeo 2003). An electronic record can be defined as a record that is created, communicated and maintained by means of computer technology (National Archives of Australia 2004). With modern commerce highly reliant upon technology on several fronts, Botswana is no exception to the boom in technology usage; hence prompting a need to intrinsically evaluate e-records management in the country.

According to Moloi and Mutula (2007:295), "In Botswana, a lot of electronic records are being generated within government, in several forms such as word-processed documents, spreadsheets, databases and e-mail. However, government departments

and ministries 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. Just like paper-based records that are preserved at the national archives for public consumption, e-records should be awarded the same status and attention. Poor records management is bound to result in information gaps, leading to incomplete public records and documentary heritage." Although there are large volumes of e-records to grapple with, most organizations in the country do not have appropriate tools to effectively manage e-records such as an e-records management policy, because the National Archives and Records Services was in the process of establishing policies and procedures for the management of electronic records (Kemoni 2009).

The review of literature for the study has identified various prevailing gaps. According to Marutha (2016), a lot of African countries has dated records management laws and statutes that guide them on ways of managing information. Still, Marutha (2016) reiterated that considering the technological advancements that translates into new changes, progresses and ways of doing things in different environments there is insufficient legislation to support expedite good records management of electronic records. According to Kalusopa (2016), in Africa organizations don't have standards and guidelines on the management of office systems despite their transitions onto the electronic environments. Kalusopa (2016) further pointed that in the labour organizations for example there isn't sufficient training given on the management of e-records. Besides concerns surrounding staffing skills and regulatory frameworks, other gaps are centered on areas such as those of the unavailability of technologies to assist drive forward e-records management. According to Lebemthe (2018), as an organization the Kwazulu natal regional land claims office's technology is obsolete to transition into a digital records management office and fully advance e-records management.

Furthermore, open government has been identified as still in its infancy in Botswana through the literature reviewed specially regarding e-government initiatives which are geared towards achieving open access through poorly integrated office systems (Moatshe 2014; Kalusopa 2016).

More efforts still have to be made in improving the state of records management in the country. Issues of policy, staffing, ICT integration into the management of records, and other supporting structures that are enablers of credible records should be implemented to achieve open government.

3.9 SUMMARY

This section offers a summary of the literature on the role of records management in promoting open government in Botswana. The literature highlights clearly that the adoption and implementation of government initiatives by government agencies are a positive, despite the lack of freedom of information law in Botswana that would support the full utilization of ICT's in implementing open government initiatives. Also, literature has shown that Africa, specifically Botswana, faces ICT skills illiteracy and low rates of internet connectivity. It is clear that for open government initiatives to succeed, they require full implementation with a guiding legal and regulatory framework.

CHAPTER FOUR

METHODOLOGY

4.1 INTRODUCTION

The purpose of a research methodology is to provide step-by-step details of how the researcher is to conduct research. Bless and Higson-Smith (2000) state that a methodology is a plan that provides a framework for collecting data and also that allows the researcher to draw conclusions between variables. The methodology discusses the research design, explains data collection instruments for the study and shows how each instrument will be administered. It highlights the strengths and weaknesses of every data collection instrument used. Lastly, the methodology covers the procedures for data analysis and a summary.

4.2 RESEARCH DESIGN

According to Babbie and Mouton (2001), a research design is a plan or blueprint of how a researcher systematically collects and examines the data required to answer the research questions. It is the scheme, outline or plan that is used to generate answers to research problems. A research project needs a design or a structure before data collection and analysis can commence (Kothari 2004). Therefore, a "Research design is defined as the plan or strategy for conducting the research" (Wiersma & Jurs 2009:118). For collecting, interpreting and analysis of data for this research, the study will adopt a mixed methods research (MMR) approach, which includes both qualitative and quantitative methods. According to Creswell (2003), this approach improves the quality of the research by minimizing biases, limitations and weaknesses. This is because the disadvantages of one method are minimized by the advantages of the other, and vice versa.

When mixing the two research approaches, a researcher has to identify how he or she is going to go about collecting data. According to Creswell (2003), Halcomb and Hickman

(2015), a mixed methods approach has several distinct mixed research strategies which are identified as sequential strategies which determine the extent to which qualitative and quantitative data will interact with each other or be kept independent. That is to establish whether one data collection method informs the other or whether or not both datasets will be collected independently of each other where qualitative data is collected and analysed before the collection and analysis of quantitative data, or the other way round. Another characteristic of a sequential design involves qualitative and quantitative data being collected separately where a basis for the collection of a second set of data is dependent upon the findings from one type of data collection. They highlighted that as a disadvantage, the sequential designs for data collection will take longer to complete..

Another characteristic identified was that of a concurrent method, which involves data being gathered using both qualitative and quantitative methods at the same time. An advantage of this approach is that it reduces the duration of data collection, but its disadvantages are that of being resource intensive and not allowing either data collection method to inform the other. An alternative characteristic is one of relative priority which they contend as being given to approaches either qualitative or quantitative based on the type of study undertaken, as well as transformational techniques that involve the use of a theoretical perspective. However, according to Halcomb and Hickman (2015) in an instance where exploratory studies are involved, usually when collecting data, privilege is warranted to qualitative data because little is known. For purposes of this study, the researcher used a simultaneous approach because the study has a large sample size, thus ensured that the researcher saves time in acquiring data from respondents.

In order to develop a framework that integrates records management into open government, this research used a case study approach in an attempt to collect accurate, reliable and valid data from the target population. According to Yin (1993: 3), "a case study is an empirical inquiry that investigates a phenomenon within its real-life context especially when the boundaries between phenomenon and the context are not clearly evident." A case study is suited to questions that require detailed understanding of a phenomenon because of rich data collected in context. A case study does not imply any

form of data collection, which can be quantitative or qualitative (Yin 1993). Of note, in data collection, common tools to use in a case study are the use of interviews, observations and questionnaires.

Additionally, this study employed a survey as a tool to collect data from the target population. According to Bhattacherjee (2012:74), "Survey research is a research method involving the use of standardized questionnaires or interviews to collect data about people and their preferences, thoughts, and behaviours in a systematic manner, the survey method can be used for descriptive, exploratory, or explanatory research." The comparative advantages of a survey research as mentioned by Gray (2004:99) are that "if properly done, it allows one to generalize from a smaller group to a larger group from which the subgroup has been selected." Another advantage of a survey as opined by Mathiyazhagan and Nandan (2010) is that it is a faster data collection method than others.

This research aims to create a system that incorporates records management into open government and promotes open access in the public sector. Therefore, it will identify which areas of the legislative and ICT policy need to be updated to address open government and freedom of information. In Botswana, the public sector has 16 ministries and four autonomous bodies. These are:

1.   Ministry of Agriculture

2.   Ministry of Defence

3.   Justice and Security

4.   Ministry of Education and Skills Development

5.   Ministry of Environment, Wildlife and Tourism

6.   Ministry of Finance and Development Planning

7.   Ministry of Foreign Affairs and International Cooperation

8.   Ministry of Health, Minister of Infrastructure, Science and Technology

9.   Ministry of Labour and Home Affairs

10.   Ministry of Lands and Housing

11.   Ministry of Local Government and Rural Development

12.   Ministry of Minerals, Energy and Water Resources

13.   Ministry of State President

14.   Ministry of Trade and Industry

15.   Ministry of Transport and Communications

16.   Ministry of Youth, Sports and Culture

Whereas the four autonomous government bodies are:

17.   Attorney General

18.   Independent Electoral Commission

19.   Botswana National Archives and Records Services

20.   Department of Information Technology

The Information Technology department is mandated to facilitate and administrate ICT services across the public sector. However, data for this study was gathered from one government ministry, being the Ministry of Local Government and Rural Development. The research employed and combined both purposive and stratified sampling techniques to select the study sample. Bhattacherjee (2012) explains that purposive sampling allows the researcher to select respondents based on their characteristics being able to meet the study's needs. Bhattacherjee further explains that in stratified sampling, the sampling frame is divided into homogeneous and non-overlapping subgroups called "strata", and a simple random sample is drawn within each subgroup.

Data collection was only conducted at the headquarters of the identified ministry of Local Government and Rural Development. Generally, it is worth noting that, altogether, these

20 ministries and the autonomous government bodies are mandated with implementing a vast array of services to the citizens. Nevertheless, the study area was chosen because at ministries, that is essentially where key decision makers who enact policies, develop frameworks and choose the type(s) of records management systems to be used are located. The ministry of Local Government and Rural development is advantageous to this study as, it is there that they deal with distinct services (social welfare) rendered to the public which could give a broader perspective on what open government initiatives have achieved over the years, challenges experienced and how they could be addressed.

The researcher identified respondents taking into account their positions and roles held at their relevant Ministry of Local Government and Rural Development. To be able to select respondents for the study, the researcher applied a probability sampling technique through the application of a stratified sampling method when choosing representatives from departments within the ministry. Kumar (2014) explains stratified sampling as a random sampling technique that is used by a researcher who is attempting to stratify the sample population in such a way that the population contained within each stratum is homogeneous in terms of the characteristics used to stratify it.

Similarly, according to Shi (2015), stratified sampling divides the parent population into many forms or layers, each of which would have a random sample conducted to the select study respondents.Therefore, in the case of this study, the researcher put respondents into a stratum based on their demographic dispensation of department and position held in office and then purposively sample them from the developed stratums. Furthermore, to sample in a non-probability manner, the researcher used purposive sampling as mentioned earlier. Cohen, Manion and Morrison (2007) contend that in purposive sampling, researchers handpick respondents for inclusion in the survey based on their assessment that they possess the desired traits or characteristics. As a result, they are able to compile a sample that meets their particular requirements.It is for this reason that in this study, the researcher utilized this approach of sampling as an endevour to select those that have characteristics that the study in general is seeking with regard to relevance of information possession pertaining to records management practices in their

respective organizations, policies and other regulatory frameworks that guide on the running of their departments and drivers of their organizational mandates.

Therefore, the researcher picked from each department, the HoD and IT personnel, including an IT manager and officer, an office administrator, and a records manager and records officer as participants in the research. Considering that the researcher was collecting data from one ministry. Six respondents were targeted from identified departments in the ministry, thus giving a total sample size for this study of 54 respondents. The sampled government ministry is shown below in table 2.

Table 2: The Ministry of Local Government and Rural Development.

MINISTRY	DEPARTMENTS
1. Ministry of Local Government and Rural Development	1. Department of Social Services
	2. Department of Technical Services
	3. Department of Primary Health Care Services
	4. Strategy Management
	5. Department of Corporate Services
	6. Department of Local Govt. Service Management
	7. Dept of Local Governance & Development Planning
	8. Department of Local Govt. Finance and Procurement
	9. Department of Tribal Administration

Source: Botswana Government 2018

Data collection methods utilize numerous techniques, procedures and instruments used in this research. To collect data, this research was carried out as a survey, employing

questionnaires, interviews and document analysis. According to Kumar (2005:137), "data collection tools provide the data input into a study and therefore the quality and validity of the output, the findings, are solely dependent upon it." It involves measuring some research phenomenon, whether it is a process, an object or a human subject's behaviour. Quantitative data will thus be data gathered from respondents in the form of numbers and statistics while qualitative data will be all descriptive detailed data sourced from the various data sources. Golafshani (2003) explained quantitative data as fact and causes of actions that can be quantified and summarized in the form of numbers calculated by a predetermined instrument while qualitative data is explained as usually involving words or images rather than numbers (Ormston et al 2013). Quantitative data from the study will be analyzed by using SPSS and qualitative data will be coded. Data coding transforms raw data into symbols that can be tabulated and counted (Hair, Bush & Ortinau 2003:45; Ngulube 2003:229).

4.3 RESEARCH PARADIGM

Research is based upon various perspectives, informing the researcher on how to embark on a scientific inquiry. Therefore, it is worth noting that different philosophical viewpoints inform social inquiries, as they provide better ways of conducting research that could yield positive and reliable information that is relevant to the study. This research is built on a single distinct paradigm, being an interpretive paradigm. Falconer and MacKay (1999) state that a paradigm is crucial; thus no inquirer should go on and carry out a research inquisition without a clear understanding of the paradigm that informs and guides their strategy.

A paradigm, according to Levers (2013), is a collection of concepts, or world view, that a group of researchers uses to generate information. It is a collection of shared assumptions, analysis methods, and rigour parameters shared by a community of researchers to generate knowledge. It is a set of assumptions, research strategies and criteria for rigour that are shared by a community. Neuman (1991:57) defines a paradigm as a "framework or a set of assumptions that explain how the world is perceived where the paradigm of a science includes its basic assumptions, the important questions to be

answered or puzzles to be solved, the research techniques to be used, and examples of what scientific research looks like." Scotland (2012) explains a paradigm as a philosophical approach that is divided into four subsets, which are ontology, epistemology, methodology and methods. Ontological assumptions are concerned with what creates reality, while epistemology is concerned with the nature and forms of knowledge. Epistemological assumptions are concerned with how knowledge can be created, acquired and communicated. Moreover, he continues to elucidate that a methodological plan of action lies behind a particular choice of methods. Hence, methodology is focused on the why, what, from where, when and how aspects of collected data and its analysis, whereas methods are procedures and techniques specifically used to collect and analyse data whether qualitative or quantitative.

Equally, Holden and Lynch (2004) identified four philosophical viewpoints which are; ontology, epistemology, human nature and methodology where they explained ontology as a viewpoint that attempts to demonstrate whether reality is the product of one's mind and establish how nature relates to reality, that is what things, if any have existence. While epistemology on the other hand is identified as concerned with studying the nature of knowledge, that is, "how is it possible, if it is, for us to gain knowledge of the world. According to Holden and Lynch, epistemology is concerned with "the nature, validity, and limits of inquiry." Furthermore, they explained the third assumption of human nature as a perspective that involves determining whether or not the researcher recognizes man as the controller or as the controlled. Whereas their final assumption of methodology, is seen as the researcher's tool kit, that represents all the means available to social scientists to investigate phenomena

In the light of the above observations, common paradigms that guide social science research are positivism, interpretive and critical social science. A positivism paradigm as observed by Leong (2008) is a paradigm that asserts that real events can be observed empirically and explained with logical analysis. The criterion for evaluating the validity of a scientific theory is whether our knowledge claims such theory-based predictions are consistent with the information we are able to obtain using our senses. Positivist research methodology emphasizes micro-level experimentation in a laboratory-like environment

that eliminates the complexity of the external world. Following that, policies are recommended based on the scientific method's findings. According to William, Burstein and McKemmish (2000), positivism refers to researchers attempting to apply natural sciences research methods to the social sciences while in interpretivism, researchers accentuate the meanings made by people as they interpret the world in a natural setting. Similarly, Ritchie et al. (2013) state that positivism, proclaimed that the social world could and should be studied in much the same way as the natural world. William, Burstein and McKemmish (2000) further reiterate that 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.

However, an interpretive paradigm contends that it is through human interactions with their natural environment that meanings are derived. Scotland (2012:12) mentions that "knowledge and meaningful reality are constructed in and out of interaction between humans and their world and are developed and transmitted in a social context. Therefore, the social world can only be understood from the standpoint of individuals who are participating in it. Interpretivism aims to bring into consciousness hidden social forces and structures." Interpretive paradigm further reiterates that meanings are a result of people's everyday interactions with the natural world. Therefore, researchers too are influenced by their beliefs, perceptions and emotions on their research methodology (Creswell 2009). Scotland further argues that interpretivists value-free knowledge, since researchers choose what to study, how to research, and how to interpret their results, they are affirming their beliefs.

Moreover, Levers (2013:3) expounds that "Interpretivist research is guided by the researcher's set of beliefs and feelings about the world and how it should be understood and studied. In the interpretive paradigm, knowledge is relative to particular circumstances – historical, temporal, cultural, and subjective, and exists in multiple forms as representations of reality (interpretations by individuals). Interpretivists accept multiple meanings and ways of knowing, and acknowledge that objective reality can never be captured. Thus the interpretive paradigm focuses primarily on recognizing and narrating the meaning of human experiences and actions." Based on the position that with an

interpretive viewpoint, the researcher has a chance to source information from the target respondents in their natural setting and collect data that is influenced by social phenomenon and human behavior.

The researcher of this study was seeking to have an understanding of the impact that records management has on open government initiatives and how ICT-based open government initiatives can incorporate records management to enhance access to information. Therefore, interpretivism is intended to guide this study because it is based on using an interpretation of social phenomenon of the study population in their natural setting. An interpretive philosophy guides the researcher in this study mainly as a result of the fact that, through this philosophical approach, researchers use inductive reasoning and favour a naturalistic inquiry, where field work takes place in the natural setting. Further, it is concerned with the meaning of things and because interpretivists consider that the world is social, and that it is construed or created by human, and that it is thus distinct from the natural world (Williamson et al. 2002).

Accordingly, Fossey, Harvey, McDermott and Davidson (2002) elucidate that the interpretive paradigm is primarily focused on identifying and recounting the meaning of human experiences and actions. An interpretive approach, according to Lee (1991), sees humans and the physical and social artifacts they produce as distinct from the physical realities studied by natural science. The nature and premise of an interpretive research paradigm influences the choice of research approach suitable for this study. For research to be carried out in the natural environment of the respondents applying scientific methods of collection and review of data is appropriate for this research. A research project such as this one undertaken was seeking to determine records management structures in place within the public sector, explore the integration of records management into open government initiatives, identify open access initiatives developed by the government, find out how records management enhances open government, and develop a framework to integrate records management into open government initiatives.

Therefore an interpretive philosophy was chosen for this study because the study focused on the researcher identifying trends that reflected the majority opinions of interviewees

while also recognizing that they do not speak for all, but do reflect the majority opinion of responses and that in particular is what the researcher was accepting as a majority opinion. Interpretivism explains, according to Gemma (2018), that reality and knowledge are contextual, culturally and historically situated, and dependent on people's perceptions and interpretation of them.And therefore an exploration and understanding of perceptions and the points of views of research participants was imperative to determine the trends of the opinions by the interviewees.

4.4   CONCEPTUAL AND THEORETICAL UNDERPINNINGS (QUALITATIVE, QUANTITATIVE AND MIXED METHODS)

Theories are used deductively in quantitative research, according to Cresswell (2003), and are put at the start of the study plan, whereas in qualitative studies, they are used inductively. They can also be used to describe phenomena in a mixed approaches approach, both deductively and inductively.However according to Ravitch and Riggan (2012:9), "without a conceptual framework, the researcher can tread on the realm of speculations and absurdity." For a study to clarify, explain and justify choices of methodological approaches it has to be affixed on a conceptual framework. As a result, a conceptual framework strengthens a theory that guides a research, and a conceptual framework emerges from the theoretical framework (Ngulube, Mathipa & Gumbo 2015).

The researcher used a mixture of models and structures to inform and direct the analysis for this report. The thesis used conceptual concepts from records management and archival science in this regard, Action research and the OGIM. These theories and models were adopted due to the pertinence and significance of issues and variables they raise. Although there are several theories that can be utilized for understanding and analyzing archives and records management issues, records management is mainly informed by two prominent theories: the records lifecycle concept and the records continuum model.

4.4. 1 Qualitative research

Several researchers have stated that qualitative research is descriptive in nature as it focuses on acquiring detailed information from the target respondents almost intertwining

a researcher's views with those of the respondents. Qualitative research is a form of research that spans disciplines, fields, and topics. to study things and can generally be described as considerate of narrative or experiential data, usually associated with specific kinds of data, which focuses on words or images rather than numbers. It is because of this that it is categorized as being a naturalistic, interpretative approach that concerns itself with exploring phenomena 'from the interior' where perspectives and personal accounts from respondents are used as a baseline or starting point. Qualitative researchers study things in their natural settings, attempting to make sense of, or to interpret, phenomena in terms of the meanings people bring to them (Hayes et al., 2013; Flick 2009; Denzin & Lincoln 2000; Denzin & Lincoln 2011; Falconer & MacKay 1999). Alluding to the above description of qualitative research, Mouton and Marais (1989) explain that qualitative research is non-numeric data words, images and sounds whereby more focus is placed on meanings in terms of words than on frequencies and distributions, which in turn is in the form of numerical data sets when collecting and analyzing data. Thus qualitative analysis, according to Shank (2002), is a form of systematic analytical inquiry into meaning.

These views are reiterated by Mack et al. (2005) who state that qualitative research commonly pursues to comprehend a specific research issue through the viewpoint of the local community it affects. Furthermore, qualitative research is especially useful for gathering culturally specific information about a population's beliefs, attitudes, habits, and social contexts.According to Creswell (2009), to better understand and explain social and cultural phenomena, qualitative research is employed specifically through in-depth interviews, document analysis and participant observation.

Similarly, Falconer and MacKay (1999) clarify that while both qualitative and quantitative researchers are concerned with the individual's point of view, qualitative investigators conclude that extensive interviewing and observation can help them get closer to the subject's viewpoint. This research will use qualitative research to understand thoroughly the perspectives of study respondents on records management and its integration in open government initiatives and endevour to determine the benefits of including records

management as a cornerstone to open government. These are outlooks which can best be captured in a descriptive manner, hence the use of a qualitative method.

4.4.2 Quantitative research

In quantitative research, on the other hand, academics and scholars alike have a consensus that it is primarily statistical and there is a usage of figures, with mathematical analysis involved. According to Kothari (2004:5), the quantitative research approach "involves the generation of data in quantitative form which can be subjected to rigorous quantitative analysis in a formal and rigid fashion." This assertion is further cemented as it is explained that quantitative research is supported by the positivist paradigm that contends the world as as a set of observable and quantifiable facts (Glesne & Peshkin 1992). Yilmaz (2013) describes quantitative research as requiring a deductive method and theory-based predetermined collections of structured responses.on the utilization of pre-constructed standardized instruments or predetermined response categories by a researcher to use which the various viewpoints and experiences of the participants are supposed to match in order for researchers to generalize their results from the study, they usually require randomly selected large representative samples. Advantages of this research approach are that it allows the researcher to measure the responses of a large number of people to a small number of questions, making data comparison and statistical aggregation easier. Researchers may use the findings of close-ended questionnaires to define a general pattern of participant responses to a procedure or treatment.Researchers may obtain a broad and generalizable collection of findings and present them succinctly using quantitative methods and procedures.. Another strength of quantitative research is identified by Denscombe (2007) who observes that a solid foundation for description and analysis is apparent, primarily because of the availability of quantitative data itself. Thus enabling easy interpretations of findings since they are based on measured quantities rather than impressions, and these are, at least in principle, quantities that can be checked by others for authenticity.

Like any other method of research, a quantitative approach has its demerits. According to Denscombe (2007), although one of the benefits of quantitative analysis is the ability to handle vast amounts of data, there is a high risk of overburdening the researcher.When

there are too many cases, variables, and factors to consider, the analysis may become overly complicated, leaving the researcher overwhelmed, and due to its nature of not letting respondents to describe their feelings, thoughts, frames of reference, and experiences with their own words they fail to provide insight into the participants' individual or personal experiences. Quantitative data, according to Creswell and Plano Clark (2007), includes closed details found on attitude, behaviour or performance instruments.They further explained that this type of data could be collected using a closed checklist, on which the researcher checks the observed behaviour. For this study therefore, quantitative data at the Ministry of Local Government will be generated on issues pertaining to staff attitudes and behaviours towards open government initiatives being employed, and the performance of open government instruments. Quantitative data will be used for the gathering of empirical data from the target study population as noted by Rahman, Ationg and Zulhaimi (2017) that quantitative researchers generally use quantitative data for several reasons such as for the generation of models, theories and hypotheses and the collection of empirical data.

4.5 SAMPLING PROCEDURE

This research adopted a non-probability sampling technique; in particular, it adopted a purposive sampling technique. Purposive sampling was picked to select respondents since it gives the researcher the opportunity to identify respondents with the acumen pertaining to the information sought (Lewis & Sheppard 2006). Specifically, respondents selected by a purposive sampling technique are respondents from government departments, because they are arranged into groups by ministry, departments and those identified as meeting the requirements of the study population were sampled. This information relates to matters of records management, freedom of information, access to information and general action officers who know the needs of policies, laws and sound records management structures in place to support open government initiatives.

The researcher identified respondents, taking into account their positions at the ministry and their roles. From each department the researcher picked the HoD, IT officers,

including an IT manager and officer, an office administrator, including a records manager and a records officer as participants in the study. Considering that, the researcher was collecting data from one ministry. Therefore, six respondents were targeted from identified departments from the ministry, including the Department of Information Technology. In total, the sample size for this study was 54 respondents. Respondents sampled from the chosen government Ministry of Local Government and Rural Development are shown below in table 3.

Table 3: Respondents from the Ministry of Local Governemnt & Rural Development

MINISTRY MINISTRY/ ORGANIZATION/DEPARTMENT	DEPARTMENTS	POSITION
1. Ministry of Local Government and Rural Development	1. Department of Social Services	HoD
		IT manager
		IT officers
		Admin Officer
		Records Manager
		Records Officer
	2. Department of Technical Services	HoD
		IT manager
		IT officers
		Admin Officer
		Records Manager
		Records Officer
	3. Department of Primary Health Care Services	HoD
		IT manager
		IT officers
		Admin Officer
		Records Manager
		Records Officer

		HoD
		IT manager
4. Strategy Management		IT officers
		Admin Officer
		Records Manager
		Records Officer
5. Department of Corporate Services		HoD
		IT manager
		IT officers
		Admin Officer
		Records Manager
		Records Officer
6. Department of Local Govt. Service Management		HoD
		IT manager
		IT officers
		Admin Officer
		Records Manager
		Records Officer
7. Dept of Local Governance & Development Planning		HoD
		IT manager
		IT officers
		Admin Officer

		Records Manager
		Records Officer
	8. Department of Local Govt. Finance and Procurement	HoD
		IT manager
		IT officers
		Admin Officer
		Records Manager
		Records Officer
	9. Department of Tribal Administration	HoD
		IT manager
		IT officers
		Admin Officer
		Records Manager
		Records Officer

Source: Botswana Government 2018

Considering that a total of 54 have been sampled from a government ministry and department, the researcher simultaneously collected information, both qualitative and quantitative, to enable the data to be analyzed all at the same time to permit for quantifiable tabulations and thematic analysis to take place. Because data was collected from a large group of respondents, and some of the data was descriptive by nature and for capturing purposes and easier management of data. The study used tape recorders during interviews and the SPSS software for capturing, maintaining and analysis of both qualitative and quantitative data.

Purposive sampling, according to Lewis and Sheppard (2006), is based on the idea that in order to obtain the most insight into a problem, one must pick a sample that can provide the most relevant information.Key informants are observant, thoughtful members of the society of interest who are knowledgeable about the culture and eager to share it (Bernard 2002).Purposive sampling, according to Bake (1999), takes into account the most common characteristics of the type being sampled and tries to find out where those individuals can be found. It is a sample technique in which the subjects selected seem to meet the study's needs. While stratified sampling, on the other hand, sets up homogenous groups and then selects within those groups to the proportions in which these groups are represented within the sample (Baker 1999). Specifically, respondents from government departments were picked using the stratified sampling technique, as it arranged them into groups within a ministry, and at the Department of Information Technology.

This study collected data from only the respondents identified from departments of the ministry of local government and rural development as well as including those at the department of Information Technology.

4.6 DATA COLLECTION METHODS

Research data can be collected using questionnaires, interviews, and documentary sources (Onyango 2002). It involves observing and recording some kind of research

phenomenon, such as a procedure, an entity, or the behaviour of a human subject. This study will employ questionnaires, documents analysis and interviews to collect data. For that reason, these identified data collection methods and sampling techniques are ideal for this study mainly because they allow the researcher to effectively source out data from the target population in a natural setting that is not infiltrated in anyway by the research throughout the study period, especially during the data collection phase. Therefore, interpretivist researchers consider their research duty as one of understanding how the various participants in a social setting construct the world around them (Glesne & Peshkin 1992:6; Williamson et al. 2002:31).

Moreover, in this study, chapters 2 and 3 indicated that the integration of records management into open government is essential because records are key in enabling open government. Thus, the good management of both traditional paper-based records and electronic records is a prerogative to ensure access to services and information. Accordingly, the evaluation of formulated open government initiatives and general records management practices is imperative as it provides background information to understanding what is in place to fully establish an open government platform. Also to determine the role that is played by good records management practices in driving open government. It also seeks to determine how open government can integrate records management to guarantee that information retrieved by residents and citizens is reliable, accurate and authentic. As a result, it requires both quantitative and qualitative analyses of the assessment of records management integration into open government.

The current research is primarily influenced byan interpretive paradigm, complemented by both a quantitative and qualitative inquiry in the form of an exploratory methodological survey for data collection in the sections that follow. The triangulation of research methods to be used are questionnaires for both quantitative and qualitative data, and semi structure-interviews also for both quantitative and qualitative data. Document analysis was utilized further mainly to inform the researcher on the phenomenon being studied.

Motives for embracing a mixed methods method is that the research is an exploratory and descriptive survey that was using questionnaires, semi-structured interviews and documents analyses as a way of collecting data on the status of open government in Botswana and the position records management holds to uphold open government and determine the efforts made to integrate records management into open government.

4.6.1 Questionnaires

As already mentioned, one of the tools used for data collection for this study was a questionnaire. Babbie (2004:253) defines a questionnaire as "a document containing questions and other types of items designed to solicit information appropriate for analysis, and is completed personally by the respondent." According to Best and Kahn (1993), a questionnaire is used when factual information is desired. Fowler (2002) explains that in developing a good questionnaire, the selection of the questions is very important to meet the study's research questions and testing them to ensure that they can be asked and answered as planned. Bell (1993) argues that questionnaires have advantages of being inexpensive and collecting much data that needs little interpretation. Bell's (1993) assertions are echoed further by Walliman (2006) who contends that questionnaires are relatively inexpensive in comparison to other popular data collection methods, and they can enable a survey of a big sample size to be conducted in a short period of time even though the respondents are spread across different locations.

On the other hand, their main disadvantage is the low response rate, lack of rapport and misleading data where the respondent does not understand the question. For this study, separate questionnaires were designed for the various targeted groups. Therefore, in grouping respondents, those holding senior positions from their respective departments and ministries were administered a questionnaire that is generic and addressing issues of similar interest. While those that are records officers and action officers were themselves administered questionnaires that were distinct in relation to their knowledge on the subject matter of records management. The study used a combination of open-ended and closed-ended types of questionnaires. The reason for adopting this technique is because it allows one to collect data from a large population at their own time.

Accordingly, questionnaires were distributed amongst identified action officers because amongst the many positives that are brought about by them, they reassure anonymity to participants thus warranting more truthful responses than they would otherwise be if data was sourced through other means such as an individual interview, specifically when discussing delicate or contentious issues (Leedy & Ormrod 2005; Powel & Connaway 2004:125). Therefore, individuals involved in the creation and use of records consist of action officers from the various departments in the selected study location, from lower ranking positions to middle management and eventually senior management positions. See Appendix (VI), which is a questionnaire for HoDs, see Appendix (VII), which is a questionnaire for administration officer and action officers, see Appendix (VIII), which is a questionnaire for records managers and records officers and Appendix (IX), which is a questionnaire for IT managers and IT officers. In a study that evaluates the role played by records to enable open government and assess the impact of records management on open government, there has to be a consideration of records creators and users, so as to establish their concerns regarding the overall management of records in their respective departments. Through questionnaires and their anonymity and confidentiality assurances, they have been identified as best suited to collect valid data from action officers. The questionnaire was used to gather information on a variety of issues such as but not limited to records management, open access, freedom of information, internet connectivity and the different regulatory frameworks on information communications technologies.

4.6.2 Interviews

An interview is a data gathering method in which data is gathered through discussion or a question response session. It can either be structured (formal) or unstructured (informal) (Jamshed 2014). Attesting to the mentioned definition, Bless and Smith (2000:108) define an interview as "a method of data collection, which is explained as a dialogue between two or more people. It is also a special case of social interaction. It involves direct contact with a participant who is asked to answer questions relating to the research problem." According to Lewis and Ritchie (2003), fundamental semi-structured questions are developed and applied for interviews and all participants are asked in the same way; often

typically followed by some limited follow-up questions for further information or clarity depending on the response.

This study employed structured interviews. Interviews were scheduled for respondents who are HoDs and records managers in an attempt to gather more detailed information about the integration of records management onto open government. See Appendix (VI), which is an interview guide for HoDs chosen for the study and Appendix (XI), which is an interview guide for records managers and records officers. The scheduled interviews were used primarily to complement questionnaires by acting as a backup data collection instrument, in an effort to ensure a good response rate, especially to the senior management officials. Therefore, interviews helped to ensure that information is sourced out from all respondents identified for the study. Onyango (2002) opines that interviews are likely to consist of detailed descriptions of people's activities, actions and the full range of interpersonal interactions and organizational processes that are part of observable human experience. However, interviews can be time-consuming and resource intensive at the same time.

Respondents who were interviewed were departmental heads/managers as they are knowledgeable informants in issues related to policies and frameworks developments. However, it must be into account the fact that these interviews were also used to counter anticipated gaps brought about by questionnaires where respondents would not have responded to the questionnaires, especially most importantly records personnel. The researcher focused not only on policy matters, but also addressed issues that are in line with the impact brought about by records management in the integration of records management into open government, also taking into consideration those who have records in their custody as records management personnel, so as to determine their overall concerns regarding the state of records management in their respective departments, and attempt to establish measures that can be adopted to ensure that records management is seamlessly integrated into open government.

The researcher set a timeline for questionnaires to be answered and returned to him, and therefore in the event where there were delays, the researcher then did a follow-up and scheduled interviews as a contingency and back-up plan for data collection. From the time of administering questionnaires, the researcher set a time period of a week for all questionnaires to be responded to, failing which the use of scheduled interviews were prompted instantly after the week had elapsed. Data collected from the interview was only used in the absence of answered and returned questionnaires. Additionally, each interviewee had their response recorded with a tape recorder by the researcher where recorded information was later transcribed for better and easier analysis. A checklist of interviews questions were prepared prior to conducting interviews.

The researcher developed a code book to ensure that verbal, descriptive and recorded data is appropriately analyzed and properly captured. A code book has two data entry formats: fixed format and free format. These can be used to assist in developing the code book. Kumar (2011:231) contends that "The fixed format stipulates that a piece of information obtained from a respondent is entered in a specific column. Each column has a number and the 'Col. no.' in the code book refers to the column in which a specific type of information is to be entered. The information about an individual is thus entered in a row(s) comprising these columns."

Kumar (2011) further points out that a fixed format is extremely important because, when a programme is written, there is a need to specify the column in which a particular piece of information is entered so that the computer can perform the required procedures. Also, question numbers should be identified in the research instrument for which the information is being coded. This is done to identify coding with the question number in the instrument. Another aspect to coding is to refer to the name of the variable. Therefore, each variable in a programme is given a unique name based on the identified themes and patterns found in the data so that the programme can carry out the requested statistical procedures.

4.6.3 Documents analysis

For purposes of eliminating inaccuracies and acquiring reliable information, the study adopted and employed documents analysis as another instrument of data collection. Bowen (2009) defines documents analysis as a systematic process and procedural ways of reviewing and evaluating documents which could either be both printed and electronic (computer based and internet transmitted) material. Like other analytical methods in qualitative research, document analysis requires that data to be examined and interpreted in order to elicit meaning, gain understanding, and develop empirical knowledge. Bowen (2009) goes on to explain that not only are documents analyzed, but they are also used by a researcher in an effort to provide the credibility of his/her study by the triangulation of qualitative research methods. A qualitative researcher is expected to draw upon at least two sources of evidence to seek convergence and corroboration through the use of different data sources and methods.

Thus, various documents were consulted as either primary or secondary sources of data and, for this study, both were used to give information that is useful to the study. Mogalakwe (2006:222) delineates that "there are two types of documents that are used in documentary study, namely primary documents and secondary documents. Primary documents refer to eye-witness accounts produced by people who experienced the particular event or the behaviour we want to study. On the other hand, secondary documents are documents produced by people who were not present at the scene but who received eye-witness accounts to compile the documents, or have read eye-witness accounts." This approach involves the studying or evaluation of existing documents, either to understand their substantive content or to illuminate deeper meanings they may reveal. For example, documents used for this type of analysis may include but are not limited to media reports, government papers or publicity materials, procedural documents such as minutes of meetings, formal letters or financial accounts, memos, electronic mails, annual reports, financial statements, newspaper articles, websites (Bhattacherjee 2012; Ritchie & Lewis 2003).

Bowen (2009) identifies a few advantages to document analysis as an efficient method mainly due to the amount of time required, since it simply requires data selection, instead

of a laborious and tedious process of data collection. Further, documents analysis affords widespread access especially when available online. As a result, many documents are in the public domain for public consumption and use.

Document analysis has become an attractive option for qualitative researchers and studies due to access online. More importantly, Bowen (2009) identified its ability not to be obtrusive as a positive point in research since documents are 'unobtrusive' and 'non-reactive'; that is, they are unaffected by the research process. Therefore, document analysis counters the concerns related to other qualitative methods such as observation; for example, where an event may proceed differently because it is being observed. According to Yin (1994), this method has its disadvantages which could include low retrieval to documents. Yin (1994) points out that documentation in itself may be difficult to retrieve due to blocked access or other reasons. Also, by nature, it has an ability to be biased in the selection process. Most importantly, as documents are not necessarily produced for the study or research concerned, they consequently do not provide sufficient detail to answer a research question (Yin 1994). Similarly, Ahmed (2010) echoes disadvantages of documents analysis as a source of data, researchers generally rely on something that has been produced for other purposes and not for the specific aims of the investigation. Also, during documentary research, given its social context and identity, the researcher will give a selective and biased understanding of a document, and may even deliberately choose and select particular documents.

For purposes of this research, the study employed documents analysis simultaneously with other methods of data collection. This was done through the use of thematic analysis. Oates (2006) elucidates that documents are found which consist primarily of existing documents in an organization and they may include production schedules, procedure manuals, job descriptions, profit and loss accounts, and so on. In addition to the above found documents, there are also research documents which are documents that have been generated by other researchers on a particular area of study, mainly as a result of daily organizational business which might be in the form of photographs and data flow diagrams. Furthermore, Oates (2006) explains that within public offices, documents are produced by the organization such as formal records, minutes and so on as well as

previous research documents such as research data and field notes, surveys and internal organizational research, which can all be secondary sources of data.

Documents considered for analysis in this study are those that are related to but not limited to legal and regulatory frameworks like e-government policies, *Maitlamo* national policy,Cybercrime and compter related crimes Act, Electronic Records (evidence) Act, BNARS Act (2007), and roadmaps by the government and the Botswana government's annual National Development Plans (NDPs). According to an outline by Fereday and Muir-Cochrane (2006), thematic analysis is a form of pattern recognition within the data, with emerging themes becoming the categories for analysis. This process involves a careful, more focused re-reading and review of the data. It is a form of pattern recognition within the data, where emerging themes become the categories for analysis. The reviewer takes a closer look at the selected data and performs coding and category construction, based on the data's characteristics, to uncover themes pertinent to a phenomenon.

However, predefined and determined codes may be used, especially if the document analysis is supplementary to other research methods employed in the study, which is the case in this study. Questions in the data collection instruments used are similar and related to respondents' position in the organization. As a result, the researcher coded them in a similar fashion for consistency and for easier grouping to identify patterns for the themes easily. Each response category when coding data involves assigning a label to each question or variable, and a number or value (Kalof, Dan and Dietz 2008:95; Ngulube 2003:229 & Gray 2004:107).The data was coded through the transference of questionnaire data for instance into a format that is responsive to data analysis such assigning every item a number and every response a number, for example, yes= 1 while no=2 for both questionnaires and descriptive answers from interviews that either are a clear yes or no answer, or if when understudied show a pattern of either being in agreement or otherwise.

4.7 VALIDITY AND RELIABILITY OF RESEARCH INSTRUMENTS

Gay and Airasian (2003:137) define 'validity' as *"the degree to which a test measured what it is supposed to measure."* Moreover, 'reliability' is the degree to which a test consistently measures what it sets out to measure while at the same time yielding the same results (Leedy & Ormrod 2010). Furthermore, Powell and Connaway (2004:140) explain that a "pre-test gives the researcher an opportunity to identify questionnaire items that tend to be misunderstood by the participants." Therefore, it refers to the degree to which the same findings can be obtained if the research is repeated. This study would use the same questions consistently for all the different departments surveyed; therefore, the results obtained would be reliable and could be replicated. Data collection instruments will be piloted on a panel of experts consisting of archives and records management professionals as well as action officers who hold middle management positions at the same study locations, but at a lesser magnitude in terms of respondents' sampled for the wider study.

Participants were selected on the basis of their ability to provide professional opinions concerning the data collection instruments, as well as their ability based on positions held in office which are in line with policy making and key strategic decision-making within their respective departments. Appendix XII shows a list of participants identified for pre-testing of data collection instruments. In pre-testing, respondents were asked to give their views on the data collection instruments, the identification of typographical errors, as well as to establish if there are any misspelt words, determine if the vocabulary used is appropriate for respondents, establish if topics in the instruments effectively cover the research questions of the study and the clarity of the questions. Other issues considered were whether or not the instructions provided were clear, the instruments' layout was satisfactory and if there were suggestions to improve the quality of the instrument.

Piloting was also conducted at the identified study location mainly because the conditions are similar with the main study. Therefore, study respondents, although different, allowed the researcher to gauge the feasibility of the study, its researchability and usability of the instruments being used. This informed better the researcher on areas to reduce the

margin of error and improve confidence levels for the study. Van Teijlingen and Hundley (2001) define a pilot study as referring to the so-called feasibility studies which are "small scale versions, or trial runs, done in preparation for the major study, or the pre-testing or 'trying out' of a particular research instrument." A pilot study was used to obtain feedback on the relevance of the research questions asked for the study in an attempt to achieve the study objectives. Errors spotted by the researcher after the pilot study have been concluded were corrected accordingly.

4.8 DATA ANALYSIS

Leedy and Ormrod (2010) describe data analysis as the process of ordering, categorizing and summarizing data to answer the research questions. Data analysis is vital to any research and assists in drawing conclusions and generalizations from the data as it relates to a problem statement (Creswell 2009). Quantitative data from the study was analyzed by the use of the Statistical Package for Social Sciences (SPSS) while qualitative data was coded ensuing a codebook. Baker (1999) further asserts that a codebook is a notation of what the researcher has decided to call their variables and attributes within a variable and how these names correspond to those that were measured by the variable. This software is reliable and simple to use in analyzing quantitative data.

Kenosi (2008:91) delineates that, "qualitative data analysis has no uniformly fixed guidelines. For instance, in qualitative studies, data analysis can begin as early as data collection with researchers alternating among interviews, observation, and documents in a cyclical process of collecting data, analyzing the data, collecting additional data, analyzing those data, and so on throughout the research project. This is called interim analysis. However, this does not mean that the analysis and interpretation of qualitative data is disorderly and capricious. On the contrary, the process of data analysis involves making sense out of text and image data. It involves preparing the data for analysis, conducting different analyses, moving deeper and deeper into understanding the data, representing the data, and making an interpretation of the larger meaning of the data."

This study analyzed data also through content analysis, mainly because the data was not only quantitative, but also descriptive by nature in a qualitative format. According to Elo and Kyngäs (2007), when analyzing visual communication messages, verbal and written communications, researchers can adopt content analysis to assist in data analysis. Whereas Stemler (2001) defines content analysis as a systematic, replicable technique for compressing many words of text into fewer content categories. Elo and Kyngäs (2007), note that content analysis is a means of research that is systematic and objective, and that seeks to describe and quantify phenomena. Through content analysis, extracts of crucial meanings of words into fewer content-related categories is achieved. It is assumed that when classified into the same categories, words, phrases and the like share the same meaning (Cavanagh 1997).

According to Trace (2001), when using content analysis, it is important that the researcher when analyzing data allows for themes to emerge rather than attempt to impose a preconceived set of themes on the data. This approach then therefore ensures that any anticipated themes are given an opportunity to emerge from the data and that no undue weight is given a priority to any preconceived themes. Riley (n.d) and Patton (2002) explained that procedures to find themes or categories can either be inductive and deductive. Inductive relies on pre-constructed solid templates of categories and deductive derives themes/categories as they arise in the content. According to Denzin (2000) procedures to carry out content analysis is to: identify a body of text, determine unit of analysis; find themes (inductive or deductive); develop a codebook; mark the texts and analyze the code from texts quantitatively.

Qualitative data after colletion, it was systematically arranged as per the research objectives of the study, incorporated and scrutinized all the while looking for patterns, trends and similarities or emerging themes (Alhojailan 2012). According to Ngulube (2015), research objectives that were curved into research questions became the guiding and main coding categories which are ultimately fragmented and cascaded down into subcategories.

Thus qualitative data collected for the study was analyzed by reducing data and categorizing it into themes that are in line with the study objectives and research questions. Data themes were also be developed according to the research questions to enable easy interpretations of codes. As a result, coding must resolve issues of definition and ambiguity, so that codes can be applied consistently, as a codebook catalogs each variable first by its formal name and then by the name it will be referred to in the computer program. Then it gives the numerical code for each of the values, or attributes of the variable. This study developed a codebook to assist in entering variables defined in the questionnaire and interviews. Specifically, qualitative data from interview results were analyzed manually and used to substantiate any numerical data derived from quantitative sources. Results are presented through written descriptions, numerical summarizations and tables. The study results are presented according to the study's research objectives.

In general, a thematic technique of analysis was employed to analyze qualitative data from the interview transcripts in an attempt to derive some meaning or patterns that could contribute to the development of a pool of measurement items. Equally, thematic analysis seamlessly fitted into the codebook categories that were developed for this study because it is through these anticipated themes developed by the researcher that the distinctive data provided by respondents was successfully understood and interpreted. According to Maguire and Delahunt (2017), the researcher should become acquainted with the entire body of data or data corpus through continuous reading, and re-reading of the transcripts, then organize data in a meaningful and systematic manner. Also, the researcher should search and identify themes that are significant or interesting in the data. Upon the completion of the previous stages, data should be organized into broader themes that seem to be specific about research questions. For validity of the themes, a review and modification of the developed preliminary themes that we identified is crucial. Finally, the researcher ought to define the themes as a final refinement to the themes and aim to identify the basic meaning of what each theme is about.

Accordingly, Braun and Clarke (2006) alluded that thematic analysis is a method for identifying, analyzing, and reporting patterns or themes within data or, in other words, a

form of pattern recognition within the data, where emerging themes become the categories for analysis (Fereday & Muir-Cochrane 2008). Braun and Clarke (2006) argue that qualitative methods can be categorized into two groups. The first comprises methods that are "tied to, or stemming from, a particular theoretical or epistemological position". While the second comprises methods that are basically independent of theory and epistemology, and can be applied across a range of theoretical and epistemological approaches. They conclude that thematic analysis is "firmly in the second camp." The different steps or phases of thematic analysis are described below in table 4.

Table 4: Thematic Analysis: phases and the description of the thematic analysis process (Braun & Clarke 2006:87).

Phase	Description of the process
Familiarizing yourself with your data	Transcribing data (if necessary), reading and rereading the data, noting down initial ideas.
Generating initial codes	Coding interesting features of the data in a systematic fashion across the entire data set, collating data relevant to each code
Searching for themes	Collating codes into potential themes, gathering all data relevant to each potential theme.
Reviewing themes	Checking if the themes work in relation to the coded extracts (Level 1) and the entire data set (Level 2), generating a thematic map of the analysis.
Defining & naming themes	Ongoing analysis to refine the specifics of each theme, and the overall story the analysis tells; generating clear definitions and names for each theme
Producing the report	The final opportunity for analysis. Selection of vivid, compelling extract examples, final analysis of selected extracts, relating back of the analysis to the

	research question and literature, producing a scholarly report of the analysis.

Source: (Braun & Clarke 2006:87).

4.9 ETHICAL CONSIDERATIONS

This study strictly followed research ethics. The respondents were assured that the research is part of the requirements of a Doctoral Degree in Information Science from the University of South Africa. Moreover, respondents were informed of their right not to participate or withdraw from the study at any time they would like to if they felt uncomfortable with anything. Confidentiality was guaranteed by making use of identification codes instead of names and the respondents' details were not revealed to other people. A survey and interview guide were submitted to UNISA Ethics Committee for clearance prior to administering the data collection instruments. The study complied with the Botswana guidelines (2004) for research provided by the Ministry of Labour and Home Affairs, together with the UNISA policy (2013) of research ethics.

4.10 SUMMARY

This chapter addresses the research design and methods, as well as expounded reasons why the researcher used a mixed method approach in data collection for undertaking this research, and also explains why a case study approach was chosen. The study locations and population are discussed in detail giving reasons why they are chosen. It also looks at concerns surrounding dependability and credibilityand explained how well the researcher made certain that they are attained throughout the research, together with the originality of the research study and virtuous ethical issues to consider when undertaking research. The next chapter will be on study findings and discussions of the findings, followed by an interpretation and presentation of the research data.

CHAPTER FIVE

PRESENTATION AND ANALYSIS OF DATA

5.1 INTRODUCTION

The preceding chapter explained the methodology of research adopted for this research study to answer the research questions probed by the researcher. This chapter presents the study findings that answer this study's research questions. Therefore, the research findings are a reflection of the analysis methods that were outlined in chapter four. According to Blum (2006), a chapter which presents findings from data gathered in a dissertation presents them logically aided by section titles that organise the data. Therefore, the results are explained in adequate detail to explain the systematic implementation of methodology. The aim of data analysis and research results presentation is to highlight empirical findings that answer the research questions posed by the study (Garaba 2010). For that reason, this section presents the findings from the data collected through the use of interviews, document analysis as well as questionnaires. As mentioned in chapter one of this study, whereby the study's overarching goal is to examine the incorporation of records management into open government initiatives in Botswana's public sector and explore the regulatory and legislative frameworks that support open government's successful implementation.

According to Babbie (2004: 490), the "presentation of data analyses should include as many information as possible without being overloaded." This will provide the reader with enough insight to shape their own opinions. The results of this study are offered in a descriptive manner through numerical summations, tables, graphs and figures, as guided by research objectives.

5.1.1 Response rate

To easily generalize findings, the response rate of the study population has to be significant. With a higher response rate, it is less likely that there would be a substantial response favouritism as with a low rate (Baker 1999; Babbie & Mouton 2001). However, researchers disagree on what acceptable levels of a response rate are. Babbie and

Mouton (2009); Bryman (2012); and Lyon, Lancaster and Dowrick (2008) contend that a 50% response rate is acceptable and sufficient for analysis. A response rate of 60% is deemed good, but anything greater than 70% is regarded as very good.

A total of 54 respondents were included in this study. Forty-five questionnaires were self-administered to all the identified sampled respondents and another nine respondents, who are heads of departments, were scheduled for interviews. Altogether, 33 questionnaires were responded to, translating into a **73% response rate** and a further five interviews went ahead as scheduled for the departmental heads, translating into a **56% response rate** for interviews. Table 5 below illustrates the distribution of respondents for questionnaires.

Table 5: Response rate

Respondent	Distributed Questionnaires	Returned Questionnaires	Unreturned Questionnaires	Response Rate
IT manager & officers	18	12	6	67%
Administration officer & action officers	9	7	2	78%
Records managers & officers	18	14	4	78%
Totals	45	33	12	73%

SOURCE: field data (2019)

Table 5 reflects that of the 45 responses, 14 (78%) were completed by records managers and officers, and 12 (67%) by the IT managers and officers, while 7 (78%) were completed by an administration officer and action officers.

Interviews were scheduled for heads of departments in the ministry. However, only five (56%) interviews went ahead as planned, and the other four respondents (44%) were unavailable. Table 5.1 below illustrates the interview response rates of heads of departments at the Ministry of Local Government and Rural Development.

Table 5.1: Interview response rates of heads of departments at the Ministry of Local Government and Rural Development

Heads of departments	Total	Total (%)
Responded	5	56%
Not responded	4	44%
Total	**9**	**100%**

Source: field data (2019)

The table clearly indicates a fair distribution of the number of departmental heads that were eventually interviewed responses. In the following analysis, interviewee respondents on the contribution of records management to open government initiatives in the Ministry of Local Government and Rural Development are coded as follows:

Key:

HOD   1-9: Head of department

AOAC   1- 9: Administration officer & action officer

RP   1-18: Records personnel

IT   1-9: ICT specialists

The findings of the study are organized into themes obtained from the research questions indicated in chapter 1, section 1.5. The themes are as follows: "Open government and access to information", "The role of records management and its link onto open government", "Legal and regulatory frameworks for records management", "E-readiness

in the Ministry of Local Government and Rural Development", "The extent of integration by the Ministry of Local Government and Rural Development into the national e-readiness strategies in Botswana". Accordingly, the study findings from questionnaires, interviews, observations and document reviews were organized and presented below, under the respective themes as identified above.

5.2 OPEN GOVERNMENT AND ACCESS TO INFORMATION

This study reviewed frameworks for enhancing open government. It is argued here that open government is a fundamental vehicle that drives countries towards good governance, especially when sustained by good records management. Meijer et al (2012), citing Piotrowski (2007), give an example that explains governmental transparency as equating to open government and access to information. This study's second question sought to determine how records management can be incorporated into open government initiatives. Because these initiatives are ICT based, the study questioned respondents on open government initiatives in general, and on ICT applications that are found and used for communication and service delivery within the Ministry of Local Government and Rural Development.

The theoretical perspective used to evaluate the level of openness and resources' availability to facilitate openness through ICTs and records management was the Open Government Implementation Model. This model expedites an understanding and appreciation of the incremental step-by-step growth that relevant infrastructure builds to successively enable open government. Therefore, social media technologies may lead to the realization of open governance largely due to the possession of relevant data, and thus organizations are encouraged to carefully consider the importance of data at their disposal (Jetzek, Avital & Bjørn-Andersen 2013).

The Open Government Implementation Model (OGIM) was developed by Lee and Kwak (2011a) as a road map that government agencies in the US can follow in moving towards more open government. The OGIM model is depicted in Figure 5.2:
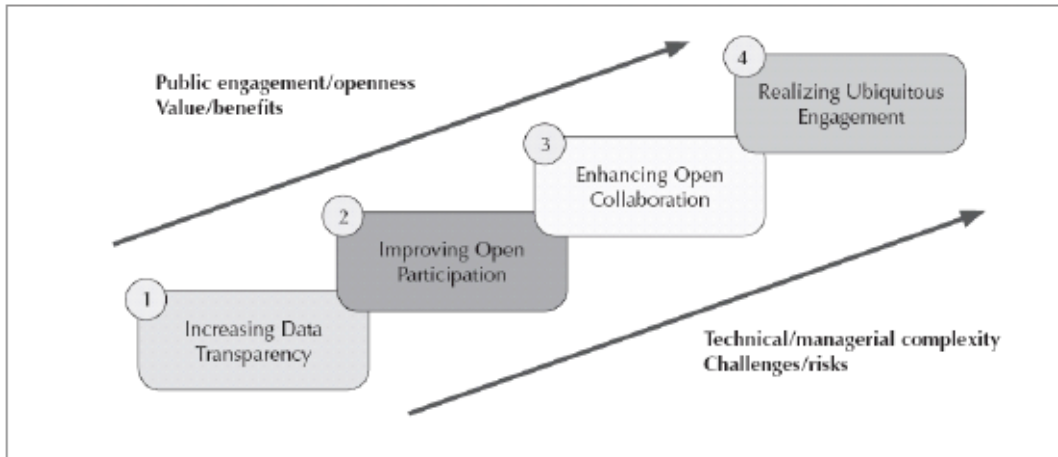
Figure 5.2: Open Government Implementation Model, OGIM

(Source Lee and Kwak, 2011a:10)

This model delineates four levels of deployment and advises that government departments proceed their open government efforts progressively, concentrating on one level at a time. The model further identified the following stages as crucial to the advancement of an open government: increasing data transparency, improving open participation, enhancing open collaboration and, lastly, realizing ubiquitous engagement. The first stage is where agencies focus on providing more data and information about government operations to the citizens. The second stage looks into improving open participation of the public in government work and decisions made through various methods and tools. The third stage is where agencies turn to social media and Web 2.0 tools to enhance open collaboration. It is promoted through various means such as wiki applications development and open source software development. The final stage (four) looks to enhance open government by realizing ubiquitous engagement via seamless integration of public engagement methods, tools, and services within and across government agencies to ease navigation by the public through mobile and computing applications.

However, the Connecting Communities Programme, Botswana Innovation Hub (BIH), Kitsong Centres, Thuto Net and the Government On-Line initiative study findings revealed

that only a few respondents are aware of their existence and what they are intended for. All nine respondents from the Department of Information Technology were aware of these initiatives.

Specifically, IT 2 stated:

Open government is a governing doctrine which holds that citizens have the right to access the documents and proceedings of the government to allow for effective public oversight; whereby, initiatives such as the Connecting Communities Programme, Botswana Innovation Hub (BIH), Kitsong Centres, Thuto Net and the Government On-Line initiative can help leverage that through the provision of access to information, and with automated systems for communication, departments should incorporate digital systems into existing ones such as the management of records.

IT 7 explained:

Botswana uses its open government initiatives such as the Connecting Communities Programme, the Government On-Line initiative to become more transparent, whereby the public has easy access to government information.

Despite IT staff being aware of open government approaches adopted by the Botswana government, only a few in the broader study population were aware of these. Twenty-six (79%) of the 33 respondents (AOAC, RP & IT) that returned questionnaires have not heard of these open government initiatives, while all five (100%) of nine who were scheduled for interviews (HODs) knew all the open government initiatives. All (38) respondents identified that participated in the study at the MLGRD revealed that, overall, the MLGRD's staff awareness of open government initiatives stood at 12 (32%) being familiar with and aware of them, while the remaining 26 (68%) were not aware of open government initiatives. For instance, when asked to explain what open government was, AOAC 3 said:

I didn't know what open government was, I had to go online to search for its explanation and definition.

Several respondents wrote "not applicable" in response to them being expected to explain what open government was. Nevertheless, a few responded that they knew what it was.

As explained by AOAC 5:

It is a system whereby the public have easy access to information and are able to hold the government accountable.

AOAC 7 stated:

Open government is a system with which the general public is able to access records on government proceedings and policies.

Figure 5.3 shows awareness of respondents of open government initiatives.
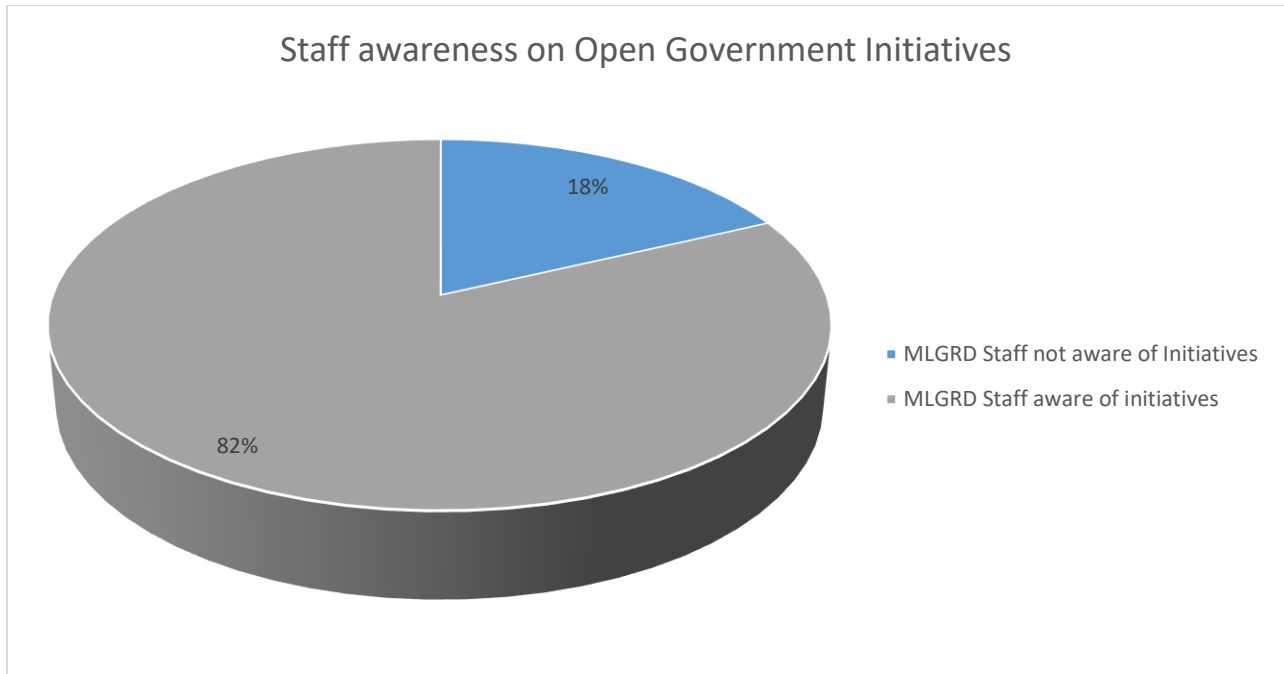
Figure 5.3: Staff awareness of open government initiatives
SOURCE: field data (2019)

Similarly, several applications were identified by respondents in the IT department as being used by the government for purposes of communication and those respondents also mentioned that there are other applications that are commonly used more than any other ICT applications available for communication purposes. The commonly used applications identified were Facebook, MLGRD website, fax, cell phone and Twitter. The use of ICT for communication therefore brings about the inevitable creation of e-records. Therefore, all nine (100%) respondents mentioned that ICTs contributed immensely in the enhancement of open government. This is amplified by responses they gave as they stated the following:

IT 3:

ICT enhances efficiency because information through ICTs is readily available.

IT 4:

It makes research of relevant information to be easily accessed.

IT 7:

ICT enhances access to information through e-services such as document sharing, procurement systems, and health and education systems.

5.3 THE ROLE OF RECORDS MANAGEMENT AND ITS LINK ONTO OPEN GOVERNMENT

Another objective focused on investigating the role and contribution of good records management as an enabler of open government. This objective attempted to answer the second research question which sought to discover the role and extent to which records management is integrated into Botswana's open government initiatives. It is argued that good records management is a fundamental facilitator to open government (Finnegan 2012; Wamukoya 2012; Shepherd 2015; Omotayo 2015). The study findings are presented according to the following sub-themes:

- Paper and electronic records management
- Records maintenance and storage
- Records access and use
- Open government and access to information

5.3.1 Paper and electronic records management at the ministry

Respondents were asked to indicate the format of records found in the ministry and repository and determine their reliability and dependability. The study established that records managed at the Ministry of Local Government and Rural Development is predominantly paper based. All 33 (100%) of respondents agreed that the ministry keeps mainly paper records. However, considering that the study was focusing on open government initiatives which were ICT based, the researcher questioned respondents on

the creation of e-records and the system used to manage such e-records. All 33 (100%) respondents from all departments highlighted that the records management unit does not have an Electronic Records Management System (ERMS) for digital records created in the e-government portal. However, 21 (64%) respondents indicated that there are several applications that can help in digital records creation, and said there is a need to have an e-records management system to ensure that open government is achievable. Respondents were further asked if their organization was prepared for the introduction of a specific Enterprise Content Management (ECM) system, if it was not yet implemented. Nine (27%) said yes, and 24 (73%) said no.

In reply to the question of identifying applications used to create digital records, participants identified several applications as being used to create digital records. Twenty-one of the 33 (64%) respondents that returned questionnaires acknowledged that they were aware of the applications used to create digital records. Five of the nine HODs (56%) that were interviewed were not sure about the production and availability of records produced in a digital format, and 14 (50%) RMU staff were of the view that there were not any digital records created by or available at the ministry.

The respondents interviewed stated that within their respective departments, paper records are being used extensively, and no other format is used for communication. All five (100%) interviewed HODs were primarily using paper records to communicate, take action and liaise with colleagues in the department and within the ministry as a whole. All five (100%) HODs interviewed highlighted that the government is geared towards full automation through e-government. They unanimously stated that the public sector should be ready to fully embrace such developments.

This predominance of paper records was indicated by HOD 4 as follows:

Records have for a long time been undermined and not necessarily been a priority, and their management has not been something that was considered for transference into the digital space, especially with the current challenges experienced with paper

records, where there are a lot of files being lost, and records officers being ill equipped on their management. Therefore, e-records management would be a rather tall order to ask.

HOD 5 reiterated these sentiments:

Our records management facilities do not have enough resources to enable good records management, let alone the whole ministry having an ICT system that is up and running and, most importantly, reliable to engage and facilitate any other ministerial duties, especially in the form of records management. As a result, we find ourselves with doing our records management the old fashioned way of the paper route.

From the 38 respondents, both interviewees and those that responded to questionnaires, excluding the 18 records management personnel, only six (30%) revealed that the staff employed in the records management unit are knowledgeable enough to effectively manage paper records. The study further revealed that an overwhelming 70% suggested that they are not competent enough to manage paper records according to the expected international standards, especially electronic records. Finally, 20 (100%) of these respondents stated that they did not think that RMU staff were capable of effectively managing e-records.

Figure 5.4 below illustrates the staff perceptions of RMU staff's paper records management competencies at the MLGRD.

MLGRD staff perceptions of RMU staff competencies in paper records management
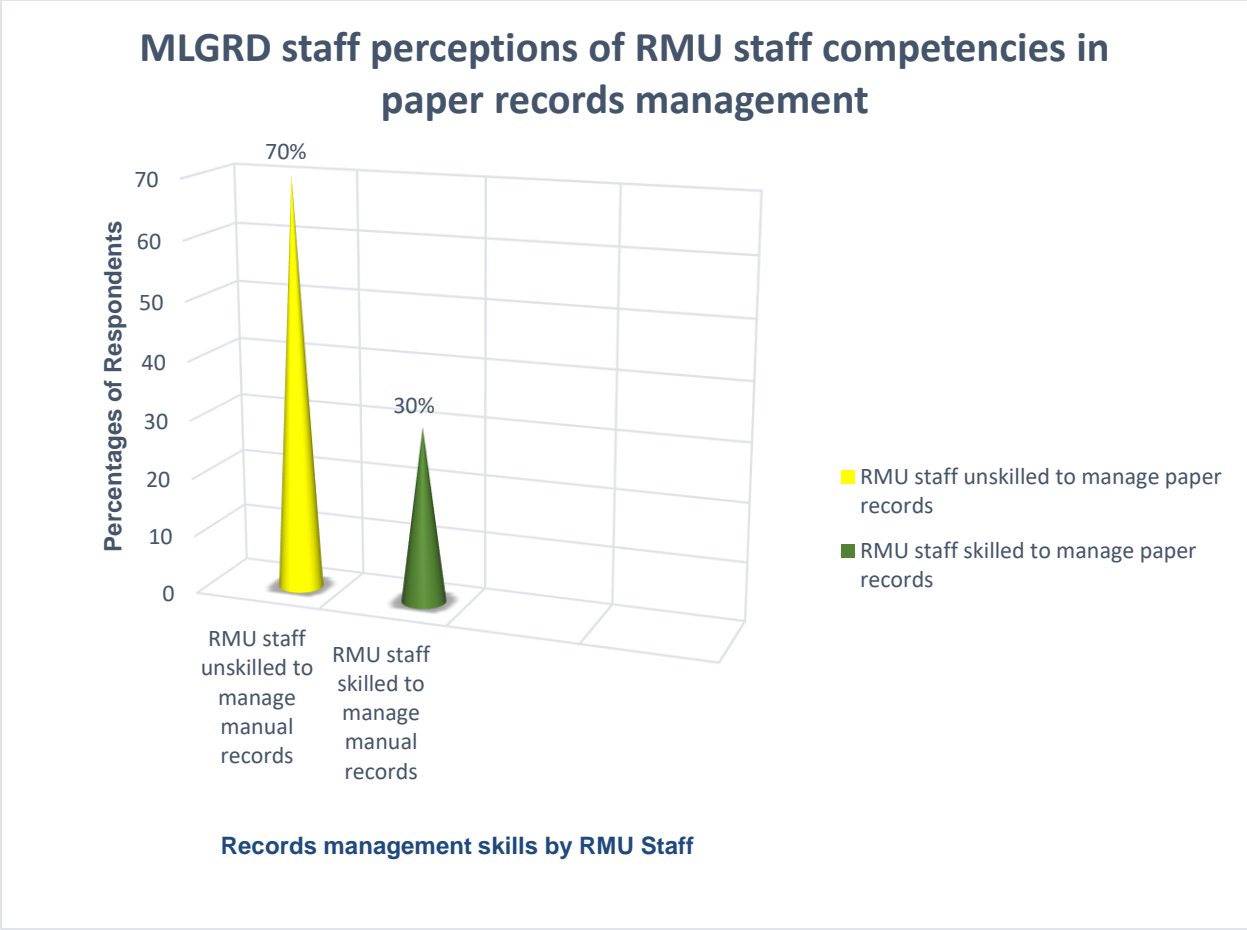
Figure 5.4: The staff perceptions of the paper records management competencies of RMU personnel at the MLGRD

SOURCE: field data (2019)

Figure 5.5 below illustrates the staff perceptions of RMU staff's electronic records management competencies at the MLGRD.

MLGRD staff perceptions of RMU staff competencies in e-records management

Records management skills by RMU Staff

- RMU skilled to manage e-records
- RMU unskilled to manage e-records
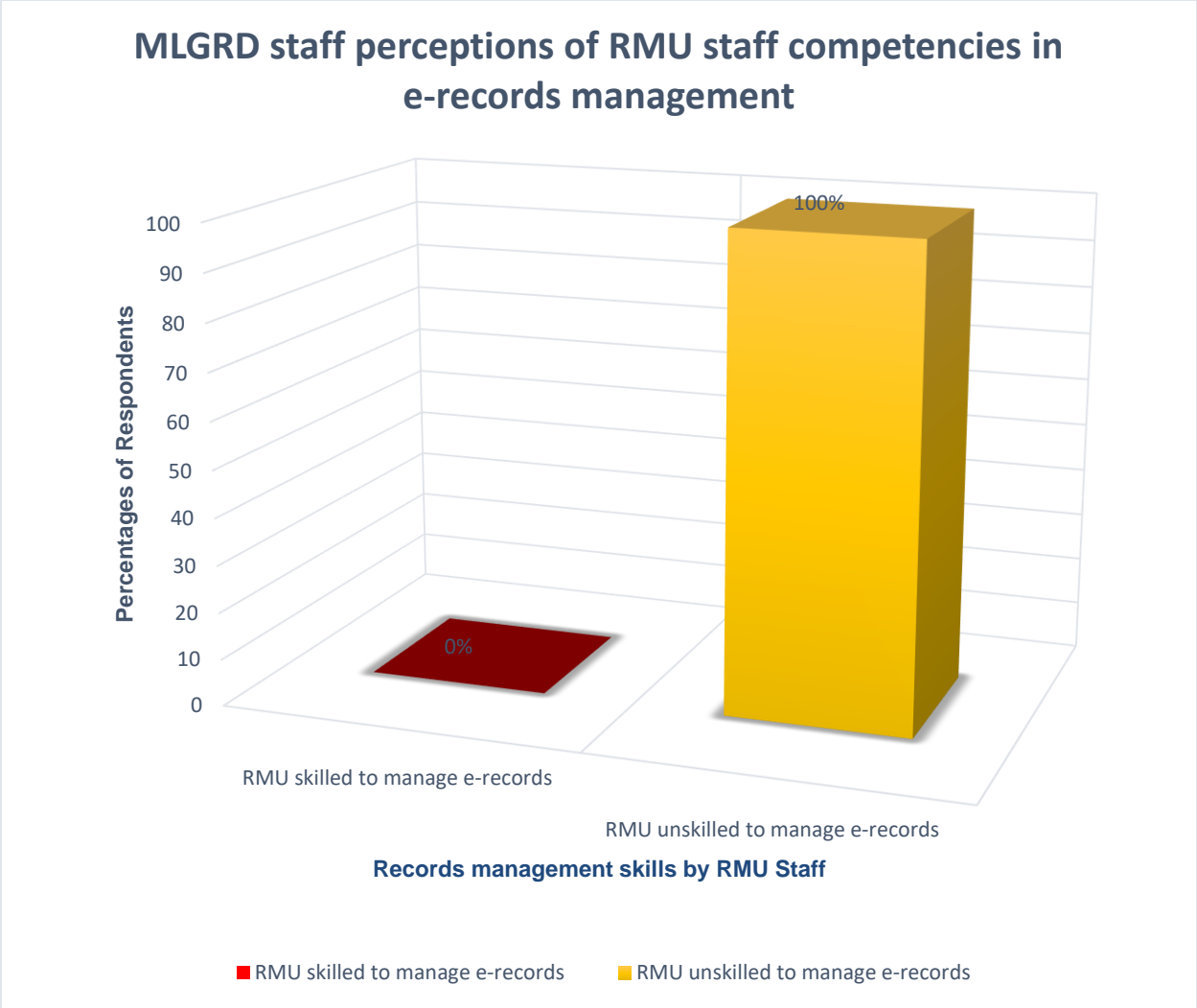
Figure 5.5: The staff perceptions of the electronic records management competencies of RMU personnel at the MLGRD

SOURCE: field data (2019)

Accordingly, 70% of staff at the MLGRD suggested that the records management staff should be upskilled to match the current needs, especially in electronic records management. The respondents highlighted that records management staff can be trained through either internal or external short refresher courses, or through long programmes to better position them to cope with the demands of good records management within their custody, especially when it concerns digital records. The study further revealed that out of the 18 records management staff, only one (11%) has a Bachelor's degree in

Archives and Records Management, while the rest of the team all have a certificate (11: 61%) a diploma (6: 33%) in archives and records management. Figure 5.6 below illustrates the qualifications of RMU staff at the MLGRD.
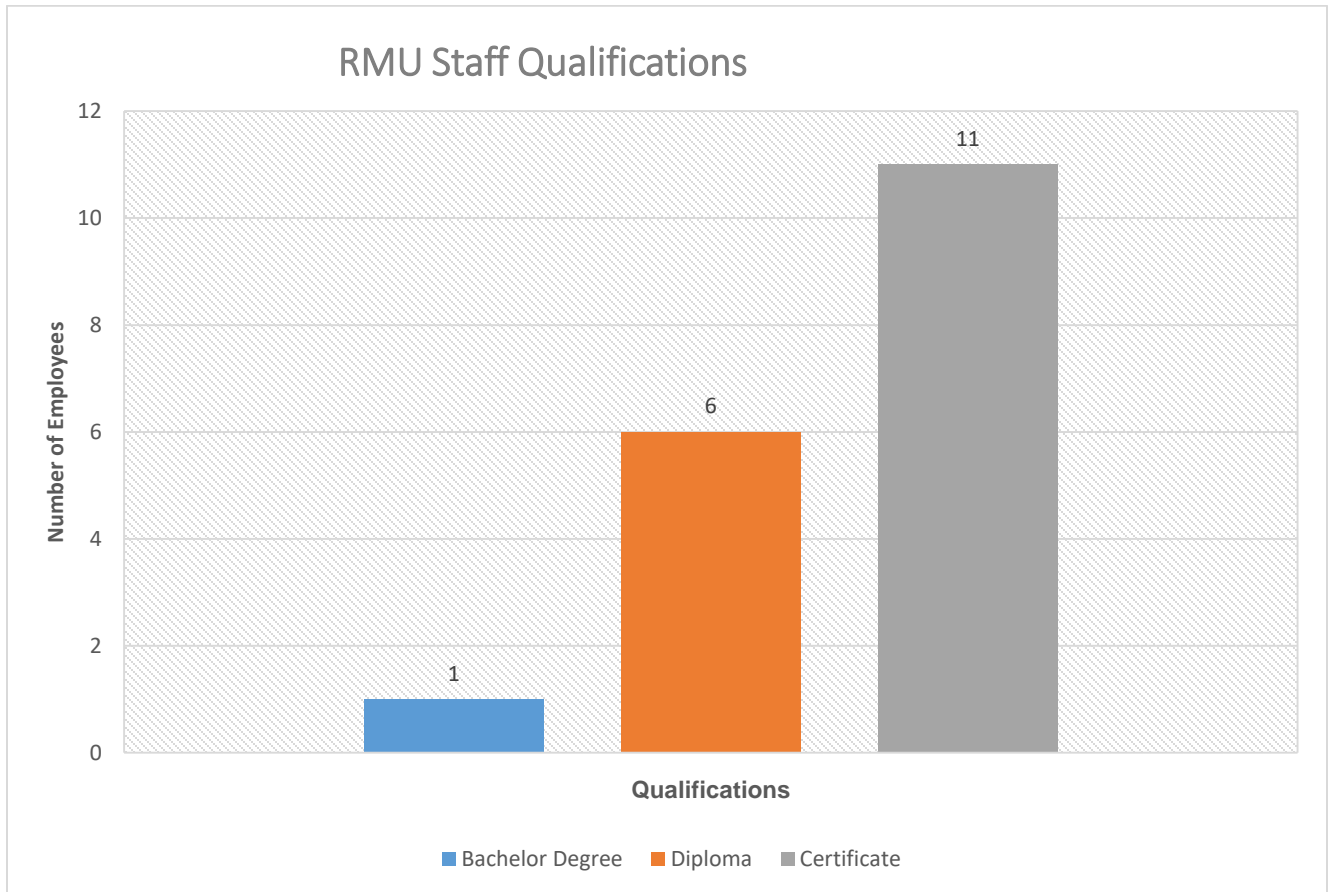
Figure 5.6: Qualifications of RMU staff at the MLGRD

SOURCE: field data (2019)

5.3.2 Records maintenance and storage

The maintenance of records and their storage are pivotal in ensuring that records can be identified, retrieved, accessed and used in facilitating business operations and even for purposes of research. Storage for records is critical to facilitate successful open government, mainly because such initiatives depend on the availability of reliable, accurate and quality information. According to ISO 15489-1:2001, section 9.6, "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." For that reason, this research seeks, in part, to understand how records are stored at the Ministry of Local Government and Rural Development.

To establish the appropriateness of records storage facilities in upholding records preservation, records managers and records officers were asked if there were dedicated storage areas for active, semi-active and non-active/archival records. The study revealed that all active records are kept close by in the Records Management Unit, while the semi-current records are stored in a makeshift storage facility that is not ideal for records keeping, whereas all non-current records are sent to the government records centre. Of the records management personnel interrogated on records storage, all 13 (100%) stated that conditions are not ideal. Records management personnel further highlighted that they are sharing office space with records in the Records Management Unit and that current records are kept in lockable steel cabinets. The study revealed that semi-current records were stored in the basement of a storeroom in the ministry. This was corroborated by all records management personnel. Due to a lack of sufficient space and facilities, all semi-current records are sent to a storeroom in the basement for easy retrieval. Finally, all records management personnel stated that all non-current records are transferred to the public records centre for management. Figure 5.7 shows a storage cabinet used for current records at the ministry.

Figure 5.7: Records storage cabinets at the Ministry of Local Government and Rural Development.

SOURCE: field data (2019)

5.3.2.1 Storage facilities and equipment

The findings of the survey revealed that lockable mobile cabinets were mainly used for storing current records in the ministry. None of the respondents indicated that records were placed on the floor inappropriately, or that there was any usage of wooden shelves for storage. The study indicated that semi-current records were placed in classified archival boxes and stashed on top of each other from the floor up. This was validated by seven (54%) respondents who confirmed that they did not have enough cabinets to use

in the RMU and in the basement storeroom. Table 5.2 below summarizes records storage facilities and equipment.

Table 5.2: Records storage facilities and equipment

Current records facilities and equipment			Semi-current records facilities and equipment		
	Frequency			**Frequency**	
	Total	**Percentage**		**Total**	**Percentage**
Steel mobile cabinets	13	100%	Steel mobile cabinets	0	0%
Floor	0	0%	Floor	13	100%
Wooden shelves	0	0%	Wooden shelves	0	0%

Source: field data (2019)

Table 5.2 reveals that records personnel are in agreement (100%) that they have storage space challenges which hamper their efforts to ensure good records keeping. This is partly due to a shortage of space within the storeroom. This area is a breeding ground for pests such as cockroaches and rats.

5.3.2.2 Records security in storage facilities

The ISO 15489-01:2016 standard provides guidance for organizations striving towards good records keeping, which includes records security. Section 5.3.2.2 states that control measures such as access monitoring, user verification, authorized destruction and security should be implemented to prevent unauthorized access, destruction, alteration or removal of records. To best indicate how the MLGRD has pushed for the enhancement of records security, the records management unit is restricting access through the use of a counter service. The following is a picture of the counter service.

Figure 5.8: The records management unit counter service in the Ministry of Local Government and Rural Development

Source: field data (2019)

To further enhance the protection of records, other measures that are being used are efforts to ensure proper records storage. RMU personnel RP9 declared that the following:

Firstly, access or entrance in the RMU is restricted through a counter service. Our records are also stored in strong cabinets to avoid and minimize the risks such as fire outbreaks.

RP 14 affirmed that:

All records are stored as they are, and nothing is changed, the officer responsible for boxing the records is held accountable and signs for actions taken for accountability.

The findings revealed that there are low security levels in the records management unit at the MLGRD. This is a result of the department not having other security control measures such as a closed-circuit television (CCTV) network for enhanced monitoring of the facility. Also, there are no biometric systems to restrict access to both current and semi-current records

5.3.3 Records preservation

As indicated elsewhere in the previous chapters of this thesis, open government is highly dependent on the availability and reliability of information. Hence, the ability to locate and retrieve information is imperative to open government. For this reason, the survey sought to determine if the Ministry of Local Government and Rural Development's records management practices accommodate measures that ensure the preservation of records.

The findings of the survey revealed that steel cabinets were mainly used for storing current records and were raised a few centimetres above the floor level as a means to protect records from pests and flooding. However, despite those efforts, the researcher found that the facility is highly congested and records are essentially tightly packed. Similarly, the storage area did not have blinds or curtains; therefore, some files were exposed to direct sunlight. The study further revealed that, as mentioned by all the records management personnel, the congestion in the RMU resulted in dusty files; thus indicating improper house-keeping. The RMU staff further bemoaned that there was no monitoring of temperature and relative humidity levels. A few participants highlighted these concerns:

RP 10 posited that, *we are using our RMU as a workstation and a records storage facility. When it is the winter season, we keep ourselves warm, and when it is the hot and dry summer season, we keep ourselves cool without any consideration of the effects, if any, to the records.*

RP 15 stated:

The management doesn't care about our well-being [or] the importance of records and we can't do anything much but just to keep ourselves comfortable, since no recommendations on how to manage and preserve records [are] considered.

Because there is no records management policy in place, there is no guidance on how records may be preserved. Therefore, when asked what their opinion was regarding whether such a policy should be formulated and implemented, records officers had a clear and consistent voice that there was a need for a policy. Such a policy could be used to encourage action officers and all concerned records users to look after records in their daily operations. It could also push the management to seek and acquire needed resources for sound records management and preservation. Overall, the majority of the staff tasked with the responsibility of preserving records are aware of the value a records management policy and, more specifically, a preservation policy. Poor records preservation was lamented by all respondents from the RMU as they indicated that they kept semi-current records on the floor. From the 33 responses concerning how semi-current records are stored, all agreed that there is no proper storage for semi-current records. They are all kept on the floor without any consideration of the implications. This poor handling and storage of records are a reminder that they are neither well protected nor easily accessible (Komba, Nawe & Manda 2017).

5.3.4 Records access and use

The records management personnel and other action officers and were asked about the accessibility of records in their custody, and the tools they use to aid in records identification and retrieval to satisfy requests made by customers and colleagues. All 13 (100%) the RMU staff concurred that the ministry uses an alpha numeric classification

scheme for arranging and describing records. All 13 (100%) respondents pointed out that this filing system works and did not think it needed any improvements or changes. Respondents revealed that the classification system was suitable in the retrieval of records.

All the RMU respondents also stated that there was nothing computerized to facilitate retrieval of records. However, due to over-congestion in the storeroom for semi-current records, they explained that once records are transferred to the storeroom, they are simply put into archival boxes following the RMU's classification scheme. They are not reclassified. They further reiterated that due to intense congestion, records are placed on the floor on top of each other.

Likewise, this study sought to establish whether there was an access policy that controls access to records and how access could be facilitated. All records management officers were in agreement that there was no policy on access of records in the ministry of local government. However, all stated the importance of having an access policy in place to help facilitate access to records, for both internal and external users. The result of improper access controls highlighted the need stated by some to fully automate records keeping. Although the Ministry of Local Government and Rural Development did not have any formal access policy at the time of data collection, there was a common understanding of how to request records and how to control access. It was also established in the MLGRD that in ensuring timeliness to records access, a clear classification scheme and cabinet labelling assist in records management and ultimately access to records. Regarding access restrictions, below are some extracts from responses of participants:

RP 8 stated:

There is no access policy, but despite a lack of a policy, there is access to government records by the public and there are procedures followed in order to gain access to requested records.

It was established that MLGRD doesn't restrict access to government records through an access policy but filters it through other means such as establishing the sensitivity of the information requested for by the officer in charge and determined if it is information to share to the public/research as revealed in the excerpt below. Similar to the above response by RP 8, RP 16 mentioned that:

Access restrictions depended solely on the researcher's needs.

When it comes to records access, the MLGRD cannot be labelled as fairly providing information primarily because of the various identified shortcomings: a lack of access policy, insufficient records storage facilities and equipment, poor records preservation, specifically the preservation of semi-current records, and unskilled RMU personnel.

5.4 LEGAL AND REGULATORY FRAMEWORKS FOR RECORDS MANAGEMENT

This study was based on the premise that open government by Botswana's public service sector was primarily driven by e-government. The use of ICTs in the delivery of services resulted in the generation of electronic records. In order to determine the extent to which records, e-records and good records management contribute to the attainment of open government in the public sector, several questions and objectives were developed. The first objective of this study was to determine the records management policies as well as the legal and regulatory frameworks that support the implementation of open government initiatives in the public sector of Botswana, specifically at the Ministry of Local Government and Rural Development. This research also sought to establish if there were any other access policies regulating records and to determine how access is being facilitated. For that reason, the study's first research question sought to find out whether the records management legislative and policy framework for promoting open government in Botswana was adequate, as explicated below.

There are several laws of Botswana that are the main legal and regulatory framework for records management in the public sector. Table 5.3 below presents the identified regulatory frameworks.

Table 5.3: Records management regulatory frameworks

REGULATORY FRAMEWORK	YEAR ENACTED
National Archives and Records Services Act, Cap 59:04	1978 (Amended in 2007)
National ICT Policy	2007
National e-Government Strategy	2011
Electronic Communications and Transactions Act	2014
Electronic Records (Evidence) Act	2014

Source: Field Data (2019)

The regulatory frameworks presented above in Table 5.3 are briefly discussed below. The discussion hinges on the status of laws and policies in ensuring that they provide direction on how records should be managed and the role they play in ensuring access to accurate information for both paper and electronic records with an emphasis on the eventual integration of records management into open government in the public sector of Botswana.

5.4.1 The National Archives and Records Services Act, Cap 59:04

Firstly, the National Archives and Records Services Act (2007) as a regulatory framework explains and controls the management of records, regardless of form or format, in the Botswana public sector. The legislation was enacted in 1978 and amended in 2007. The amendment extended the definition of a record to include digital records. However, worth noting is that the legislation only goes as far as that extension and little is provided about

the management and maintenance of authentic digital records. In addition, the amended version expanded and gave BNARS the mandate to overlook the management of public current records, over and above archives management.

5.4.2 The Maitlamo National ICT Policy (2007)

The Maitlamo National ICT policy was promulgated by the government to position Botswana as a globally competitive, knowledge-based society leveraged by ICTs (Motlhasedi 2012; Government of Botswana 2007). The government developed the policy to utilize the potential of ICTs to improve on service delivery and provide a national framework for the development of IT initiatives in the country. Although the national policy gives an outline in the form of a framework in the use of ICTs, it does not address how digital records produced are to be managed effectively and adequately. As observed by Wamukoya and Mutula (2005:67), "the increasing use of ICT, especially the Internet, in government operations around the world driven by public sector reform, has given impetus to the generation of e-records, touted as strategic assets vital to the functions of the state. Like traditional paper records, e-records support the day-to-day operations of government services and interactions with citizens, private and public sector partners."

Technological advancements and rapid use of technologies, including ICT based e-government initiatives, has led to more digital communication among the citizens and government bodies than before, leading to a voluminous quantity of digital records created and maintained in digital formats (Moatlhodi 2015; Motupu 2015; Nengomasha 2009). As a result, such records need good and effective management throughout time. The e-government strategy and the government of Botswana are aware of resultant records from various computer information systems that were born and stored digitally and are deployed as part of the e-government programme. This led to the promulgation of a number of pieces of legislation such as the Electronic Communications and Transactions Act and the Electronic Records (Evidence) Act that were sanctioned and the Cybercrime and Computer Related Crimes Act that was amended to recognize and accommodate digital records as evidence in the country's courts of law, just like their counterpart paper records. Notwithstanding this, "there has been an increase in the

volumes of electronic records created. These records must be managed through systems providing constant intellectual and physical control in order to ensure that they remain accessible over time" (Maseh 2016:89).

5.4.3 The National e-Government Strategy (2011)

Furthermore, in order to move all suitable government information online, the government of Botswana has a national e-government strategy that is geared towards driving the country's transition into a knowledge society, and pushing economic diversification and sustainable development (Government of Botswana 2012). To achieve this, the e-government strategy uses a few methods, among them the e-services programme (ESP) which is made up of 14 projects that were to be introduced in three phases over a period of five years. The programme is aimed at strengthening the government e-portal as a primary service delivery vehicle for 300 identified government services. This programme is also able to be implemented through mobile phones to improve service delivery. Another method utilized is the Multiple Access Programme (MAP). This multi-access programme seeks to consolidate all fragmented projects into a consistent and effective approach that provides the government information and services through multiple delivery channels. Among the projects set aside are the following:

1. An introduction of central government contact centre
2. An introduction of government service centres countrywide
3. An integration and standardization of e-government service delivery through initiatives like the Kitsong centres and other access centres
4. An acceleration on the introduction of important e-government services directly through ministries

5.4.4 The Electronic Communications and Transactions Act (2014)

The Botswana Communications Regulatory Authority (BOCRA) (2015) discusses the formulation of an Act relevant to digital communications. It states that the Electronic Communications and Transactions Act (2014) enables the provision, facilitation and regulation of digital communications and transactions, specifically regulation of digital

commerce and digital signatures. The Act was developed to recognize digital communications so that information communicated via electronic means would be deemed valid and legal. The Act recognizes digital signatures and acknowledges that they will not be denied legal effect or declared invalid in Botswana's court of laws because they are in a digital form. Therefore, if the law requires a person's signature and all the requirements are met with regard to any digital communication or transactions performed, including a demonstrated ability to identify the owner of the signature, the signature is duly accepted for authenticating information used in the digital transaction.

5.4.5 The Electronic Records (Evidence) Act (2014)

To facilitate the admissibility of digital records and documents into the courts of law as evidence and provide for the recognition of the authenticity of digital documents, the Electronic Records (Evidence) Act was passed into law in 2014 (Keetshabe 2015). As a result, digital records carry the same weight as evidence as do their counterpart paper records, and cannot be dismissed by the court on the basis that they are digital. The Electronic Records (Evidence) Act (Government of Botswana 2014), in section 5, sub-section 1, deters the denial of digital records as evidence because they are digital, but emphasizes that the authenticity of such digital records have to be proven. To prove the validity and ultimate authenticity of such digital records, "section 5 of the Act indicates that where an electronic record is obtained from an electronic records system and duly certified as such by the certifying authority in relation to the operation or management of the approved process, it shall be presumed that it accurately reproduces the contents of the original records system" (Ngoepe & Saurombe 2016:30).

5.4.6 Existing records management policies

Regulatory frameworks anchor organizational proceedings, and records management is no different. Effective records management is essentially dependent upon a records management policy. It is through the regulatory framework's statements of intent that the records management programme is underpinned. The first research question asked by this study is: "How adequate is the records management legislative and policy framework

for promoting open government in Botswana?" The question was aimed at trying to determine the existence and adequacy of records management policies and other regulatory frameworks guiding the management of good records to ultimately facilitate open government. The 13 (100%) records personnel that participated in the study and the five (5) interviewed heads of departments all (100%) revealed the absence of a records management policy in MLGRD; only one records staff member noted the existence of a draft policy.

Equally, all 33 (100%) respondents stated that there is a lack of in-house or departmental regulatory frameworks in the form of a records management policy. They also expressed not being aware of any other regulatory framework that may be adopted and used to help facilitate access to records or act as an encouragement tool to grant access to information, either as an internal tool or as a national framework. Therefore, there exists no formal and approved policy to guide in the management of records. The study established that there were generally subtle and unwritten regulations on records management, specific to the ministry, and that records personnel relied largely on the general records procedural manual to inform them how to go about managing records, including the granting of access to records as well as its denial.

Respondents were also questioned on freedom of information legislation and access to information laws as enablers to information access. Similarly, 25 (76%) respondents highlighted that there was nothing to that effect, whereas the other eight (24%) showed ignorance to its existence. Five of the interviewed heads of departments (100%) pointed out that they did not specifically know of any records management policy. They did highlight that since the Botswana National Archives and Records Services has a mandate to guide on matters surrounding information management and access, the BNARS Act of 2007 is sufficient to deliver.

Nevertheless, the heads of departments further pointed out that the BNARS Act in itself is unsatisfactory in the granting of access as per the requests made. The National Archives and Records Services Act may limit access to archives as some records may

not be accessible for public inspection before the 20-year period as stated in section 12 has lapsed and due to secrecy also discussed in section 12 of the Act. Likewise, the Botswana National Archives legislation facilitates access only to those records that have been declared archival, denying citizens the opportunity to gain direct access to records that are more current and relevant to the governance process (Mosweu & Simon 2018; Sebina 2006)

This was further confirmed in an interview with one of the heads (HOD 3):

The Botswana National Archives & Records Services ACT is supposedly intended to offer guidance and aid departments on archives and records management, including access to information. It is inadequate nonetheless, in that it only allows the public to view and scrutinize records after a long time.

Participants that bemoaned a lack of policy to regulate the management of records, mentioned that if records management policies were made available, there would be guidelines on access to information. Three (8%) out of the 38 that responded mentioned that, without a records management policy, there is nothing to guide them on access restrictions for records in their custody with regard to internal and external clients.

Due to a lack of records management policies, the study probed heads of departments of the various departments. They were asked to provide reasons for the absence of such a policy. All five (100%) participants did not know if there was any records management policy in place. When asked if there is a designated office responsible for policy formulation in their respective departments, all the five (100%) highlighted that a task team is usually selected to deliver on the mandate through the guidance of an expert in the relevant field. Equally, with the access to information law, 29 (76%) of all those that responded within the study revealed that nothing has been developed on access to information legislation, while the remaining nine (24%) did not know whether or not it is available. Three (60%) of the heads of department highlighted the importance of a specific legislation underlined as a tool to help grant or deny access to information. The

interviewees were unaware as to why there is nothing on either access to information or freedom of information.

This absence of legislation was confirmed in an interview with HOD 2:

There is access to government records by the public, and there are procedures to be followed to gain access. In spite of this, there is currently no existing law to either grant or deny access by public servants.

Another head (HOD 4) mentioned that:

We do not have access to information laws, or much related to that in the form of legislation. But it is very critical for government departments and ministries to be guided by an overarching law to best inform on records management and access to information.

The findings indicated that most of the departments had plans to contribute to the development of a records management policy for the ministry. However, none of these participants stated any specific timelines for when such a policy would come into being. Whereas the very same number (8%) of 38 that responded and lamented about the effects of a lack of a policy on information access, complained that even with a lack of freedom of information legislation, it becomes a challenge to establish access grants to those requiring the information.

The data above shows that there are no internal policies, there is only a draft policy that is unknown to the majority of the staff. The data further shows that the country does not have a national access to information law and a freedom of information law in place that may in turn encourage the granting of access to information and, most importantly, the formulation of supporting regulatory frameworks in the form of supplemental and ancillary policies by different agencies and organizations.

To summarize:

- It was noted that several applications were in use by government departments for purposes such as Facebook, Twitter, MLGRD website and Fax.

- Although records management is a cornerstone to open government, there are concerns largely from the action officers that the RMU personnel are not skilled well enough to deliver on their records management mandate for MLGRD. Furthermore, electronic records management is still an aspiration since RMU staff are not adequately trained in their management.

- With regard to records maintenance and storage, due care is provided only to current records. Semi-current records are not properly stored and maintained. When it comes to the storage facilities themselves and equipment used, appropriate equipment is only used in the section that is housing current records. Semi-current records had no equipment.

- In terms of records security and storage facilities themselves, adequate security is provided to protect paper records. However, there is no formal electronic records security in place. With regard to records preservation, steel cabinets were used mainly for storing current records and there are concerns about records preservation and about the congestion of the RMU.

- Regarding access and use of records, the current study revealed that there were no access policies to help facilitate access. RMU staff were largely reliant on the records procedural manual to guide them in managing and controlling access to records.

- Based on the literature, the study recognized the importance and role played by the legal and regulatory frameworks, because their existence helps give guidance on records management for both manual and digital records.

- In summary, it is clear that there is an inadequate records management infrastructure within the MLGRD and it has negatively impacted records management. There is no dedicated records management policy to guide staff. While the 2007 Botswana National Archives and Records Services Act provides some useful guidance, the absence of access to information and freedom of information laws further compounds the records challenges faced by the MLGRD.

5.5 E-READINESS IN MINISTRY OF LOCAL GOVERNMENT AND RURAL DEVELOPMENT

Being one of theoretical lenses to this study, the Open Government Implementation Model gave guidance in substantially testing for e-readiness in the MLGRD. The OGIM is essentially the main needed guiding lens regarding the e-readiness of MLGRD. Lee and Kwak (2011) explained that to be able to realise ubiquitous engagement by agencies or departments, it was critical to ensure that the citizens had access through various ICT platforms in the form of devices and applications. And therefore, to be able to measure the levels of e-readiness in a government or government agency is a vital pointer for open government readiness, a key feature of this research.

This study used the variables adopted by the IRMT e-readiness tool which include but are not limited to, policy availability and existence, skills and competencies; and ICTs infrastructure (e-records management products and technologies). The IRMT e-readiness tool's variables are covered adequately by research questions 1 and 2 and the results are presented below in section 5.5.1 and 5.5.2.

5.5.1 ICTs infrastructure relevance and availability

The importance of ICT infrastructure and its relevance for good records management cannot be overemphasized in an open government setting. When asked about the availability of relevant ICT infrastructure and its ability to uphold open government, respondents stated unanimously that the ministry was lagging and not technologically ready. There were software limitations, poor network connectivity and outdated hardware. The researcher observed that there were a few computers at the RMU itself and there was technological obsolescence with regard to computers within other office stations, including those in the IT department. Below is Table 5.5 which indicates the perception of respondents on whether the MLGRD has the technology needed for the successful implementation of open government.

Table 5.5: Perception of ICT infrastructure availability in MLGRD

ICT infrastructure Availability in MLGRD

Number of Respondents in Percentages

24%

76%

AVAILABILITY OF TECHNOLOGY   UNAVAILABILITY OF TECHNOLOGY

Availability of Technologies in MLGRD

■ Availability of technology   ■ Unavailability of technology
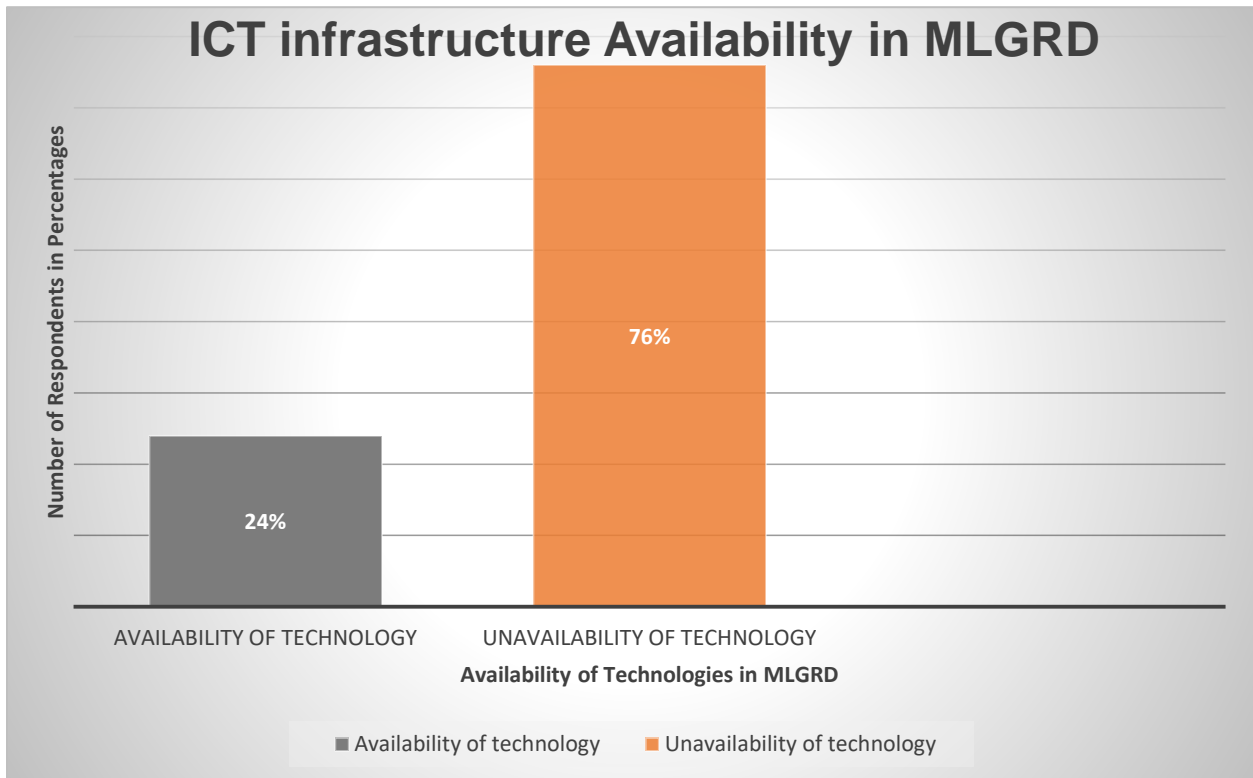
SOURCE: field data (2019)

Table 5.5 above reflects that the 38 respondents unanimously concurred that there is insufficient technology at the MLGRD for open government. An overwhelming majority of those questioned highlighted that the available technology does not enable the management of electronic documents and records. The study revealed that the few (24%) that mentioned that it is adequate, are mainly IT personnel who pointed to a SharePoint system. However, HODs pointed out that, because of open government initiatives being rolled out, appropriate infrastructure is supposed to be there for the facilitation of access to information and that efforts should be made to avail the required technology.

Table 5.6 below indicates the perception of respondents on the available ICT applications being used in the MLGRD.

Table 5.6: ICT applications available in the MLGRD

ICT Applications Available in MLGRD

Legend:
- MLGRD website
- Facebook
- TWITTER
- CELL PHONE
- FAX

Bar values:
- MLGRD WEBSITE: 24%
- FACEBOOK: 24%
- TWITTER: 24%
- CELL PHONE: 60%
- FAX: 71%

Y-axis: Number of Respondents in Percentages
X-axis: Applications & Technologies in MLGRD
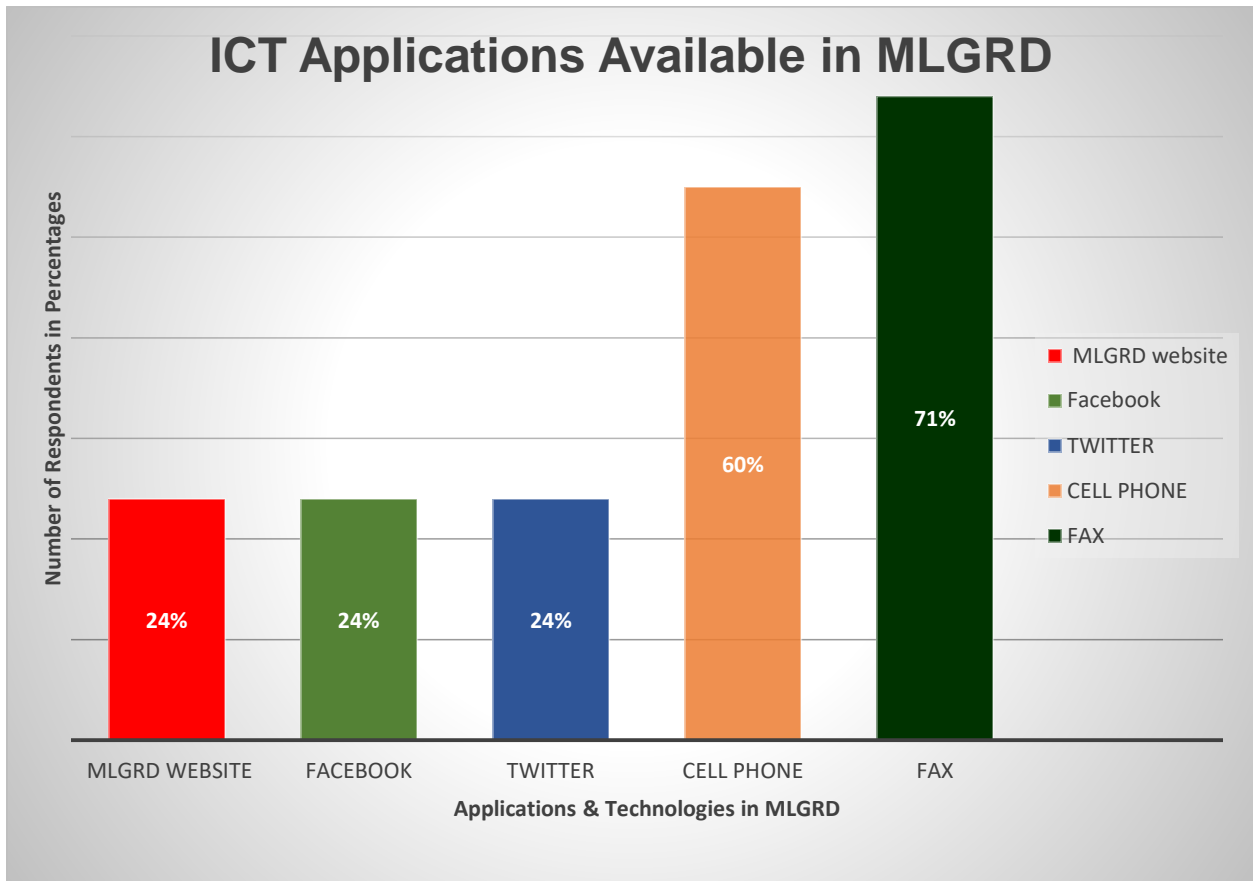
SOURCE: field data (2019)

Table 5.6 above reflects that the 38 respondents solidly agreed at 71% that faxing is widely and extensively used for communication by the ministry, with a few (24%) identifying the official website of the MLGRD, Twitter and Facebook as being used to convey messages to all stakeholders, while a modest number (60%) identified cellphone messaging as partly used to communicate information about the services. Overall, the study has revealed that nine (24%) of respondents believe that there is not enough acceptance and usage of ICTs within the ministry.

5.5.2 The Integration of Ministry of Local Government and Rural Development into the national e-readiness strategies in Botswana

The study sought to ascertain the degree to which the Ministry of Local Government and Rural Development has been incorporated into Botswana's existing national e-readiness (e-government framework) strategies by use of interviews and document analysis. This research also explored the type of framework that would be appropriate in integrating records management into open government initiatives in Botswana.

Specifically, this study addressed the following:

- The degree to which the MLGRD has incorporated ICT policy and legislation into its open government and records management infrastructures
- The extent to which the use of ICTs in the MLGRD has been able to support processes for delivery of quality public services to citizens and residents
- Factors that are likely to restrict the adoption of access to ICTs in the MLGRD
- Current efforts to integrate the MLGRD in the drive for an open and inclusive society in Botswana

Reviewed documents revealed that the government is geared towards ensuring that the country forms part of the broader global initiative of a more inclusive and informed society. For that reason, the national ICT policy instructs how Botswana could be part of the global knowledge and information society through the effective use of ICTs. According to the Maitlamo ICT policy (2007:4), "e-Readiness Assessments indicate that Botswana has good levels of technical infrastructure and supporting legislation in place, providing the country with a solid foundation for accelerating an integrated National ICT agenda."

Similarly, the policy has created an enabling environment for integrating ICTs into the development agenda of the country such as the development of the ICT-based initiatives like the Kitsong centres, Botswana Innovation Hub, Thuto Net and the Connecting communities initiatives. The policy further suggests that the country has created

opportunities for all sectors of the economy to optimize ICTs to solve problems of national interest both at organisational and national levels through the availability of such ICT-based open access initiatives. For these reasons, senior officials interviewed indicated that it was up to the various sectors of the economy to take initiatives in ensuring that their citizens were effectively part of the development.

Nevertheless, respondents in the Ministry of Local Government and Rural Development gave dissimilar responses. All five HODs interviewed mentioned that the National policy supports the implementation of ICT-based projects. However, they indicated that not many efforts have been made to establish ICT adoption and use in government ministries and departments primarily due to poor infrastructure and lack of skilled or semi-skilled employees on the use of ICTs.

When asked to indicate the reasons for the likelihood of poor adoption of ICTs in the ministry, HOD3 stated:

Employees are mainly from the old school of thought where technology was not abundant and most are still not keen on its use.

HOD 1 observed:

A few of us are confident in technological everyday use. It is unreliable. Systems shut down and crash easily and we are left wanting. Therefore, we trust the old manual systems. Yes, we appreciate technology and acknowledge its use as being the future, hence the government taking strides to develop many initiatives and policies to leverage technological use, but we still have a long way to go, to full accept and use it.

The following is a summary of findings to this section of the current study.

- Through adopted variables from the IRMT's e-readiness tool, such as policy availability and existence, skills and competencies, as well as ICTs infrastructure

(e-records management products and technologies) it has been noted that e-readiness at the Ministry of Local Government and Rural Development is not adequate due to a lack of policies, such as the records management policies and access policies. Notably, the study revealed that ICT infrastructure was not good enough to facilitate electronic records management and enable open government as the ministry was not ready technologically. This is due to obsolete hardware and the unavailability of software as well as poor network connectivity.

- Minimal or no efforts have been made to ensure the adoption and use of ICTs in government ministries and departments across the public sector. This is largely due to poor ICT infrastructure and gross lack of skilled employees or semi-skilled employees on ICTs.

5.6 SUMMARY OF CHAPTER

In this chapter, the study findings were presented according to the outlined research objectives. The main issues that emerged from the study findings can be summarised as follows:

In the assessment of records management policies and other legal and regulatory frameworks that support the implementation of open government initiatives, the study established that there is no records management policy in use at MLGRD with only a records management policy draft has been developed, and little has been done to push for its approval. Similarly, Botswana does not have a freedom of information law or an access to information law enacted to support access to information and enforce it.

Regarding the role of records management in enhancing open government. The study revealed that records management was identified as pivotal to ensuring the success of open government and that within MLGRD records are in a predominantly paper format and there are no formal management of electronic records as is the case with paper records. Also, the study findings have shown that there is inadequacy in skills and expertise for the effective management of records in all formats, generally there is poor records storage, specifically of semi-current records that are kept on the floor in a

storeroom. While at the same time records preservation is being overlooked as records personnel do not observe the basic preservation strategies to protect records, such as the monitoring of temperature and relative humidity. Looking at Open government and access to information the results revealed that few understand the concept of open government and its contribution to information access. Besides, the study discovered that the Botswana government has launched an under-utilized e-government platform to help facilitate open government. And that as a result Open government has not been fully achieved due to poor ICT infrastructure and a lack of ICT skills and knowledge.

From the discussion above, it is seemingly clear that records management has a long way to go to make any meaningful contribution to the facilitation of open government in Botswana's public sector. The findings also revealed that open government is still in its infancy and requires major contributions from all stakeholders to make it a reality. The next chapter interprets and discusses these research findings in detail.

CHAPTER SIX

INTERPRETATION AND DISCUSSION OF RESEARCH FINDINGS

6.1 INTRODUCTION

The results presented in Chapter Five are interpreted and discussed in this chapter. This portion of the thesis, according to Creswell (2009:153), allows the researcher to reflect on how the findings addressed the research questions.The interpretation is informed by the findings that were attained from the previous chapter's analysis that presented the findings of the data collected through interviews, questionnaires, and document analysis. Results interpretations are an important part of any study because it allows inferences and generalizations to be drawn from the results to the problem statement. As as consequence, when a researcher interprets data, it suggests that the researcher draws conclusions based on the observations of the research questions and hypotheses (Creswell 2009).

Kothari (2004) states that data analysis and results interpretation are highly intertwined and cannot be separated easily. It follows that during the process of results interpretations, precautions similar to those made during analysis such as data reliability, computational checks, validation, and outcome comparison should all be considered during the review. According to Kothari (2004:345), findings interpretation reinforces the "interaction between theorertical orientation and empirical observation" and is where the "opportunities for originality and creativity" in any research study are found. According to Neuman (2006), even if data was properly collected and analyzed, if there is any inappropriate elucidation, it would lead to imprecise conclusions. Hence, it is pertinent that the interpretation of data findings is done in an objective fashion.

Therefore, the interpretation of the study findings is solely based on the research objectives, which were as follows:

1. To assess records management policies, as well as legal and regulatory frameworks that support the implementation of open government initiatives.

2. To identify the role of records management in open government initiatives and establish if records management is included in Botswana's open government initiatives.

3. To explore frameworks that can be integrated in enhancing open government.

4. To make recommendations in relation to the general management of records for open government in Botswana.

6.2 LEGAL AND REGULATORY FRAMEWORKS FACILITATING RECORDS MANAGEMENT AND OPEN GOVERNMENT

Open government concerns itself with moving away from governments deciding which information to release to a more user-driven approach (Maseh 2015). According to Maseh (2015), citing the Centre for Technology Policy Research (2010), the concept of open government is to openly publish all public information and have it made available not only for scrutiny and review, but also for re-use.

Legislation is significant in any organization's activities, and records management regulatory frameworks such as policies and legislation should give directives on how records should be created, kept and maintained for future organizational and individual employees' accountability (Ndenje-Sichalwe, Ngulube & Stilwell 2011:268; Ismail & Jamaludin 2009:136). Similarly, as it has been highlighted in the literature, open government ought to be regulated by legislation that provides guidance on how information created or managed by government departments may be issued to the citizens. Demeester (2014) explains that the legislative and regulatory contexts in which open government data initiatives operate contribute immensely towards the ultimate efficiency of open government data initiatives, where a legislative and regulatory context can, among other things, encourage citizens to access and reuse open government data. These frameworks include, but are not limited to, access to information laws and a constitutional recognition of the freedom of expression. However, inconsistent enforcement can impede open government data supply and demand.

According to Lemieux (2016), records and information management policies are anchored in frameworks that exist for physical documents with insufficient attention given

to digital content. In spite of this, several researchers (Jimerson 2007; Wallace 2001; Baronand Thurston 2016) have pointed out that there have been vital updates to record-keeping and archiving policy frameworks after litigation questioning how email and other forms of recorded electronic communication was to be dealt with under the US federal Records and Freedom of Information Legislation. This research analyzed Botswana's legislative regulatory frameworks to establish if it supports good records management and upholds records-based open government. Robust regulatory and legislative frameworks are imperative in ensuring good records keeping especially in the digital realm, since they provide proof of activities and transactions within an organization.

This study's findings are introduced and addressed in accordance with the sub-themes mentioned below: policies and legislation that encourage open government, and good records management for both public sector paper and digital records.

6.2.1 Policies and legislative frameworks for upholding open government

Open government is highly dependent on the availability of records, and to practice good records management it is imperative to be guided by relevant regulatory frameworks. In order to have best practice records management, organizations should have evidence of its compliance with the regulatory environment governing the records of their activities. To be able to do so, organizations are usually guided by mandatory standard practice, statutes, codes of best practice and codes of conduct and ethics. However, it is worth noting that the nature of the organization and sector determines the regulatory elements (ISO 15489-1: Section 5). Moreover, to ensure that there is open government, there is a need to have in place legislation that enforces its implementation. Largely obligated by legislation, governments or governmental bodies avail information either for the citizens' right to know or for research purposes (Flynn 2001). Legislation that encourages governments' openness is essential alongside the ICT adoption and e-government programmes that transform the public sector (Heusser 2012). Furthermore, Heusser (2012) identifies freedom of information legislation as empowering and giving residents the right to ask the government for information, as well as requiring governments to publish and offer information to their citizens.

To that effect, this study's findings pointed out that there are existing laws and guidelines that provide guidance on the management of records. These are the National Archives and Records Services Act (2007) and the Electronic Communications and Transactions Act (2014). Furthermore, there is the National ICT Policy and the E-Government Strategy which promote the use of ICTs in public service delivery and the adoption of e-government systems, respectively. Thus the adoption and use of ICTs to transact public affairs result in digital records being created. Therefore, these laws and policies influence the overall management of digital records. Below is a description of the legislation and national ICT policies that inform the government on its e-government approach and archives and records management practices.

6.2.1.1 Botswana National Archives and Records Services Act (2007)

According to Mnjama and Lowry (2017:101) "Archives are recognized as an essential part of any nation's heritage providing documentation not only of the historical, cultural, and economic development of a country thereby providing a basis for a national identity, but also serving as a basic source of evidence needed to assert the rights of individual citizens." Furthermore, as noted by Netshakhuma (2019), governments use legislation to manage archives, supplemented by supporting regulatory and policy charters to guarantee a planned method to capacity building, use, conservation and preservation of records. Equally Quintana (2009) points out that legislation and archives ought to work together and that lawmakers should take the essential role of archives into account for that legislation to be effective.

In the case of Botswana, such a regulatory and legislative framework came to being in 1978 with the National Archives and Records Act, later amended in 2007, to extend its coverage to provisionally include digital records. The BNARS Act is the supreme law governing both archives and records of Botswana's public and private sector. In order to be able to deliver on matters surrounding digital records and archives, policy can drive the mandate to improve the management of digital records and archives. Such a policy can be fully developed and made relevant if anchored in an Act of Parliament that focuses on records and archives, specifically digital archives and records. The BNARS Act was

amended because it was outdated and outdated policies and Acts are a hindrance to the suitable and appropriate management of archives and records. This is echoed by Tsabedze and Kalusopa (2018) who bemoan that the use of an obsolete Records and Archives Act of 1971 has resulted in a lack of investment in relevant ICT technology and the lack of a clear ICT policy that aligns e-records management and e-government.

Ngoepe and Keakopa (2011:148-149) state that the "National Archives was officially established following the passing of the National Archives Act in 1978, [and] gave it the mandate to undertake archives administration and records management activities in the country." This framework can be seen in both South Africa and Namibia. Ngoepe (2017) states that, in the context of South Africa, the national archives is responsible for preserving and making available all documents, including those created electronically, while Lukileni and Mnjama (2017) elucidate that the Namibian Archives Act dictates the National Archives to manage and preserve all public records.

This study's findings through document analysis have revealed that archives and records management has a significant part to play in open government initiatives. But in order to realise open government, it requires e-government systems. As a result, digital records created and produced during the process are the main provider of records that pushes for the realization of open government, and so it is important for the BNARS Act to include definitions of digital records and how they should be managed into the Act to facilitate their management. Ngoepe and Keakopa (2011) further point out that the 2007 amendments gave BNARS an extra mandate for records management that specifically looks into digital records management. However, it should be pointed out that records managers throughout the country have highlighted that it is still insufficient and falls short in strengthening the management of electronic record-keeping systems.

This study uncovered that the MLGRD does not have any records management policy of its own that could guide them in their records keeping practices. Hence, it is apparent that the MLGRD is not fully embracing the BNARS Act. In their study Mosweu and Simon (2018), found that Botswana's archival legislation is weak. These shortcomings, as explained by Sebina (2006), may be due to its initial and original mandate. The Act was

meant for the archives' identification, preservation and access, and not the management of records in their current and semi-current state.

6.2.1.2 Maitlamo National ICT Policy

According to the IRMT and ISO (2004; 2001, respectively) the national legal and policy framework for records management is an anchor that provides a foundation and basis for all functions and activities on records management. However, Griffin (2003) recognized that the policies of many governments and guidelines for managing government records are commonly absent and the legislative and regulatory frameworks are habitually weak or obsolete. This study revealed that very few respondents knew much about the Maitlamo National ICT policy, and its relationship with e-records management. Despite this lack of awareness by study participants, this study established that the national ICT policy does not address issues of electronic records and their management.

Essentially, the Maitlamo National ICT policy provides a national framework for developing information technology initiatives in Botswana. The policy was established and approved in 2007 to help fashion a constant, unwavering and competitive market that provides an investor-friendly legal and regulatory environment (Nkwe, 2012). Moatshe (2014) discovered that the Maitlamo National ICT policy was intended to position the country to be globally competitive as a knowledge and information society and provide lasting improvements in social, economic and cultural development achieved through the availability and effective use of the ICT platforms. Moatshe (2014:175) further notes that "the Maitlamo National ICT Policy was necessarily focused on three specific outcomes, being;

a. Creation of an enabling environment for the growth of an ICT industry in the country;
b. Provision of universal service and access to information and communication facilities in the country; and
c. Making Botswana a Regional ICT hub so as to make the country's ICT sector globally competitive."

It is imperative to have an ICT policy as it gives confidence on the practices of digital records keeping. An ICT policy commonly helps to facilitate the availability of relevant resources in infrastructure, skills and knowledge as and to enhance inclusivity. This is corroborated by Cullen and Hassall (2016) who state that a national information and communications technology policy should focus on coordination, collaboration and multi-stakeholder partnerships, service access, transparency and accountability, and equity and inclusiveness. Such a policy gives all citizens access to affordable, reliable, secure ICTs, as well as the knowledge and skills to utilize these technologies in areas such as e-learning, tele-medicine and e-commerce.

6.2.1.3 National e-government strategy

The positive effects of e-government cannot be overemphasized. It comes with various benefits, including but not limited to reduced corruption and greater transparency It also ensures that governments progress through improved service delivery, accountability, increased revenue, cost reduction, and through reduction of bureaucratic bottlenecks and red tape (Bhatnagar, 2009; Mutula, 2008; Ndagire & Baguma 2018).The main goals associated with e-government are to enhance service quality and the performance of all administrative processesand enable the government to stimulate citizens' participation and collaboration (Helbig, Gil-Garcia & Ferro 2009).

This study's results pointed out that the government of Botswana is still not ready to leverage e-government and achieve its intended goals. This was revealed through the answers provided by participants on questionnaires and documents. Furthermore, a report by the Botswana Institute of Development Policy Analysis (BIDPA) revealed that the country was far from being ready for full automation and e-government due to a variety of reasons, which included a lack of relevant infrastructure in the form of ICT hardware and software. Several electronic government projects in the emerging economies are failing because of existing gaps between the design of e-government systems and their implementation. Many developing countries simply copy and paste e-government system designs from the developed world, disregarding historical and cultural differences, infrastructure, populations, and economic and government structures (Mukde & Wimmer, 2013).

Governments across the globe have made efforts to harness the power of e-government. A country like Indonesia, in an attempt to be more transparent and ensure accessibility of services, opted for online services that acknowledged the importance of establishing an e-government presence. In order to successfully implement its e-government strategy, Indonesia instituted a number of ICT policy initiatives designed to promote e-leadership and to reform its telecommunication sector (Harijadi & Satriya 2000). Another country that is also developing rapidly is the United Arab Emirates (UAE), which launched its e-government in 2001 with the intention of transforming all government services and making them accessible the whole day every day and throughout the whole year. The UAE's e-government strategy was divided into three categories: eServices, which focused on providing high-quality electronic services to customers across various platforms, and eReadiness, which focused on improving federal agencies' capacity in terms of technology, organization, and human capital, as well as the ICT environment, such as infrastructure and regulatory policies (AL Athmay, Fantazy & Kumar 2016).

According to Mutula (2013), due to the completion of undersea fiber links on Africa's east coast, there has been provision of an improved and effective implementation of regional e-government initiatives with high-speed internet connections to the rest of the world. For instance, an African country like Rwanda with a relatively new democracy and a growing economy, has its own e-government initiative. A U-report mobile participation platform is used for e-government that is conducted to help citizens' participation from a communal point of view, where mobile phones are used to communicate issues at community level; then collaborative efforts are put in place to work with other communities across the country for change initiation on matters affecting communities (Agbozo & Chepurov 2018).

Furthermore, at the beginning of 2014, Rwanda has implemented, through a 25-year public-private partnership, a Rwanda Online Platform Ltd (ROPL) that is a "one-stop" e-government scheme supported by inadequate legislation that is designed to integrate numerous government departments to provide public services and information through a single point of access (Bakunzibake, Klein and Islam 2019). According to Mutimukwe,

Kolkowska and Grönlund (2019) citizens and e-government interactions require a legal and regulatory system that takes into account, among other things, the protection and privacy of information. Rwanda has yet to enact a national privacy law, but has a few other initiatives to harmonize the protection of Intellectual Property (Mutimukwe et al 2019). However, Rwanda has a recent ICT law that contains sections on privacy protection with regard to the collection and processing of personal information (Republic of Rwanda 2016). Not all countries are positioned to leverage on e-government effectively, primarily due to inefficient models proposed for e-government. Tsabedze and Kalusopa (2018) posit that it is emphasized according to the swazi e-government strategy for 2013-2017, that e-government is a tool for national economic and social growth seeking to ensure effective, efficient, transparent and accountable government. Tsabedze and Kalusopa (2018) further point out that eSwatini has not fully highlighted the preparedness and readiness of its government in the employment of e-government, since there are still challenges to citizens' ability to access e-records, especially in rural areas or some other location where technology and electricity are unavailable.

However, in Botswana, e-government was pushed forward through the implemented e-government strategy of 2011. Botswana's e-government strategy's aim "endeavors to address public service challenges through the deployment of integrated information systems. Through the Integrated Government (1Gov), information, technologies and structures, a set of seamless high quality services for citizens, visitors, business in Botswana and beyond will be delivered to facilitate the transformation to the knowledge economy" (Mosweu 2019:114). More importantly, the Botswana e-government strategy adopted the use of 1Gov to give customers smooth access to services across the entire government. However, at all levels and capacities of government, Botswana is faced with the challenge of useless and incompetent employment of policies and programmes (Kaboyakgosi & Marata 2013). As corroborated by the World Bank (2014), Botswana's e-government strategy's implementation has been slow.

To be able to connect all the components of the e-government framework, an interlinked and stable Government Enterprise Architecture is required (Government of Botswana 2011). Through the e-government ICT architecture, it would help and manage

complexities and change in business processes such as, but not limited to, records management, finance management, human resources and payroll, and Geographical Information Systems (GIS). This would fundamentally reengineer existing processes via e-services delivered through a citizen-centric government portal (Mokone, Eyitayo & Masizana-Katongo 2018). In their study, Bwalya and Healy (2010), citing a newspaper article from Mmegi (2009), pronounce that, in promoting e-government, Botswana has a dedicated and robust agenda aimed at achieving and promoting e-government because of the government's greater appreciation and understanding of the importance of e-government. To best understand the role of e-government in the enhancement of service delivery, a comparison can be made with countries with relatively new and emerging economies such as Botswana that want to embrace e-government for growth and service delivery.

However, this study has established that the efforts of setting out integrated information systems to enable easy access to services and transforming the economy of Botswana into a knowledge-based economy through the e-government strategy have been futile because the ICT infrastructure is inadequate, as established at the MLGRD through this current study. Furthermore, in the context of records management, the unavailability of EDRMS software to assist in the management of digital records has proven that the e-government strategy still is not fully realized because of insufficiencies such as a lack of an EDRMS software, obsolete ICT infrastructure and unskilled personnel, thus hampering efforts by government bodies to positively put into place e-government as it is the case with the MLGRD.

6.2.1.4 Electronic Communications and Transactions Act

Commerce is a key driver of an economy and there has been a surge in e-commerce throughout the world as businesses have transitioned to online platforms. Many activities and communications are conducted online, such as billing of customers and order processing, to name a few. This study revealed that Botswana has put in place legislation to guarantee and enforce consumer rights in e-commerce such as the Cybercrime and Computer Related Crimes Act and the Electronic Communications and Transactions Act.

E-commerce transactions lead to the creation of a high number of e-records, complicating their maintenance and use, as well as the general management. Motupu (2015) explains that it is in that regard that there are e-commerce practices around the globe, including in Botswana, that saw the enactment of legislation like the Electronic Communications and Transactions Act aimed at providing recognition and acceptance of electronic documents in commerce and government transactions, and for personal use, that later influenced an amendment of the Criminal Procedure and Evidence Act and the Civil Procedure and Evidence Act to provide for the enforceability of electronic contracts in the courts of laws of Botswana. Section 3(a) and (b) of the Electronic Communication and Transactions Act gives legal recognition to internal and external digital transactions that create digital records. Also, the Electronic Communication and Transactions Act promotes a legal framework that supports digital commercial transactions, and recognizes and promotes the use of information technologies to facilitate e-commerce.

Therefore, this Act contains these requirements that recommend for the recognition of digital transactions in Botswana and, ultimately, within the MLGRD thus in essence legitimizing the use of ICT applications similar to the ICT-based Botswana open government initiatives because they produce principally digital records for improved communication.

6.2.2 Policies and legislative frameworks for upholding good records management at the MLGRD

This study shown that the MLGRD lacks a policy on records management on which to anchor its records management practices. The study also revealed a lack of sufficient legislation that may influence both the MLGRD and other government bodies to help uphold good records management and open access such as the presence of the FOI legislation, access to information law and a comprehensive BNARS Act on records and archives management. The IRMT (2004) mentions that every country has to have legislation that coordinates records and information management through the central archives institution. Rakemane (2017) reiterates that position by observing that proper records management is entirely dependent upon the presence of relevant records

management policies and procedures for the effective and efficient management of information. However, Rakemane (2017) further underlines that the enacted policies and procedures should also ensure that there are guideline regulating how records generated by digital technologies are to be managed, including email records, word-processed documents, electronic spreadsheets as well as audio-visual records.

Yet. Kaminyoge and Chami (2018) point out that although some countries have relevant legislation in place that supports the management of records and archives, not much is done to ensure their effective functioning and implementation. Conversely, the absence of legislation and the existence of ineffective and outdated laws can affect how records are managed. They further highlight that tseveral undeveloped countries have either limited or sedentary statutes to encourage good record-keeping and archives management. Botswana has two main key drivers to their ICT use and optimization in the form of the Maitlamo National ICT Policy and the E-Government Strategy which are essentially paramount in the promotion of not only ICT use, but also in service delivery through ICT platforms (Government of Botswana 2011; Moatlhodi 2015).

In spite of this imperative to understand legislative requirements and to have them in place, Kennedy and Schauder (1998) observe that employees of government entities have to be aware of legal and regulatory commitments to be able to provide enough evidence that they comply with the regulatory requirements in the records of their activities. This research has demonstrated that there is insufficient guidance on these matters in the BNARS Act. As ascertained by several prior studies on issues surrounding records management and a lack of understanding and conformity to legislative requirements, there has been consensus among ESARBICA member states that points to the challenges relating to effective legislative and regulatory framework on the management of records, regardless of format (Nengomasha 2009; Keakopa 2006; IRMT 2008; Kalusopa 2011). Mampe (2013) opines that the level of awareness of records management regulatory frameworks should be elevated and amplified so that good records management is the backbone to any public administration.

The importance of an archives and records management law in a country or organisation cannot be overstressed. Such laws guarantee good records management frameworks in

government and would provide guidelines as to how records should be created, kept and maintained for the accountability of both individuals and organizations (Ndenje-Sichalwe et al 2011; Ismail & Jamaludin 2009). Marutha (2016) highlights that it is up to records managers to see to it that operations executed by the records management team are done in congruence with appropriate ordinances and organizational guidelines. Records systems should comply with the current business requirements, regulatory environment and community expectations and records creators should be made aware of the influence record-keeping requirements have on their business actions. As a result, records systems may be regularly assessed to establish whether or not they are complying with all the requirements. MoReq2 (2008) confirms that the establishment of an electronic document and records management system (EDRMS) guiding documents, like policies, should be accompanied by the relevant and applicable laws and regulations such as the "data security law and archival law."

Yin (2014) postulates that modern organisations must consider that paper and electronic records are managed to the standards and policies because it helps reduce legal risks and fundamentally improves on operational functions. However, for records management practice various concerns have been raised and amongst those has been a lack of senior management support on endorsing the implementation of EDRMS policies. Another study conducted in Malaysia revealed that the country aimed to improve service delivery through the adoption and use of an EDRMS has encountered challenges such as a lack of skilled personnel, lack of policies and inadequate top management support in the implementation drive, and notably incompetencies regarding the security and privacy surrounding EDRMS use (Ab Aziz, Yusof, Mokhtar and Jambari 2018).

Unfortunately, despite the significance of a regulatory framework and specifically a records management policy, this study revealed that at the MLGRD there is nothing tangible to guide how records, including digital records, should be managed. Attempts have been made to develop a draft records management policy, but not much is known about it and how far it been developed. Through document analysis, the study discovered that legislation in the form of the BNARS Act itself is not enough to deliberate on key issues surrounding the management of digital records and, therefore, may be a major

hindrance for government departments to promulgate adequate e-records management policies.

According to Mnjama and Wamukoya (2007), a major challenge to the management of records in the Eastern and Southern Africa Regional Branch of the International Council on Archives (ESARBICA) region was the absence of policies and procedures to guide records management. They noted that records management of all formats must be supported by clearly defined policies, procedures and guidelines if they are to retain their evidentiary value for accountability and transparency in governance. Isa (2009) substantiates this view by suggesting that because electronic records are intangible, there was a need for a detailed and comprehensive holistic approach to ensure that electronic evidence is accurate and authentic. Governments must institute a complete policy for e-government that embraces both administrative, legal and technical issues.

6.3 FREEDOM OF INFORMATION AND ACCESS TO INFORMATION LAWS AS ENABLERS OF OPEN GOVERNMENT

For information to be disseminated and access to information to be granted easily, a law binding governments and government agencies is imperative. This study revealed that there is insufficient legislation to address open government supported and facilitated by records management. Specifically, the study revealed that there is no law on freedom of information and access to information or the right to access information. In this regard, the weakness of the national archival legislation (BNARS ACT) means that on its own, it is inadequate to guide the MLGRD on access controls. Currently, the BNARS Act is limited in that the law does not go far beyond addressing permissible ways of giving access to records, but focuses largely on archives. According to the BNARS Act, Part IV, section 12, "public archives which have been in existence for a period of not less than 20 years may be made available for public inspection." This on its own disregards records that may still be in their creating agencies such as the MLGRD, and as a result, the national archival legislation may not be empowering enough to the citizens when they need to access information as it is centered on access controls of the archives.

Public records are concerned with the right of access to information through the official legislative documents of a country such as its Constitution, the Penal Code, the FOI Act and the National Records Management Policy frameworks (Dikopoulou & Mihiotis 2012). However, Dunu and Ugbo (2014) explain that empirical evidence indicates that, even with the availability of FOI Act, several countries have low citizen access to information, especially African countries. Therefore, it is critical to have in place FOI laws that are sufficient in ensuring access to information. In order to achieve this, Matangira (2003) observes that there has to be a freedom of information law that will give its citizens the right to information and facilitate the full exercise and protection of people's rights. It will empower people to access it and make it an obligation for records to be made available and accessible. Transparency International (2006) notes that until 1990, only 12 countries had adopted access to information laws. By 2006, these numbers had reached 68 countries.

The citizens of Botswana are guaranteed that their rights are protected through the country's supreme law (the Constitution of Botswana (1966, hereafter the Botswana Constitution)). It is through this constitution that the public has been given the right to information through section 12 which provides for the protection of freedom of expression. Essentially, the section recognizes that citizens have the right to express themselves through airing their opinions, and the right to access information. Specifically, section 12 states that:

> "Except with his or her own consent, no person shall be hindered in the enjoyment of his or her freedom of expression, that is to say, freedom to hold opinions without interference, freedom to receive ideas and information without interference, freedom to communicate ideas and information without interference (whether the communication be to the public generally or to any person or class of persons) and freedom from interference with his or her correspondence."

However, in essence, this is insufficient to guarantee the citizens access to public information because the constitution does not exclusively and satisfactorily explain the form of information in question and the sources of the information; therefore, public

records from government bodies similar to the MLGRD may be excluded from the description of section 12 of the Botswana Constitution. Similarly, the study revealed the absence of an FOI law, but that there was an attempt to develop one through the drafted FOI bill by the then members of Parliament (Saleshando 2010), which was rejected by the government of the day. It is a challenge for transparency to prevail and for the public to be included in governance and decision-making without a specific FOI law in place (Khumalo et al 2017). According to the Centre for Human Rights (2008), the implications of the lack of an FOI law is well pronounced in the well-documented incidents of grievous threats, harassment and attacks on journalists in retaliation for their reporting of government operations.

6.4 THE ROLE OF RECORDS MANAGEMENT IN GUARANTEEING OPEN GOVERNMENT

This study discovered that there is generally poor records management at the MLGRD. There is a lack of trust from the stakeholders concerned – action officers and other officers utilizing the services of the RMU – in the abilities of records management personnel to execute their records management roles and responsibilities.

According to Lipchak (2002), government records should be managed carefully to be able to provide legally verifiable evidence that is needed to support good governance, fulfil public policy objectives and protect fundamental values on which the society is built. These sentiments are echoed by Thurston (2012) who pronounces that a significantly big part of the international development agenda is open government that is central to openness, transparency, trust and accountability, and possible elimination of corruption in the public sector. Open government is based on the notion that citizens have the right to access documents and records-capturing proceedings and daily business activities of their government to enable effective public review and audit.

An (2009) explains that key to e-government is the management of e-records. The few countries globally that outrival the rest in the management of e-records are those from the developed world: the United States of America, Britain, Australia and Canada (Kayumbe, 2014). For such countries to excel in their digital records management, they

have enacted policies like an e-records management policy, e-records management programmes and systems for their efficient and effective management; whereas developing countries, especially African countries, remain behind in the area of e-records management. This is due to the absence of supporting structures such as e-records management policies and skilled personnel in the field of e-records management. Without well managed records, legislation alone cannot warrant access to information. As noted by the UK's Freedom of Information Act of 2000, section 46:

"Freedom of information legislation is only as good as the quality of the records and other information to which it provides access. Access rights are of limited value if information cannot be found when requested or, when found, cannot be relied upon as authoritative. Good records and information management benefits those requesting information because it provides assurance that the information provided will be complete and reliable. It benefits those holding the requested information because it enables them to retrieve and locate it easily within the statutory timescales or to explain why it is not held."

Key and strategic approaches to ensuring that records are enablers to open government and guaranteeing access is further discussed below in the following sub-themes in 6.4.1, 6.4.2, 6.4.3, 6.4.4 and 6.4.5.

6.4.1 Skills and competencies of records management personnel

The study findings show a consensus by all participants and respondents to the study that records management personnel are not well skilled in the management of records and more so for digital records. However, these skills and competencies drive the mandate and records management strategy of an organization or department. This study revealed that records management staff at the MLGRD lacked the necessary knowledge and skills to manage digital records, challenge open and e-government initiatives that create digital records and require lifecycle management. Corroborating this stance, Mutiti (2002) states that on the management of e-records in the Eastern and Southern Africa

Regional Branch of the International Council on Archives (ESARBICA) countries, studies have shown that archivists and records managers lacked digital records management skills and expertise.

Preferably, records management personnel should be qualified and provided with adequate and regular financial support to implement and maintain a functional records management programme (IRMT, 2004). As noted by Public Service Commission of Australia (Australian Government 2015), good records keeping is a necessity and an essential element of good governance, and good records keeping supports efficiency and accountability through the creation, management and retention of meaningful, accurate, reliable, accessible and durable records of important government activities and decisions. Crockett (2006:5), citing the records management code of practice of The National Archives (TNA) of the United Kingdom, notes that "staff responsible for records management should have the appropriate skills and knowledge needed to achieve the aims of the records management programme." To this end, barriers associated with and linked to poor implementation of e-government include issues concerning citizens' privacy and security as well as inadequately skilled employees (Davison, Wagner & Ma 2003).

In addition, ISO 15489-1:2016 recommends that organizations establish an ongoing records training and capacity-building programme. This ISO standard encourages organizations to develop sufficient capacity in terms of adequatetraining on requirements, policies, practices, roles and responsibilities for managing records, skills and competences to fulfil records management duties at all levels. The Botswana National Archives and Records Services' Records Management Procedures Manual also highlights the importance of capacity building through training of records personnel as well as putting in place other resources such as storage and working spaces. On a similar note, Kemoni (2007) explains that adherence to the best practice standards helps to expedite effective and efficient records management for improved service delivery. These best practice standards include the ISO 15489 and ISO 23081 which recommend international best practice for records management. Records management specialists need to be aware of and knowledgeable about such standards and be able to apply or adapt them within their contexts.

Poor records management practices due to inadequately trained staff are a major concern at the MLGRD because those who are staffing the records management unit are not knowledgeable enough. Erima and Wamukoya (2012) explain that a lack of records management training is a threat to the development of records management programmes and subsequent good record-keeping practices (see also Nwaomah 2017).

6.4.2 Electronic records management

Organizations should find ways to incorporate e-records requirements and product solutions into an already existing records management system and into the functional requirements for future ICT systems. This will help facilitate the relevant developments for purchasing and implementing, when streamlining and integrating across all business functions and organizational units a system that will support workflow systems, file formats, metadata, storage platforms, and search and retrieval mechanisms (IRMT 2004). However, IT staff participants commented that beyond SharePoint, there is nothing at the MLGRD to adequately manage e-records. The MLGRD has been identified as not resourced enough to manage digital records in that it lacked ICT skilled records management personnel, besides its lack of an EDRMS to help facilitate in digital records management.

According to An (2009), e-records management is central to e-government. And for that reason, nation states in the developed parts of the world like the United States, Canada, Australia and Britain, lead in the management of e-records (Kayumbe, 2014). Developing countries, especially those in Africa, are lagging in this area (Motupu 2015). Implementations on EDRMS technologies have been conducted throughout the world, although with varying levels of integration and success, driven in part by contextual factors (Xie 2006; Nguyen, Swatman, Fraunholz & Scott 2009; Munetsi 2011; Maguire 2005; Kwatsha 2010). In New Zealand, for example, EDRMS adoption was piloted in public institutions and promoted through a user-friendly interface (Yin 2014). A Canadian municipality successfully implemented an EDRMS aimed at improving productivity levels at work, enhancing information sharing and reducing the large volumes of paper records (Xie 2006). Despite these efforts by Canada, there are significant pressures to manage information as a strategic resource in the country. Alberts (2020) expounded that

organizations are struggling to implement effective digital solutions and the general effectiveness of an EDRMS are missing due to the transfer in recordkeeping responsibilities that have been moved from records experts to individual employees who are essentially unskilled in records management.

According to The National Archives of the United Kingdom (TNA) (TNA, 2002), the United Kingdom (UK), on the other hand, when implementing her EDRMS, adopted the "carrot and stick" change management approach in efforts to encourage widespread acceptance and use to the systems. Furthermore, the National Archives of United Kingdom found that British organizations implemented an EDRMS to improve records management and to conform to legislative requirements. These EDRMS solutions met the functional requirements for electronic records management systems as required by The National Archives of United Kingdom (TNA) (TNA, 2002). These projects identified good records management, senior management backing, user training for both basic records management and EDRMS system use, user participation from project commencement, change management, and a carrot and stick approach to encourage acceptance of the EDRMS.

In the African context, countries have similarly identified e-government as a way in which they could leverage technology to optimize service. In Namibia, an EDRMS was implemented in 2009 by both the Office of the Prime Minister and Office of the President (Office of the Prime Minister 2010). The adopted EDRMS, which is referred to as an e-Office, was essentially customized to comply with records management requirements as set in the Namibian Archives Act (Office of the Prime Minister 2010). To be successful, the e-Office's implementation was done through the provision of adequate resources, change management processes, and training of users. Matangira (2016) elucidates that record-keeping problems in the Zimbabwean public sector was primarily due to the fact that the country had not been modernized to incorporate the use of ICTs into records management. The recommendations made from this study were that there has to be an overhaul of records management systems in the country's public sector through the introduction of ICTs. This could include designing systems to manage electronic records. In the context of digital records management, this study has shown that MLGRD records

management personnel are not deemed adequately skilled to effect digital records management. However it is worth mentioning that an EDRMS does not always bring an effective change. According to Mbaka and Namada (2019), an EDRMS could not effectively recognise or report deceit that was ongoing. Furthermore, Mbaka and Namada (2019) citing Kahari, Gathogo and Wanyoike (2015) reported high levels of EDRMS manipulation leading to high propotions of corruption, fraud and incapabilities generally in the counties.

Therefore, the MLGRD management should consider reskilling of their RMU staff to match the state of records management at the moment in the MLGRD and beyond. Furthermore, taking note of the government's open government initiatives in that they are ICT based, the MLGRD should ensure that software and hardware are acquired to help facilitate digital records management.

This current study has shown that it is not only the challenges of skilled manpower, but there are also concerns about the unavailability of software, and the hardware is obsolete to manage electronic documents and records. In addition, the MLGRD should consider acquiring a suitable EDRMS to assist with digital records management, considering that Botswana open government initiatives are ICT based and are guaranteed to support the creation and receipt of digital information. Furthermore, the MLGRD should consider upskilling and retooling the RMU staff as a prerogative in that it will ensure that there is no mismatch of skills and expertise when it comes to the MLGRD fully digitizing as a result of the intended e-government strategy.

6.4.3 Access and use of records

Generally, when it comes to accessing current records and semi-current records, this study has shown that they are subject to different access processes. The findings revealed that for all current records, there was a clearly defined classification scheme in place that allowed for easy records identification, location and retrieval. The study further revealed that there was a similar arrangement for semi-current records, in that all semi-current records were placed inside archival boxes and access. Access and use of records should be managed as a vital aspect to records management. Records pertaining to the

organization rcan only be beneficial to the organization if the multiple records users can be granted access to them in a timely fashion (Maseh 2015).

A study of court records in California has shown that searching for lost or misfiled records was frustrating and wasted the staff's time. Implementing an effective records classification system for either current or semi-current records can save employees time and allow them to focus on more productive tasks that may eventually lead to enhanced service provision and access to information. Proper records storage helps preserve records of enduring value and enhances their accessibility, use and reuse (Mkuriwa, 2015). Records availability and accessibility are imperative for open government; as noted by Netshakhuma (2019), once records are stored but not classified according to the file plan they pose major challenges for retrieval and access. For easy access and retrieval, a sound guiding framework needs to be developed and put in place (Williams 2006). Overall, the findings showed that despite access and usage of records at the MLGRD being fairly managed, the MLGRD did not have a records access policy to use in expediting easy access controls, regardless of records format. Garaba (2010) argues that access to records should be aided by appropriate policy to encourage organizations to formalize and provide appropriate access.

As mentioned in the previous chapters, e-government initiatives are developed by countries to improve access to services, enrich democratic engagement and political participation (Murray 2010). Citizens and businesses expect and demand governments to improve public services and advance efficiency through e-government. Therefore, for countries to become information- and knowledge-based societies and economies through e-government, they must embrace and institute public access to government records, programmes, and services through the internet. However, because the MLGRD does not have an established and functional EDRMS in place to help in the management of digital records, there are challenges to achieving and enabling access to records as revealed in this study's findings.

6.4.4 Records storage

Simply put, storage refers to both the physical space and the use of dependable media for housing or capturing records in. ISO 15489-1-2016, section 9.6, explains that records require storage conditions and handling processes that take into account their physical properties. Regardless of their format, records require quality storage and handling. They should be stored in storage media that ensure their usability, reliability, authenticity and preservation for as long as they are needed. ISO 15489-1-2016 identified storage conditions as fundamental in determining continued access to records. It points out that such conditions need to be aimed to safeguard records against unauthorized entry, destruction, or obliteration, as well as larceny or catastrophe.

The findings from this study revealed that there were no dedicated storage areas of semi-current records, despite current records being stored appropriately in the RMU. Furthermore, In terms of storage equipment, the study's findings revealed that the MLGRD uses lockable cabinets and archival boxes to store current and semi-current records, respectively. Equally, the study has shown that for current records, there is a designated area, being the RMU, with the right equipment for housing and storage. As a result, there were instances where semi-current records were placed in the storeroom without due care, with some even placed on the floor, ignoring the significance of placing them on top of shelves raised a few centimetres above the floor level in an effort to protect and preserve them. Aminu and Aliero (2019) suggest that storage facilities should be located in places where records are not exposed to dust, moisture, floods and theft. There should be a good storage programme in place which will include attempts to properly shelve records, and have vaults available for valuable records. Daily housekeeping and suitable cleaning of records storage spaces guarantee long-term accessibility of materials (Segaetsho & Mnjama 2012; Cunha, 1988). Dust, in particular, can be harmful to paper. As a result, cleaners can dust out specific materials from paper storage areas on a regular basis. A poorly maintained building destroys materials by attracting biological organisms such as rats, bacteria, and insects through dust and dirt.

Considering threats associated with poor storage of records, it is important for storage facilities to factor in threats and establish ways in which records can be protected. Robek,

Brown and Stephens (1995) pointed out some of the dangers for records storage areas, be it records management units, record centres, archives or even server and computer installation rooms. These include risks from hazards like fire, flood, pests, excessive humidity, and other agents of deterioration. Contrary to what this study discovered, it is imperative for records to not be placed on the floor as it would expose them to dangers such as flooding and pests.

Considering the prominence of records for governance, accountability, and daily operations that regardless of their format, records need sufficient storage to ensure that they are preserved for as long as they are needed and still useful to the organization. Therefore, storage should be designed in such a way that it prevents or minimizes loss or damage. This would require records to be stored in a suitable and appropriate environment, they should be kept in a safe place to avoid harm and theft. A suitable and sufficient atmosphere will be one that is fully dry, has good sanitation to avoid pest and insect problems, and is well insulated to protect against rapid temperature and humidity fluctuations., as well as an environment that is simply designated to house records and fully resourced to enable good records keeping. This study's findings have shown that the MLGRD has storage facilities that are suitable for housing records and are appropriate to facilitate access to the collection. However, this is only for current records where ideal conditions and suitability are identified as opposed to semi-current records which are commonly stacked on the floor of the storeroom housing them.

6.4.5 Records preservation

This study has shown that current records are congested and dusty, and that the records management facility does not have blinds to reduce sunlight penetrating the office and ultimately reaching records. With semi-current records, there is general consensus of minimal due care, thus exposing them to unsuitable preservation conditions. Another concerning fact that was revealed by the study was that due to the limited space available, current records are tightly packed on top of each other, thus threatening their condition. However, there is no meaningful e-records management at the MLGRD and thus there is subsequently nothing on e-records preservation and its importance. Unfortunately, in

Botswana, the national policy on e-records management is deficient and, as a result, their management and long-term preservation and access remain in doubt (Moloi 2006).

Kadir and Yunus (2017) explain that data preservation is a set of strategic and procedural decisions that, when combined with other elements of data management, help to ensure that a data resource's content, meaning, and authenticity are preserved over time with minimal loss in information content, functionality, or accessibility, despite ongoing technological change. According to Ross (2012), digital preservation is aimed at ensuring that there is maintenance of the value of digital entities over time, which essentially means preserving the semantic sense of the digital entity and its content, as well as its provenance and validity, interconnectedness, and knowledge about its development and use.

Conversely, Ngulube (2003) expounds that in Africa, there is a general lack of awareness of preservation and conservation of documentary materials. These sentiments are echoed by Eden and Feather (l997) who state that many people coming into the archives and records offices as users do not appreciate that archives and records should be handled with due care because of the nature of the materials they are made from, and that most materials and items are unique and irreplaceable. Users need to be made aware and educated on the importance of preserving archives and records, considering the inherent weaknesses of the media they are recorded on. In a study conducted on the preservation and use of photographic materials at the Department of Surveys and Mapping Air Photo Library in Botswana, Tumuhla (2001) found gross negligence in the development of proper care and handling of photographic materials, and that there was an absence of a policy framework for the management of photographic materials as well as a dire shortage of adequate storage facilities for keeping photographic materials. Mnjama (2010) discovered that the key obstacles to proper material management in Botswana are a poor legislative structure, a shortage of qualified staff in the management of audiovisual materials, technical challenges, and insufficient storage materials in his report on audiovisuals management in Botswana.

Therefore, the findings of this study further suggested that the preservation of records in the MLGRD was not necessarily taken seriously, considering that few regulations were put in place to try to ensure that records at the different stages of their lives are properly taken care of, such as the development of a preservation policy that may act as a guiding tool for what needs to be done in relation to records preservation.

6.5   ENHANCING AND ACHIEVING OPENNESS AT THE MLGRD

Open government initiatives used could be aligned to the Open Government Implementation Model (OGIM) as a benchmark to help facilitate openness at the MLGRD. The Open Government Implementation Model provides guidance in a logical and sequential manner in ensuring open government. The OGIM requires that departments or agencies implementing open government initiatives should follow steps in an incremental manner. For the initial step, the model pinpoints increasing data transparency.

This study has shown that the MLGRD is in its very initial stages of data transparency of providing information to residents and citizens. This study established that numerous avenues were used to avail information and improve on service delivery to the public. These identified strategies were inclusive of Botswana's ICT open government initiatives which include Connecting Communities Programme, Kitsong Centres, Thuto Net, the Government Online Initiative and the Botswana Innovation Hub. Through document analysis, this study revealed that the MLGRD has a website that is used to avail information on ministerial matters, such as services provided by the ministry, and other official documentation such as, but not limited to, policies and official speeches.

This study's findings further pointed in the direction indicating that the MLGRD is moving towards open government implementation as provided for in the Open Government Implementation Model. This is shown by efforts to put a website in place specific to the MLGRD and information pertaining to products and services available, and essentially for purposes of communicating with the citizens. Lee and Kwak (2011a) recognize two outstanding concerns at the first stage of data transparency: identifying high-value data for the public; as well as enhancing and assuring data quality in terms of precision,

consistency, and timeliness as critical. Following this, the MLGRD should strive to make information of a high quality available to the users through its website.

There are numerous e-government platforms which are adopted and used for openness. According to Chen (2010), e-government platforms can be classified on the basis of interaction levels. This classification presents the basis of this study. It includes 'informational' platform presented on the agency website, which is just information. Herein, content, quality and usability are key. Secondly, there is the 'interactive' platform. Here the information is more organized and documents are accessible for download through websites as a one-way service. The third, is 'collaborative'. It is through the collaborative that the private sector or citizens can submit and receive documents. The fourth and final platform allows for transactions to take place via online remittances to be made between governments and citizens (Chen 2010). Moreover, Rotta, Sell, dos Santos Pacheco and Yigitcanlar (2019:2) state that "through eGov platforms or portals, public administration presents its identity, purpose and achievements, provides services and information, providing access and interaction with citizens, as well as understanding their needs, and increasing transparency and the participation of society in government actions."

The OGIM highlights that after the first stage of increasing data transparency, there is the second stage and the third stage which look at developing open participation and improving open collaboration, respectively. Lee and Kwak (2011a) explain that in stage two, agencies use social media and Web 2.0 tools, including web dialogues, blogs, microblogging, and social networking. Second stage open collaboration applications include group writing and editing of documents, wiki applications and collaborative social media such as wikis, Google Docs, and Jive SBS. As noted by Verma, Kumar, and Ilavarasan (2017:843), "social media platforms (SMPs) promote two-way communication, engage with people in real time, to build virtual community, helps to take informed decisions, and communicates about organizations. Social media strengthens the public relations by reaching out and engaging with users."

Globally, Facebook boasts 2.5 billion active users worldwide (Statista 2020), while 2 billion use WhatsApp, and 386 million are on Twitter. Therefore, as more citizens are

increasingly engaging in the acceptance and usage of social media platforms across the spectrum, they are principally hoping for some virtual presence from their local representatives. Therefore, in some circumstances, a website may not be adequate (Statista 2015). Despite the global exponential acceptance of use of social media, the MLGRD is still in the infancy level of e-government implementation and requires copious supporting structures to achieve government openness and improved service delivery. However, the government is on the right path as a foundation of what is needed for its subsequent success is available, although not amply. In order to fill the void in the use ofICTs by employees, the MLGRD should consider workshopping the staff of each department on the use of ICTs, especially for information dissemination, and then cascade it to its customers/the citizens through the utilization of an identified commonly accessible social media platform in Botswana like WhatsApp and Facebook. This assertion is confirmed by Statista (2020) which gives the social media statistics of Botswana from May 2019 to May 2020, and these statistics revealed that Facebook was the most widely used application. This was reflected by the statistics that in May 2019, Facebook usage stood at 56.09% and dropped to 45.81% in May 2020. Despite the drop, it is still identified as the most used social media application, followed by Pinterest with statistics of 31.09% in May 2019 and 30.19% in May 2020.

6.6   SUMMARY OF DISCUSSION OF FINDINGS

This chapter discussed and interpreted the findings that were presented in Chapter Five. It has been determined that there needs to be a strong working partnership between records management and open government initiatives for effective and efficient open government. Records management has to be integrated into open government to ensure that there is enhanced service delivery and transparency as intended by open government initiatives. A strong correlation concerning records management and open government was established.

The study established that the MLGRD does not manage records sufficiently throughout their lifespan. This is evidenced by the lack of a records management policypolicy, the absence of an access and use policy for records, inadequate storage space for current

records, and inappropriate storage for semi-current records leading to poor storage of records and ultimately poor records preservation. Likewise, it was revealed by the study that e-records management in the ministry was non-existent, as evidenced by absent infrastructure to fully support e-records management.

The study further exposed that records management personnel need expanded technical competencies and skills if they are to meet the current needs of managing e-records. This study found that the MLGRD's records management professionals lack the technical skills necessary to fully understand and effectively manage the digital environment. The MLGRD's records management team requires upskilling or refresher courses to improve their records management capabilities, even for paper records.

It was stated that legislation existsto guide on records management of both paper and digital formats. However, the main decree despite defining a digital record, the National Archives and Records Services Act lacks the scope required for digital records management practices. Other laws, such as the Electronic Records (Evidence) Act and the Electronic Transactions Act, recognize digital communications, and information communicated via electronic means. Both Acts render digital documents and communications as valid, legal and carrying the same weight as their paper counterparts. These laws recognize the usage of digital documents in court cases. In spite of the existence of legislation on records management, there is no legislation on granting citizens access to information and no law on freedom of information either, which could enforce openness.

Discussions and interpretations of the study established that there were fundamental areas of importance in ensuring the successful implementation of integrating records management into open governement initiatives.The researcher examined open government initiatives in Botswana via the lens of records management to ensure accountability and operational efficiencies. This study is unique as there has not been previously conducted research that examined open government in Botswana via this lens. Further the researcher has demonstrated that records management infrastructure in Botswanan government is inadequate to the challenge of improving open government initiatives.

However, the researcher has identified as discussed in the previous chapter [5] above key gaps affecting the integration of records management into open government which are that; MLGRD does not have a records management policy to guide in the management of records in their custody, besides a lack of an inhouse policy in place. The Maitlamo National ICT policy has shown a lack of synergy with e-records management and how these e-records should be managed. Additionally, of great concern as revelead in this study is that there is inadequate legislation to tackle open government through records management. In particular, there is no legislation on freedom of information, access to information, or the right to access information.Besides these gaps identified, in MLGRD there is poor records management all round as expounded by RMU users–action officers, records management staff are not skilled enough in the management of records in all formats. However, the researcher as per the action research approach intends to work with MLGRD to take up the commendations of the study grounded on the study findings to be able to implement them as the implementation phase goes beyond the scope of this research project.

The next chapter offers the deductions, summary and recommendations of ways used by records management practitioners in ensuring the maintenance of accurate records in the MLGRD for purposes of their acceptance and integration into open government initiatives in the public sector of Botswana. The chapter also proposes a framework to integrate records into open government initiatives in Botswana to fully support openness.

CHAPTER SEVEN

SUMMARY OF FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

7.1   INTRODUCTION

This chapter presents the summary, conclusions and recommendations of the study on integrating records management into open government initiatives in Botswana's public sector. Denscombe (2007) explains that a summary chapter concluding a thesis draws together threads of a research question into a general conclusion and to enable the researcher to suggest ways forward in addressing the research problem. This is further echoed by Assan (2010:1) who states that, "the purpose of this chapter is to tie together various issues, covered in the body of the thesis, and to make comments upon the meaning of all of it and make recommendations." It goes without saying that the study's overview, conclusion, and recommendations are focused on the study's research questions, data, and analysis and interpretation.

This was done with guidance from the OGIM. These recommendations are provided to address records management and open government gaps and risks identified at the MLGRD, and to allow for a smooth integration of records management into open government initiatives. This chapter also makes propositions for future research studies based on the findings of this study. According to Bunton (2005:208), the structure of a conclusion should include the following:

- ✓ Summary of main claims
- ✓ Summary of main results
- ✓ Implications of the findings
- ✓ Suggesting areas for future research

7.2   SUMMARY OF STUDY FINDINGS

This study investigated how records management could be integrated into open government initiatives in Botswana's public sector to encourage reliable, accurate, dependable information to achieve government openness and citizens' access to

information and services. The reasons for doing so were based on research results that suggested that good records management helps to facilitate access to information and, subsequently, open government (Finnegan 2012; Meijer et al 2012; Wamukoya 2012; Thurston 2012). According to these studies, records management is intentionally practiced to improve access to information, ensure accountability and guarantee transparency.

A number of objectives were established to direct this research as a consequence of the results in the literature. The overall goal of this research was to to examine whether the integration of records management into open government initiatives in Botswana's public sector could optimize and enhance openness, and explore the regulatory and legislative frameworks that support open government's implementation. Therefore, the objectives of this study were to:

- assess existing records management policies, as well as legal and regulatory frameworks that support the employment of open government initiatives
- identify the role of records management in open government initiatives and establish if records management is included in Botswana's open government initiatives
- explore various frameworks that can be integrated in enhancing open government
- make recommendations on records keeping in general in supporting open government in Botswana.

The study has shown that there were no records management policies at ministerial or departmental level. There are also no laws on access to information or freedom of information, which are key in guaranteeing the facilitation of open government. Moreover, this research fundamentally established that good records management practices are key to open government as records are the main enablers to open government, alongside supporting access to information legislation. Records management and open government have a symbiotic relationship. In order to allow for access to information and improve service delivery, there has to be accurate and valid records. The foundation of open government is records management. With regard to the custody and management of

records, this study determined that current records were all stored and managed safely in the records management unit, whilst semi-current records were kept in an inappropriate storeroom within the ministry. Those records were simply tossed inside the storeroom without any due care or proper arrangement, and preservation measures to protect such records were not taken into consideration.

It was discovered that despite the pivotal role records play in the execution of daily business activities, records were not managed or controlled adequately. Personnel in charge of records management lacked the required skills appropriate and up-to-date to manage records from their creation to their disposal.

7.3   CONCLUSIONS ABOUT RESEARCH OBJECTIVES

The overall goal of this study was to look at the development of a system for integrating records managementinto open government initiatives in Botswana's public sector. The study's underlying premise was that such a structure would aid governmental bodiesto achieve as well as sustain open government. A suggested framework is presented and discoursed in section 7.7 of this chapter. The research demonstrates that if government ministries and departments can improve their records management, open government becomes easier to attain, thus improving service delivery. For that reason, records management is a prerogative in achieving open government, and as a result, records and information management experts should be at the forefront of manipulating eventsin their organizations.

7.4   CONCLUSIONS ON THE LEGAL AND REGULATORY FRAMEWORKS FACILITATING RECORDS MANAGEMENT AND OPEN GOVERNMENT

Regulations are critical in ensuring good practice and have shown when managing records. Across the globe, efforts are made when it comes to the availability and propagation of legislation to assist in the management of records. According to Mnjama (2005), Many African countries' public-sector recordkeeping structures were not only inadequate, but had completely disintegrated, or were no-existent. Across the African continent, it was found that records were governed by outdated legislation and a failure

of nations to recognise the necessary roles played by records and archival institutions, as exemplified by a lack of proper staff training (Mnjama 2005). These aforementioned weaknesses posed serious problems for government performance and overall service delivery.

Netshakhuma (2019) further explains that archives and records management programmes should involve and be pinned on complying with available legislation and making sure there are a developed records management policy, procedures, systems and structures to meet the requirements of such legislation. Moreover, Ndou (2004), in a study in developed countries on e-government, identified a few deficiencies that affected the positive employment of e-government. These include concerns surrounding e-readiness, computer literacy and telecommunications equipment availability as well as policies and legislation.

As noted by Tsabedze and Kalusopa (2018: 57), "[l]egislation is the key factor and has a major role in governing records keeping in government entities and employees under these entities. The national legal and policy framework measures are components required to enforce records keeping." Sections 7.4.2, 7.4.3, 7.4.4 and 7.4.5 below are subsequent conclusions on the legal and regulatory frameworks guiding on records management and open government.

7.4.1 Botswana National Archives and Records Services Act (2007)

This study's findings revealed that the National Archives Act of 1978, which was revised in 2007, is the supreme law that permits the Botswana National Archives and Records Services to coordinate and oversee the government records and information management. According to the International Council on Archives (2004), archival legislation such as this is associated with current records management and decisions about their creation, maintenance, access, and disposal.

Parer (2000) elucidates that the archives have the responsibility to set up compulsory standards and guidelines for the creation, maintenance, evaluation, custody, storage, preservation of, and access to public records. Moreover, Mosweu and Simon (2018) explain that it is through the BNARS Act that guidance is provided to the rest of the public

sector in the development of regulations and policies. Chapter 22 of the BNARS Act mandates the development of regulations.

Although the Act permits and grants organizations, through the National Archives, the freedom to develop their own regulations, this research determined that the MLGRD has not done so.

7.4.2 *Maitlamo* National ICT Policy

By examining documents, the study showed that the Maitlamo National ICT policy from 2007 was aimed solely at creating an investor-friendly, competitive and stable ICT legal and regulatory environment. Furthermore, the aims of the policy were to be met through the seven pillars: Government online (e-government); connecting Botswana; e-legislation (connectivity laws and policy); e-education (Thuto Net); E-Health Botswana; Connecting communities, and; ICT and economic diversification (e-agriculture, e-tourism, e-commerce) (Mosweu 2019). Therefore, it is through the policy that the steps that delineate exactly what to do in future when implementing e-government services are entrenched (Motupu 2015).

In spite of a national policy on ICT-related matters, there was no recordkeeping policy, according to the report for either paper or electronic records to guide on the best practices for records keeping in the MLGRD.

7.4.3 National e-Government Strategy

The Maitlamo National ICT policy, guided the development of the E-government Strategy of 2011, by the Botswana Government it is aimed at guiding and directing e-government initiatives for the country. This study demonstrated that there is largely a lack of consciousness on the availability of any legal, regulatory and policy frameworks giving guidance on the management of records and information, specifically among action officers at the MLGRD. One hundred per cent of all HODs noted unavailability of a records management policy, whilst the other 33 respondents expounded that there is no departmental regulatory framework in the form of a records management policy; no one mentioned that a draft records management policy has been put in motion.

The Botswana Government (2010) states that the implementation of an electronic document and records management system (EDRMS) has sparked interest in the region, owing to the push to introduce the national e-government strategy. This study determined that while there is an EDRM system in place in the MLGRD, it has not been accepted or used broadly or meaningfully. Records management and regular action officers were unaware of any digital systems, with the exception of IT officers. Therefore, the study showed that there an EDRMS is not at all used in managing, maintaining and using records in facilitating access.

7.4.4 Electronic Communications and Transactions Act (2014) and the Electronic Records (Evidence) Act (2014)

This study uncovered that, despite the shortcomings, there has been great improvements in the legal, regulatory and policy frameworks through the latest passing of the Electronic Communications and Transactions Act (2014), and the Electronic Records Evidence Act in 2014. These recognize that digital communications and electronic records are admissible as evidence in the courts of law.

Section 5 of the Electronic Records (Evidence) Act (2014) states that electronic records acquired from an electronic records system and properly approved by a certifying authority as such should be held to accurately reproduce original records in the system (Ngoepe & Saurombe 2016).

7.4.5 Freedom of information and access to information legislation

A culture of transparency and accountability is supported by the presence of the freedom of information legislation due its ability to provide citizens the right to information and its capacity to protect their rights (Matangira 2003). This study also determined that there is no freedom of information or access to information laws in Botswana, and that interview respondents were not uniformly aware of these facts. Three quarters (25 or 76%) of interviewees were aware of them while the remaining (8 or 25%) were unaware. This is confirmed by the African Media Barometer (2009) that mentioned that the government of Botswana is evidently reluctant to enact FOI legislation. The Minister of Communications, Science and Technology at the time told the media that access to information legislation

will not be passed because the government has secrets to keep. Existing legislation in Botswana does not allow the general public access to government records held by public officials and there are restrictions imposed by the government on access.

7.5   CONCLUSIONS ON RECORDS MANAGEMENT AS AN ENABLER OF OPEN GOVERNMENT

It is evident from the study's findings that records management is viewed as a vital supporter and enforcer of successfully implemented open government. Accurate and relevant records are necessary to support business activities for accountability and for ensuring service delivery. Open government can only be carried out if government departments have sound records management practices set up to support openness.

Records management functions in the MLGRD were found to be poorly executed by mainly action officers, an unreliable infrastructure to facilitate open government. If records are lost or disorganized, access to information becomes a daunting and unattainable task. If records management programmes are properly constituted, key records management policies, strategy, classification systems and retention schedules can be implemented, and the records management shortcomings identified in this study findings can be assuaged. While the MLGRD has not developed a records management regulatory framework or policy, the actual implementation of good records keeping appears to be the main issue of concern raised primarily by action officers. This may be a result of records management professionals with lower level academic qualifications to guide on required records management standards.

Undeniably, open government and records management complement each other and therefore organizations require both to be structured and to systematically manage to support access to information and services. Without effective records management, there can be no sufficient open government endeavours. Organizations can benefit from integrating records management into open government initiatives. This integration of open government and records management is imperative as its synergy enables the

identification services by the citizens and allows for transparency and accountability by those in public office.

7.5.1 Records management personnel skills and competencies

It is clearly discussed in the Botswana National Archives and Records Services (2009) procedures manual that the responsibility to develop the competencies of records management personnel to enhance service delivery rests solely on individual government ministries. Skills and competencies are crucial in permitting access to information. This study discovered that records management staff were mainly trained in the management of archives and records, but an overwhelming large part of the respondents showed mistrust in their capability to execute their responsibilities and doubt in their skills to perform the necessary professional tasks; thus questioning their skills and competencies. Furthermore, the study also revealed that when it comes to e-records management and ICT infrastructure usage, MLGRD records management personnel require upskilling and retooling to be able to do their job satisfactorily.

The advent of e-government exposed the reality that many African archives and records management specialists are inadequately skilled when it comes to managing digital records (Mnjama & Wamukoya 2007; Kemoni 2009). Studies by Kamatula (2010), Iwhiwhu (2005) and Egwunyenga (2009) indicated that specifically in the sub-Saharan region of Africa, most records managers lack the mandatory abilities and knowledge in records management. In particular, Kamatula (2010) laments that archivists e-records management skills, processes, guidelines, and activities. Egwunyenga (2009) bemoans the lack of basic skills among African records keepers and questioned their ability to handle records and archives in the public sector.

Other reasons for the inability to successfully manage e-records have been revealed by authors concerned with e-records management. In their study on the factors persuading the adoption and use of an EDRMS in Botswana, Mosweu, Bwalya and Mutshewa (2016:97) found "technophobia, negative attitudes to system use, perceived system complexity and incompatibility with existing information systems as key factors contributing to low adoption and usage of the system."

7.5.2 MLGRD's electronic records management

Similar to most contemporary organizations, the MLGRD has been increasingly conducting its business processes utilizing various ICTs. According to the survey, the ministry had access to certain computer applications for records creation and communication. Although there was an upsurge in the creation of e-records, there was no clear guiding institutional procedural manual that dictates the general filing, arrangement and disposition of electronically created records by both staff and clients to access services.

The study also established that though there is an existing ICT system, it did not integrate with the records management functions and it was not widely used to effectively manage e-records in the organization. According to the IRMT (2008), ICT systems with integrated records management functionalities, when properly implemented, will enable the capturing, organization, use, retention, and disposition of records. Conversely, the study found that, despite an existing e-records system in place, there was still a predominant use and presence of paper records.

7.5.3 Access and use of records at the MLGRD

According to Motsaathebe and Mnjama (2009), access to records does not only contribute to the realization of accountability, but also to the ethos of good governance and to the sustenance of judicial operations. Accountability can be supported via the development of record-keeping systems that ensure the formation, capture, management, and accessibility of records over time (Upward 2000). Good governance has been linked to good leadership, government accountability and access to records (Akotia 2005). While Cox and Wallace (2002) reiterate that the most outstanding feature of records is their power as a source of accountability, the findings of this study discovered that access and usage of records in the MLGRD were adequately managed and in accord with the ideals of the OGIM theory, with the first step of the model underlining that an agency/organization should start by increasing data transparency. In that regard, the MLGRD as a fundamental has a designated office tasked with the custodianship of records for the MLGRD. Also, despite their shortcomings with regard to being seen as incapable by their colleagues within the MLGRD, the RMU personnel are striving to

ensure that there is access to records for all and do essentially provide access to records, although minimal, as per their colleagues' assessments. Conversely, "agencies at Stage 1 should not try to publish all the data they own, which is not only impractical, but also ineffective. The agencies should focus on the top 20 percent of their data that would most benefit the public" (Lee & Kwak 2011b:255).

E-government has been adopted by the Botswana government for improved service delivery and access to information. It is of outmost importance for organizations to effectively manage their records, regardless of format, to achieve access to information, but more importantly, to improve on electronic records management so as to to optimize e-government. A comprehensive e-records management approach and the availability of all the necessary resources and infrastructures are a requirement to e-government assimilation (Motupu 2015).

7.5.4 Records Storage at the MLGRD

Efforts to see that information is protected and available at all times require records practitioners to enforce good records keeping that takes into consideration all facets of records keeping including the storage of records. As noted by Coetzer (2012:46), "[r]ecords regardless of the format, require sophisticated storage and handling processes in order to preserve them as long as they have value. It is vitally important for the storage and handling processes to be designed in such a way as to prevent unauthorized access, loss or damage to the records" According to Thurston and Smith (1986), offices and corridors in many African countries were stacked high with closed files and filing cabinets were filled with inactive files. They further mention that there was substandard classification and management systems for the formation, use, and preservation of documents. This had an effect on the provision of government services due to the deferrals caused in the search and retrieval of records, thus hampering prompt decision-making.

The findings of this study showed that due care with regard to storage can be traced mainly to current records as opposed to semi-current records. There is a designated storage facility for current records and only a storeroom availed for maintaining semi-

current records. It is for that reason that semi-current records are placed without proper records management procedures being followed, such as ensuring that they are stored appropriately, classified, and placed in lockable cabinets instead of being placed haphazardly on the storeroom floors.

7.5.5 Records Preservation at the MLGRD

The long-term accessibility of records as a result of preservation measures supporting and upholding good records keeping is imperative and cannot be overemphasized. According to Ogden (2010:1), "libraries, archives, museums, and historical societies are responsible not only for collecting, interpreting, and exhibiting significant materials that document history, but also for the long-term preservation, security, and accessibility of these materials." Therefore, the principal aim of records preservation is to prolong the lifespan of documentary heritage and to ensure such a collection's long-term accessibility by government agencies, institutions, business organizations and the public at large (Forde 2007; Millar & Roper 1999). With the advent of ICTs, records professionals are also tasked with the preservation of records created by computer technologies and produced in digital formats. However, in the case of Botswana, concerns were raised by Moloi (2006) who opines that the absence of policy for e-records in Botswana may compromise the management and long-term preservation of, and access to, e-records.

Numerous scholars on digital preservation have identified how digital records should be preserved in government and the ever-expanding digital space that produces digital records (Ngulube 2012; Decman & Vintar 2013; Sugimoto 2014; Conway, 2007). Ongoing technological advancements and changes have led to concerns and fears of technological obsolescence: the preservation of digital records (Duranti 2005); the ephemeral character of digital data (Barateiro, Draws, Neumann & Strodl 2012); and the adoption of e-government and a growing shift from paper to electronic publication. As noted by Adu (2018), a considerable challenge of digital records is their complexity and diversity, as seen via databases, digital publication, emails, website information, transactions, text files, web pages, dynamic web content, geographic information and tweets.

From the study, it can be concluded that all governance processes produce and utilize records to fulfil their functions. And so, both records management and open government are vital tools that assist government in achieving its goals and meeting citizens' expectations, which is usually anchored on the quality of service delivery, efficiency, transparency and ultimately accountability. For that reason, records management, like all other good governance elements, is fundamental to public organizations' and institutions' success like the MLGRD. Therefore, records management needs to be strategically placed within governmental bodies, similar to other governance structures that receive support from executive management. Therefore, records management should be elevated in importance and incorporated as a key aspect of open government initiatives in Botswana.

7.6 RECOMMENDATIONS

From the study, it is clear that it is possible for governmental bodies to be able to successfully integrate records management into open government initiatives to successfully achieve improved access to information and service delivery. For governmental bodies to successfully incorporate records management into open government initiatives, the following recommendations are suggested:

- o The MLGRD should develop an e-records management policy and procedural manual to start tackle issues surrounding digital records emanating from the digital systems used for managing e-records to ensure their authenticity, integrity and reliability.
- o The MLGRD should explore ways of adopting newer technologies such an EDRMS, and where needed, social media networks. As explained in Chapter Three, these technologies can be harnessed as a platform that ensures an increase in the transparency of information, increased open participation, improved open collaboration, and finally, pervasive engagementas seen by the OGIM. This would help facilitate open government through their adoption and use.
- o The MLGRD should bridge the literacy gap and concerns of its records management staff to guarantee access to reliable information on a timely fashion.

This could be achieved through long programmes or short on-site training in records and information management. Similarly, a partnership with relevant higher training institutions that offer training in archives and records management such as the University of Botswana (UB) and other accredited local training institutions could be reconnoitered.

7.6.1 The legal and regulatory frameworks facilitating records management and open government

The study found that the legislative framework in Botswana was weak, and in some quarters non-existent, for effectively managing electronic records and related open government initiatives. There was either limited guidance on the records management requirements in available and relevant Acts, or there was nothing enforcing access to the information for records found within governmental bodies, such as the ministry of local government and rural development. Most importantly, there were no detailed guiding policies and practices to manage records in the ministry of local government and rural development.

For the MLGRD to be compliant with legislative requirements concerning records and information management, it would be of the outmost importance that they propagate and announce a variety of internal policies, standards and procedures to enable them to fulfil their records-related statutory obligations and develop their operational efficiency. Countries like Sweden, the UK, South Africa and the United States were previously identified in the chapter as model countries with regard to policies and legislation. They can be used for benchmarking purposes to leverage the attainment of open government and its successful integration with records management. The recommended models are those that focus on responsibilities and obligations, and that specify monitoring and compliance apparatuses. Consequently, the best models also recognize the interdependence of paper and digital records and the need to integrate and harmonize the management of records, regardless of media.

One of the principles laid out by the International Council on Archives (2004) stipulates that, subject to prescribed conditions and exemptions for the protection of privacy, copyright and official secrets, access to public records should be granted as a right and that access restrictions to records should have a sunset date on when they will become publicly available. In some circumstances, it would be good to identify situations where a specified authority may grant exceptional access to closed records or change the closure period. In consideration of the identified absence of appropriate regulatory policies for managing paper and electronic records, the following recommendations are offered. There is a dire need for the development of an electronic records and paper records management policy that will provide a framework for the development and implementation of a comprehensive records management programme for both paper and e-records. The policy will also instil responsibility and accountability for records by management and staff, thus enabling the easy integration of records management into open government initiatives.

7.6.1.1 Botswana National Archives and Records Services Act (2007)

The study findings showed that the BNARS Act 1978 (revised 2007) provides for the legal and policy framework for archives and records management. Ngoepe and Keakopa (2011:155) note that "the amendments made to the Act in 2007 gave the BNARS an additional mandate for records management." However, it has been argued by most records managers in the country that the amendments still fall short in strengthening the management of electronic record-keeping systems. The study recommends that the BNARS Act 1978 (Revised 2007) should be further amended to be comprehensive on issues surrounding digital archives and records management, as opposed to simply providing a definition for electronic records. Granting access is a prerogative of archives and records management. In order for the Act to be inclusive, it has to adequately address issues surrounding access to electronic archives and records. Furthermore, it is important that the Act should re-evaluate the length of time given for archives to be accessible by the citizens. The BNARS Act 1978 (Revised 2007) section 12 (sub section 1) mentions that,

Subject to any written law prohibiting or limiting the disclosure of information obtained from members of the public and to the provisions of this section, public archives which have been in existence for a period of not less than 20 years may be made available for public inspection.

Similarly, in order to achieve conformity by agencies and departments, the Act should have clauses that coerce organizations to develop records management policies in line with records formats found within their respective organizations, to guarantee good records management to support the implementation of open government. Another recommendation as well is for BNARS to formulate a digital records approach to direct digital record management in the public sector. This recommendation is based on the fact that the digital strategy in South Africa could be used for benchmarking and collaboration possibly with any other ESARBICA member state that has such a strategy in place. The BNARS should strive for a digital records strategy that conforms to international best practices across all facets of records management. The BNARS can be guided by the National Archives of Australia Digital Continuity 2020, which is a digital records strategy that is vital in supporting the Australian government's digital transformation initiatives and drives e-government (National Archives of Australia 2015). Specifically, the National Archives of Australia Digital Continuity 2020 policy identified key guiding principles to follow in order to successfully realize its policy's obligations. The first principle emphasizes the value and importance of information as it is labelled, "information is valued." Equally, the principle states that:

Digital information managed as a strategic asset makes the Australian Government's digital transformation initiatives possible and ensures that other agency governance requirements are met, including those for security, privacy, quality and accessibility (National Archives of Australia 2015:4).

The digital strategy in South Africa could be used for benchmarking and collaboration because, as stated by National Archives and Records Service of South Africa (2016) (NARSSA), governmental bodies are required to implement and maintain integrated

document and records management systems that provide, as a minimum, the following records management functionality but not limited to:

- Managing a functional subject file plan according to which records are filed
- Managing e-mail as records
- Managing websites as records
- Identifying records that are due for disposal and managing the disposal process
- Managing record version control
- Managing the integrity and reliability of records once they have been declared as such

The National Archives and Records Service of South Africa and that of the National Archives of Australia Digital Continuity strategies show that open government, supported by digital archives and records management strategies, optimizes open government. Both of the strategies focus on ensuring that digital archives and records are effectively managed and subsequently enable access to information.

7.6.1.2 Maitlamo National ICT Policy

There is a need to put in place a regulatory and public policy environment to operationalize electronic transactions (Caldow, 1999). Similar to other countries around the world, as part of the Botswana Government's effort to embrace this change of thinking and doing things and a full adoption and use of ICTs in service delivery and open government, two policy instruments have been developed to champion the successful implementation of e-government: the Maitlamo National ICT Policy in 2004 and E-Government Strategy in 2010 (Government of Botswana 2010). As mentioned in the previous chapters (three, four and five), the policy and strategy have been developed to provide a policy framework and strategic focus for the delivery of the e-government project (Government of Botswana 2010). These are central in ensuring the smooth running and implementation of e-government as reiterated by Moloi (2006) who states that e-government is a relatively new phenomenon in Botswana. The implementation of these ICT projects implies that there are electronic records being created and held in

databases and in personal computers in multi-media formats across the Botswana civil service (Moatlhodi 2015).

The researcher for this study therefore recommends that the ministry of local government and rural development, through this policy, enact its own policies on ICT-related matters such as an e-records management policy and an access to (ICT) based information policy.

7.6.1.3 National e-Government Strategy

An e-government strategy is seen by researchers such as Ebrahim and Irani (2005) as a fundamental strategic element for changing and modernizing the public sector through the identification and development of organizational structure and interacting with citizens. Almarabeh and Abu Ali (2010) made observations and recommendations for an e-government strategy model that seeks to modernize the public sector specifically through appropriate legislation such as the privacy law that will ensure that the public trusts its government. Furthermore, Almarabeh and Abu Ali (2010) established that political support and stakeholder demands, including suitable and relevant network infrastructure, and the availability of computers for use, network accessibility and ICT industry are just as important to successfully achieve e-government. On a similarly note, an e-government framework may also take into account five factors that are vital for successfully implementing e-government in developing countries: organizational factors, human factors, as well as technology factors, financial factors, and environmental factors (Evans & Yen 2005).

7.6.1.4 Electronic Communications and Transactions Act (2014) and the Electronic Records (Evidence) Act (2014)

The study recommends that the MLGRD should adopt an EDRMS that would be integrated into already existing business systems that facilitate business operations in the organization. This would ensure the effective management of e-records that are accurate and reliable enough for taking action by those holding public office. These records would be managed and maintained within a system that upholds good records management, abiding by the requirements guiding electronic communications via the Electronic

Communications and Transactions Act to be trusted as credible sources of evidence for use in the courts of law.

7.6.1.5 Freedom of information and access to information legislation

The researcher recommends that key stakeholders such as BNARS and MISA Botswana should lead with an intervention and make sure that all the relevant stakeholders are involved in the drafting of relevant regulatory laws that support and promote access to information, specifically the development of freedom of information legislation or right to access information legislation. Regionally in the sub-Sahara region, strides have been made to encourage access to information; therefore, Botswana can take leave from these and acquire guidance to develop the country's own laws. In Sierra Leone, the Right to Access Information law (RTAI) was signed in 2013. It took almost 10 years of agitation from the civic society to persuade the government to sign the bill into a law (Trade Bridge Consultant 2013), whilst other African countries such as Cote d'Ivoire and Sudan signed theirs in 2014 and 2015, respectively. This brought the number of African countries with FoIA to 12. In 2016, Sudan was the latest amongst the African countries to sign FoI into law increasing the number of African countries with FoI law to 14.

According to Iyayi (2003), freedom of information legislation entails the enactment of laws for free access to public information with no or minimal restrictions. This involves creating conditions for people to use information when making important contributions which would engender a culture of probity and transparency for national transformation. Erubami (2003) corroborates these sentiments by arguing that the subsequent elimination of dictatorial tendencies and unnecessary secrecy in running a democratic government would be achieved by seeing to it that public officials are held to their oaths of office. Erubami (2003) further points out that where there is efficient implementation of the freedom of information law, public authorities would be obliged to the release of records containing information about their activities, thus enabling the public guaranteed access to such information.

FoI law is important to have, especially if it seeks to give access to information rather than deny access, as it has been proven with other regimes around the globe that such a law

can be developed, largely for denying access to the citizens. According to Michener (2011: 147), "In Zimbabwe, the dictatorship of Robert Mugabe twisted an FOI statute into a gag law for limiting access to previously available information and curtailing the freedom of expression. A similar legislative sleight of hand occurred in Paraguay." On that note, this study firmly recommends that improvements should be made to the national regulatory, legal and policy frameworks by developing FOI, ATI and privacy laws to ensure citizens' empowerment as far as it concerns the provision of access to information stemming from government activities, while simultaneously warranting the protection of personal information through acceptable exemptions. The formulation of such laws is indispensable for a sustainable democracy. It would enhance democracy since there is a need for access to information, especially current information for public participation, collaboration and eventual scrutiny of public officials.

7.6.2 Records management as an enabler of open government

7.6.2.1 Records management personnel skills and competencies

Archives and records management skills, knowledge and expertise are of great concern in many African countries. Nengomasha (2009), Adams (2010), and Mensah (2011) all highlight that a key cause to poor records keeping in Namibia and Ghana's government sector is an incompetent and unskilled labour force. In Ghana, most registry staff do not have any training in records keeping. This study recommends that the MLGRD should make efforts to employ skilled personnel. It also recommends that, in the event where records officers with skills and expertise are employed, there should be concerted efforts for staff retention to enable a smooth RMU, especially when it comes to digital records management. The Botswana National Archives and Records Services' (2007-2008) annual report outlined that another factor hampering the department's vision is the brain drain of qualified and trained staff to what they deem as greener pastures, or better paying job opportunities, thus leaving the department operating only with a handful of trained staff. In his study, Ngulube (2000) lamented that, similarly, in Zimbabwe, staff retention is low largely owing to records professionals leaving their current employers for better salaries and working conditions.

With the advent of technology and the fact that the global community is at odds with e-government at one point of another, as well as the fact that records practitioners are not exempted from exposure to e-records, there is a need to see to it that there is a match of skills to the needs of the current environment. As elucidated by the International Labour Organization ILO (1998), changes in technology often require that a new set of skills is acquired and insufficient staff training can hamper its effectiveness.

7.6.2.2 MLGRD's electronic records management

Due to the wide range of e-government platforms that are being utilized for access to services and information, large volumes or records are created in a digital format, calling for an effective means of managing them. The study has shown that no electronic records are being managed in the MLGRD although their open government initiatives are ICT based. It further revealed that the staff employed are not sufficiently skilled with e-records management expertise and knowledge. It is recommended that the MLGRD should consider upskilling its human resources, especially records management personnel, in an effort to bridge the knowledge gap identified during this research. Several institutions of higher learning in the country offer archives and records management programmes that could be used for upskilling and retooling. The study recommends short-term training that can be designated largely towards equipping those with the relevant qualifications acquired years before the advent of technology to address principally e-records management concerns.

7.6.2.3 Access and use of records at MLGRD

Taking into account what the study found in relation to records access and their availability, this researcher recommends that there should be a vigorous EDRMS implementation drive to help facilitate easy and improved access to information within the MLGRD. Most organizations across the globe have resorted to the adoption and use of EDRMS software in efforts to enhance access and improve service delivery. In the Archives Office of Tasmania (2007), an EDRMS combines the functions of document and records management. It is designed mainly for the management of records documenting over time. Record metadata and links between records are integrated or interfaced with standard office applications and electronic messaging systems, specific business

information systems and other mainstream applications already installed within the organizational infrastructure. The Commonwealth of Australia (2011) highlights that the abilities of an EDRMS are as follows: to improve access to information, to improve information security, to automate business processes, and eventually improve records and information management attracted organizations to adopt EDRMS solutions.

In their study on the adoption and use of electronic document and records management systems in Botswana, Mosweu et al (2016) found that Botswana's public service has implemented several information systems platforms. The Department of Tertiary Education Financing adopted the Student Loan Management System (SLMS), whilst the Tlokweng and Ngwato Land Boards implemented the Tribal Land Information Management System (TLIMS). However, other research found that these systems were underutilized (International Records Management Trust 2008; Government of Botswana 2010; 2011). In the context of this study, it was discovered that there is an EDRMS that is in place as explained by the IT staff, but the records management team did not know about its existence which correlates with the underutilization of EDRMS adoption in Botswana context. It is because of the reasons found by this study that the researcher recommends that the MLGRD should automate records management wholly, to reduce confusion of whether there is a system available, or to curb discrepancies in how records are managed. Also recommended is that the ministry should ensure that all staff are trained on the EDRMS for successful implementation.

Access should be facilitated and supported through various efforts such as those mentioned above via online platforms and EDRMS applications.

7.6.2.4 Records storage at the MLGRD

After the processing, distribution and use of information, it is important for such records to be properly stored for future use. Well-ordered management of records, especially its efficient management of the records storage facilities, is an important and efficient way of guaranteeing the survival of the records collection itself. Accordingly, Mnjama (2004) established that the worst area of neglect of records was in the management of semi-current records. Nengomasha (2009) found that in the Namibian public sector, there was

a lack of storage space for paper records, which resulted in the storage facilities for semi-current and non-current records being congested and inappropriate.

This study established that semi-current records are poorly stored because of a lack of a purpose built records centre. This study recommends that due to the inadequate working storage for semi-current records, there is a dire need to carry out a proper semi-current records classification project to help classify those records that are at a semi-current stage within the ministry. It is further recommended that the storeroom be readied and made conducive to housing semi-current records by ensuring that there are available resources such as raised steel cabinets on which to place boxes containing records. The study recommends that all semi-current records should first be classified accordingly, and then placed in steel cabinets to minimize the risks associated with records placed on the floor, as revealed by the study findings. Ndenje-Sichalwe (2010) explains that in Tanzania's public sector, one of the many factors that resulted in inadequate records preservation was broken windows in some registries and records that were being stored on the floor destroyed by rain. To avert such instances of records damages by water logging or flooding, the study encourages the MLGRD to introduce steel cabinets in the storeroom to place semi-current records at a raised level.

7.6.2.5 Records preservation at the MLGRD

The Commonwealth Secretariat (2009) and IRMT (1999) explicate the purpose of records preservation as involving measures that ascertain that records are safe from loss and damage. Via good preservation strategies records can be protected from various causes of damage such as natural disasters, acidity, excessive exposure to light, and mishandling. Resulting from the rapid growth in technological advancements and computerization of records management units, there are concerns over records produced via electronic means. Efforts are needed to ensure that they are accessible over time and are properly preserved.

Threats and risks that records face in the digital environment are much more than those of paper-based environments. Despite these concerns, all kinds of institutions and organizations around the world have managed to digitize as many records as they could,

while mitigating risks such as loss of information (Xia, Xu & Liu 2019; Xiao & Xu 2017). Several authors have mentioned that the main problem surrounding the preservation of e-records is technological obsolescence (Rothenberg 1999; Bantin 2002; Oltmans 2005; Digital Preservation Testbed 2001).

7.7 PROPOSED FRAMEWORK

The study's final object was to formulate a framework that integrates records management into open government initiatives in Botswana's public sector. According to Green (2014), it is from research outcomes that a framework can be developed. A framework is explained by Dix (2007:116), as "a general framework that provides an umbrella collection of techniques and procedures and may therefore contain a model, or a number of models, or direct the creation of a model or a range of models". A model is more of a hypothetical structure that investigates interrelated aspects based on intuition, earlier studies, and theory (Reeves 1997). Other scholars explain a framework as "simplifications of reality because it is a way of reducing complexities to a set of meaningful manageable ideas" (Conway 1986:394). Whereas Ngulube et al (2015:47) state that a framework is simply showing a "relationship between concepts and their impact on a phenomenon being investigated".

7.7.1 Justification of the framework

Accordingly, for purposes of this study, a framework can be identified 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 how best to integrate records management into open government initiatives in Botswana. Moreover, it is worth highlighting that the framework in itself is developed from empirical insights from this current study, earlier studies, and theoretical considerations based on records and information management best practices and open government. Integration here is taken to mean logical linkages of key selected components that could be used to examine and understand records management best practices and open government, including: current records management best practices based on established standards and procedures, ICT uptake and use as well as national open government initiatives.

The research problem outlined and discussed in Chapter One highlights the need to formulate and implement legislation that can be used to enforce access to information and at the same time encourage open government to ensure that the public has access to information upon request (Finnegan 2012; Shepherd et al 2011; Sebina 2006; Waller & Genius 2015). The proposed framework aims to assist the public sector to better manage its records, both paper and digital, and help enhance access to information by integrating good records management practices into open government initiatives. This framework tries to create a connection between the research issue and the proposed solution for this analysis, explaining the need for a framework that would wholly integrate good records management practices and other standards and procedures to successfully achieve open government. Figure 7.1 depicts the proposed framework for integrating records management into open government initiatives. The framework isn't meant to be a prescription, but rather to help the public sector to incorporate records management into Botswana open government initiatives.

PROPOSED STUDY FRAMEWORK
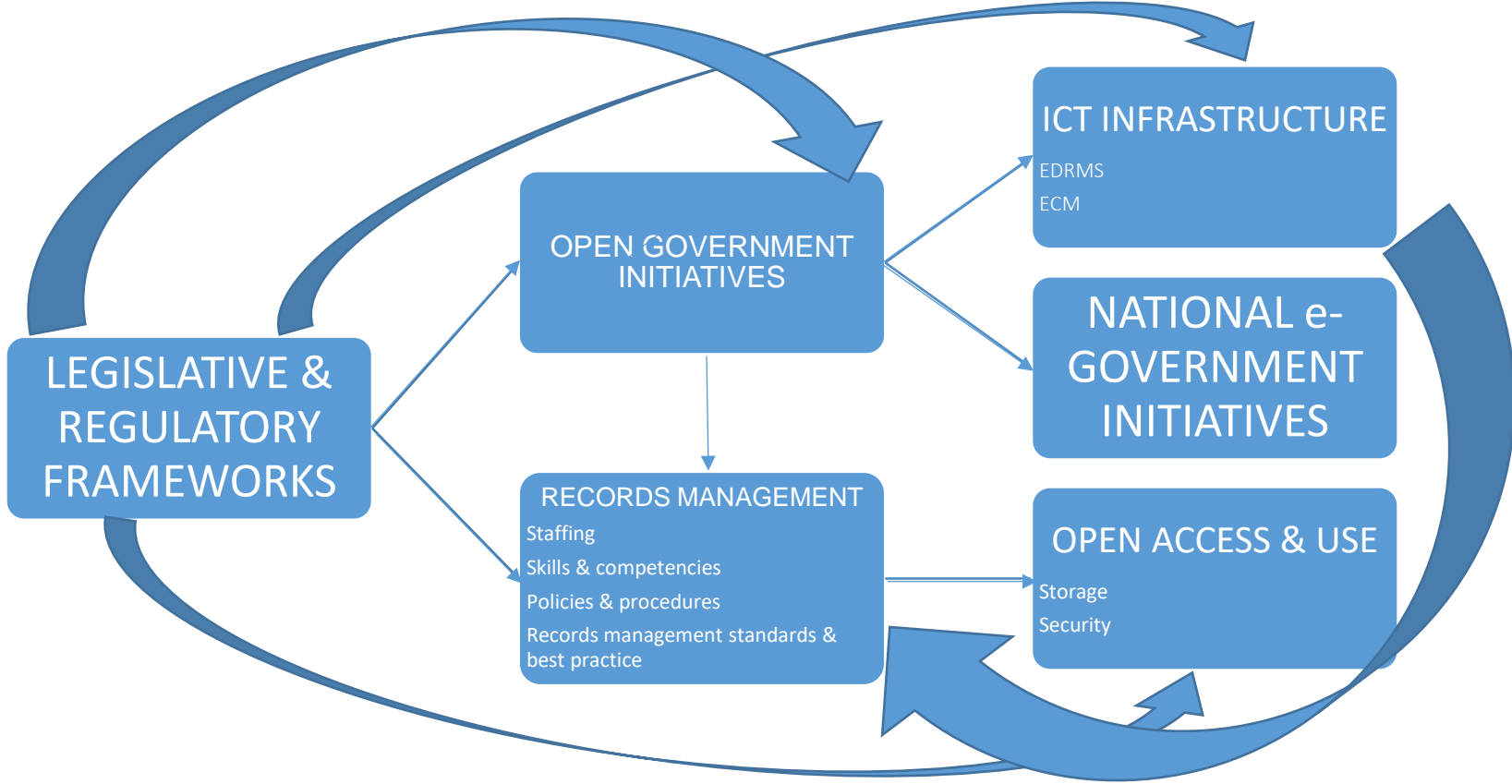
Figure 7.1 Proposed framework for the integration of records management into open government initiatives in Botswana

7.7.2 Explanation of the framework

Based on this study's research and findings, Figure 7.1 outlines the issues to consider, supporting Weir's (2004) views on the need to plan such programmes meticulously. The framework clearly shows that open Government initiatives should be geared towards facilitating access to and use of records. The framework points out four factors in an attempt to indicate that the success of open government initiatives is reliant on multiple factors to obtain effective open government. Various elements are interconnected to each factor using lines, illustrating the connection between these factors and other elements that make up the framework. For purposes of this study's framework, an element refers to the arrows pointing onto the boxes, whereas the factors are all the components found in each box depicted in the illustration depicting a framework. Each factor and its respective elements are all ultimately linked to planning, implementing, and the eventual evaluation of an integration of records management into open government initiatives. These arrows point out how records management, open government initiatives, ICT infrastructure, as well as legislation and regulatory frameworks combine to influence records access and use, and then subsequently, effective open government. These connections can be considered an integrated framework.

The proposed framework is built upon the existing body of knowledge on legislation and records management. As a result, the proposed framework, applicable to any public sector entity, should be guided by the following:

- Understanding and appreciation of the current status of records management practices for both paper and e-records based on international standards and best practices
- Based on international standards and best practices
- Understanding of current records management challenges for both paper and e-records based on relevant standards
- Understanding of the current national e-readiness environment
- Understanding of the legislative and regulatory frameworks required to improve and guide understanding of the ICT assets

- Understanding of the existing legislative and regulatory frameworks and how they can be utilized to establish best practice to both paper and e-records management.

This integration of records management into open government initiatives was developed in the literature review in Chapter Three and empirical findings in Chapter Five. The framework draws heavily on current open access and access to information legislation, records management, and open government initiatives. As a result, there are four components guiding this framework: legislative and regulatory frameworks, records management, ICT infrastructure, and open access and use of information. These are the four main significant components to examining and understanding the integration of records management into open government initiatives in the public sector in Botswana. These components are explained in following sections.

(A) Formulation of relevant legislative and regulatory frameworks

Based on the fact that the promotion of open government is anchored on access to information, it is imperative that relevant legislative and regulatory frameworks are formulated, as per the current study's recommendation, so as to help drive a successful implementation phase to open government. Thus, legislation in the form of a freedom of information law or access to information law would be the starting to point in any effort to ensuring compliance and the granting of access to information. A regulatory framework contributing to and driving internal policies such as records management and e-records management policies can help give guidance on records management's best practices. These may be accompanied by a complementary access policy. National Legislation would encourage public bodies to ensure access to information. Such legislation would provide details on how to handle records and allow for them to be both accurate and available when citizens request them.

Besides their influence on records management practices, legislation would be ideal in guiding ICT infrastructure use by both government officials and the citizens at large, especially when dealing with official documents and records.

(B) Records management standards and best practice

Another factor that is being proposed is that of records management standards and best practice. This study established that, as the basis for understanding the depth and breadth of open government in the MLGRD, there is a need to examine the current records and information management practices. As described in depth in previous chapters of this thesis, such an evaluation should be based on various components that underline the aspiration for best records management practices such as ISO 15489-16.

Key records management best practices include legislative and organizational frameworks as well as the overall records and e-records management within the organization, which includes skilled human resources in the form of records personnel, together with records management standards and procedures. Specifically, records management standards and best practices enhance open government in a variety of ways, amongst them it is through the assurance that electronic records are safe and secure and ultimately their authenticity will be upheld and will be trusted. The National Standard of Canada (2005) section 3.52 explains the importance of a secure environment for records by stating that it is an environment that precludes unauthorized access, mischief or physical disaster. Therefore, with standards guiding the management of records, it is ideal to acquire an EDRMS as discussed previously which, in essence, will guarantee controlled access to the MLGRD's electronic records, thereby, access controls are guided by the standards guarantee records' reliability. According to the ISO 15489-1 (2016:13),

> records controls should be developed to assist in meeting records requirements. Records controls include the following: metadata schemas for records; business classification schemes; access and permissions rules; disposition authorities. Records controls may be designed and implemented in a variety of forms, depending on the technological and business environment. Their design and implementation should take account of the nature of the records systems with which they need to interact.

It is also is sensible to assess and understand the integration of records management practices into existing ICTs systems and platform and into ongoing projects and future implementations in the MLGRD to make sure that they support open government. The ISO 15489-1:2016 standards, section 5.3, propose that the design and implementation of records systems should take account of the business context and identified records requirements, and should be carried out with, amongst other objectives, an aim of interoperability to support interaction with other systems.

(C) ICT infrastructure

Chapter Three's literature review indicated that ICTs are the main drivers to Botswana's open government initiatives. They are intended to significantly aid citizens' ability to access services and information. ICT infrastructure is a key indicator of e-records readiness (ICT access and networking; staff knowledge, expertise, skills and competencies; and information sources) and the MLGRD should take into consideration its uptake and use, and ascertain that there is uniformity amongst staff in that regard. This uptake and use of ICTs could be used to encourage the use of a standard EDRMS or ECM, and it would provide for e-records to be properly managed through a centralized system that could mitigate issues over metadata, e-records authenticity, and e-records preservation. Also, based on the above-discussed premise, the study framework advocates for the promulgation of relevant legislative and regulatory frameworks that are key in the drive to the implementation of appropriate ICTs.

(D) National e-government initiatives

There is a need for the harmonization of the national e-government strategies with the open government initiatives, including the formulated legislation and regulatory frameworks for a smooth rollout of the initiatives without impediments to records integrity, and ultimately access to information. Based on the position to adopt an EDRMS to implement the national e-government strategy (Government of Botswana 2010). A holistic government EDRMS may be identified as per the intentions of the e-government strategy that aims to guide and direct e-government initiatives for the country. Therefore, a coordinated effort to open government initiatives may be considered because of the ongoing automation of governmental bodies and departments.

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According to InterPares (2017), an enterprise-wide systems' study for digital records management made conclusions that Botswana fundamentally possesses good ICT infrastructure. The Botswana Government (2011) explains that ICT infrastructure used in the public sector is an enterprise-wide system the Government Data Network (GDN) which is a platform providing "basic technology for the e-government services' rollout." Therefore, the framework guides the MLGRD or the public sector in general to ensure that there is an established legislative framework that aids effective open government, and open government that is conducted through any identified national e-government initiative, which is suggested by this study as a national EDRMS adopted by government bodies such as the MLGRD.

(E) Open access and use of information

At this stage, records management practitioners provide citizens with records that have been requested, assist in gaining access to services, and verify transactions. This is congruent with OGIM's focus on citizens' ability to improve their participation in governance (Lee & Kwak 2011a). Thurston (2012) explains the importance of aligning records management with open government initiatives, namely that the information provided to citizens and other stakeholders can be trusted as a means of demonstrating transparency and a tool for citizens to participate more fully in government operations and be able to meaningfully audit government processes and activities as well as officials' decision-making. Overall, ICT infrastructure's role in upholding and promoting access to information cannot be overemphasized. ICTs are vital to the transformation of the ministry's access to information by ensuring the capturing of and access to credible and reliable sources of information. This study's framework suggests that open access and use of information should be reliant on the developed legislative and regulatory frameworks as per the study's recommendations. Also, this framework further suggests that open access and use of information is dependent on good records management within the MLGRD, which entails several key components, namely staffing, skilled and competent records management personnel, available policies and procedures that give guidance on good records management as well as records management standards and best practice. Therefore, it is a requirement that the MLGRD should consider the

implementation of a functional open access and information use that is rooted in records management and relevant regulatory frameworks.

(F) Open government initiatives

Botswana has developed several ICT-based open government initiatives, as discussed in depth in Chapter Three. However, it is imperative for these initiatives to be anchored on relevant supporting legislation such as the Freedom of Information Act and the right to access information as per the recommendations made above (see section 7.6.1.5). The proposed study framework suggests that the MLGRD should ensure that there is availability of relevant ICT infrastructure such as an EDRMS and ECM technologies to successfully implement open government, since open government in Botswana is driven largely by ICT-based initiatives. As a result, the framework seeks to guide that these open government initiatives are underpinned by the national e-government initiatives to guarantee that open government initiatives are appropriately matched with the national e-government initiatives that drive government's online presence.

7.8   IMPLICATIONS FOR THEORY, POLICY AND PRACTICE

The government of Botswana has frameworks geared towards driving forward e-government and records management. However, these frameworks are not sufficient in providing a synergy between records management and e-government because they lack in addressing key areas of concern such as staff competencies on records and e-records management in particular. Also, there is little on enforcement regarding the utilization of appropriate systems to manage e-records, such as an acquisition and subsequent implementation of an EDRMS. Another shortcoming discovered by the study has been a lack of legislation to assist in the pushing and capacity to pull out information by both the citizens and the government departments particularly MLGRD.

Thus this current study set out in detail various key issues around open government and records management and their role in facilitating access. Therefore, it is worth pointing out that to be useful, research findings must in a way be connected to the bigger picture, that is, to what people may already know or believe about the topic in question (Leedy &

Ormrod 2010). Because this was an empirical study, the findings may go a long way in influencing policy and practice in Botswana. If the recommendations of the current study are taken into consideration, they could help the public sector in Botswana to achieve the government's goal of enhanced service delivery through open government. Several conceptual and contextual questions were posed and answered regarding the extent to which integrating records management into open government will contribute towards successful open government. This study thus adds to the existing theoretical and conceptual issues on the role of records management in open government.

The Open Government Implementation Model and Action research were the two theories that were guiding lenses informing this current study. The OGIM explains the different stages in the process of attaining an open government (Lee & Kwak 2011a) and clearly shows that the ultimate purpose of these stages is providing access to records and, eventually, achieving open government. On the other hand, Action research is primarily concerned with the implementation of the study recommendations based on its findings. This study can contribute to the OGIM by sharpening its focus on the first stage of the model that looks into increasing data transparency. This study presents a framework for entrenching records management into open government initiatives. This proposed framework is targeted at promoting and supporting open government, especially through new legislation that enforces access to information in a government department. It is hoped that such a framework will help the public sector in Botswana attain open access, transparency and accountability.

7.9   FURTHER RESEARCH

This study's objectives were achieved. Findings were presented and recommendations were made for the organization of the study and other public sector departments globally to adopt and utilize as a guideline. These are:

- ✓ Legislative and regulatory frameworks facilitating records management and open government
- ✓ Records management as an enabler of open government was investigated

- ✓ Staff capacity and competencies for management of MLGRD records were established
- ✓ E-Readiness for implementation of an EDRMS or ECM was assessed
- ✓ A framework that can facilitate records management and open government was proposed
- ✓ The relationship between records management and ICT-based open government initiatives to achieve openness was assessed.

The findings of the study and consulted research (Maseh 2015; Nengomasha 2009; Wamukoya 2012; Sebina 2006; Omotoya 2015) indicated that:

- records management is a vital component of open government
- legislation enforcing citizens' access to records and information are critical for open government in the public sector.

Fundamentally records management has been identified as an enabler of good governance and subsequently open government. Consequently, records management plays a significant role in improving and allowing access. Thus, critically this study has shown that MLGRD is deficient in the area of records management, and the study has further exposed the inability of open government initiatives to drive successfully open government. Seemingly important the study has shown an inadequate legal and regulatory framework in place, requiring specifically a FOIA or access to information law to help enforce openness and access.

Recommendations are offered here specifically for the MLGRD. This study provided an overview on the integration of records management into open government and proposed a framework in section 7.7 that might help the government of Botswana to develop measures to successfully achieve transparency through open government: the development of legislative and regulatory frameworks in the form of freedom of information and an access to information law as well as suitable records management policies to enhance the way in which records are managed, which all support efforts of open government. According to the OGMM there is a one way static communication route that is adopted at the initial first level. The model further emphasizes through the next

level [two], the capacity to provide high quality data leading to low FOIA requests by the citizens and ultimately develop a culture of transparency within the government and its citizens (Lee and Kwak 2012).

However, there remain many areas of open government that require further study so that, eventually, the public sector could be run successfully with regard to service delivery, and would be transparent and accountable to citizens. This study recommends:

- the development of legislation by the Botswana government which may be used to guide government departments in providing citizens the right to access to information, and guide them on ensuring that such information is properly managed to enable a platform for the public to scrutinize and evaluate on the government operations
- this study further recommends a process to develop and integrate records management into open government initiatives by BNARS and all the concerned stakeholders.

However, there remains a necessity for an independent study about the e-readiness of the government to fully automate and thus ensure ICT-based open government. This independent study may be conducted either in other ministries, or specifically the semi-autonomous government department of information technology as it is an overseer of all ICT-based government issues and, as such, is a critical actor for rolling out successful open government. This can assist in avoiding gaps in efforts to achieve greater openness. Here, ICT needs would be identified and addressed appropriately, from legislative needs to skills and competencies required to both manage records and appropriately staff the systems used for establishing and enhancing openness. An assessment study on the country's e-readiness to help facilitate open government could be considered as an area for further study.

7.10 FINAL CONCLUSION

This research is divided into seven chapters. Its first chapter described the study's context, along with research problem. Follwed by chapter two that presented the study's conceptual and theoretical lens that focused on the theories and models informing records management. Chapter Three conducted an extensive review of literature related to the current study with research objectives serving as the main theme for the review. Chapter Four presented the research methodology that was adopted for the study, including the identification of tools for collecting accurate and reliable data, the selection of study sample and the case study involved in the study. Chapter Five presented the findings of the study based on the data that was collected through questionnaire administration, interviews and documentary reviews. Chapter Six provided the interpretation of the study findings and, lastly, Chapter Seven provided a summation of the study findings, conclusions and recommendations. Based on the findings of the study, the researcher presented and proposed a framework for the integration of records management into open government initiatives in Botswana to support government's efforts of ensuring an open and transparent government with improved service delivery within the Botswanan government sector. Additionally, this research advanced a proposed framework's implication to theory and practice and closed with an overview of areas for further research.

Underlying factors to contend with based on the recommendations made for this study are that, in essence the study has discovered that; MLGRD doesn't have an e-records management policy and procedural manual to address digital records issues emanating either from the digital systems thate are being used for managing e-records or from the users themselves. Furthermore, MLGRD doesn't have recent and newer technologies such a specific EDRMS to help facilitate the management of electronic records. And significantly that MLGRD does not have adequately skilled records management personnel to effectively manage records regardless of form or format.

Therefore this study findings clearly showed that it is essential to have a relevant legislative framework to support open government as it would ensure that good records

management is promoted to provide access to records that can support open government initiatives. Although the other laws were enacted, as shown in Chapter Five of this study, they are generally insufficient to enforce open government, resulting in this study recommending the enactment and implementation of freedom of information legislation and access to information laws.

This study also makes it clear that records management needs to be improved in all areas of the MLGRD. The RMU needs storage for the housing of records. There is a pressing need to adopt a suitable EDRMS or even an ECM system for the centralized management of e-records produced through the underlying ICT infrastructure. It emerged that records professionals are poorly skilled and have limitations when it comes to e-records management, which was confirmed by the findings related to the skills and competencies required for records management. It emerged that staff needed upskilling, especially with regard to e-records management procedures. Although they had relevant qualifications in archives and records management, respondents felt that there was a need for continuous training and retraining, especially in ICT-related matters.

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APPENDICES

APPENDIX 1: LETTER REQUESTING A RESEARCH PERMIT

P.O. Box 501543
Gaborone

01 November 2019

The Permanent Secretary
Ministry of Local Government & Rural Development
Private Bag 006
Gaborone
Botswana

Dear Sir/Madam
REF: APPLICATION FOR RESEARCH PERMISION

As per the subject matter stated above, this letter serves as a sincere request for a permission to carry out a research work in your organisation.

The research study is a requirement for the fulfilment of a Doctoral Degree in Information Science at the University of South Africa (UNISA). My research is titled "Integrating records management into Open Government Initiatives in Botswana." It is a case study of the Ministry of Local Government & Rural Development (MLGRD). Therefore, the study is primarily aimed at assessing the level of records integration in enhancing open government through open government initiatives in the public sector.

The study will use Questionnaires, document analysis and structured scheduled interviews to collect data from identified staff members of MLGRD. Data collection for the research is intended to be carried out from the 14th October to the 15th December 2019. It is envisaged that at the end of the study, a copy of the thesis will be submitted to the University for examination and assessment purposes. However, please note that another copy will be made available to your organization/Ministry so that the findings and recommendations drawn from the study may be adopted not only to benefit the Ministry, but the general public sector.

Let me take this opportunity to reassure your office and yourself of my highest level of academic integrity where research ethics and confidentiality would be highly observed. As a result, information collected through the participation in this research will be used solely for academic purposes.

I am reachable anytime on the below contact details. I am hoping to hear from you at your earliest possible convenience on this research opportunity.

Yours sincerely,

Nna Y.C Motlhasedi

Tel: +267 3612159 (work), +267 72263080 (Mobile)

APPENDIX 2: LETTER GRANTING RESEARCH PERMISSION

TELEGRAMS: MERAFE
Telephone: 3658400
Fax: 3902263/1559

REPUBLIC OF BOTSWANA

Ministry of Local Government
& Rural Development
Private Bag 006
Gaborone
BOTSWANA

Ref Number CLG 14/14/3/1 II (373)

November 05, 2019.

Mr Nna Yves Caesar Motlhasedi
P. O. Box 501543
Gaborone

Dear Sir,

RE: RESEARCH PERMIT

This serves to acknowledge your application for a research permit in order to undertake a study entitled **"Integrating Records Management into Open Government Initiatives in Botswana."**

We are pleased to grant you a permit. This permit is valid for a period of six (6) months commencing on **November 05, 2019** to **March 05, 2020** – and it is granted subject to the following conditions:

1. Copies of the final product are to be directly deposited with the Ministry of Local Government and Rural Development, Private Bag 006, Gaborone, and the Office of The President at Private Bag 001, Gaborone, Botswana.

2. The permit does not give you authority to enter any premises, private establishment or protected areas. Permission for such entry should be negotiated with those concerned.

3. You conduct your documentary according to particulars furnished in the application you submitted taking into account the above conditions.

4. Failure to comply with any of the above stipulated conditions will result in the immediate cancellation of the permit.

Yours Faithfully,

K. Senthufhe
/For Permanent Secretary- MLGRD

MLG – A centre of excellence in local governance & social service provision for improved quality of life

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APPENDIX 3: COVERING LETTER FOR THE QUESTIONNAIRE

TITLE: Integrating Records Management into Open Government Initiatives in Botswana

Dear respondent,

I am a PhD candidate of student No. 58554122 at the University of South Africa (UNISA) in the Department of Information Science. As part of the requirements for the award of this degree, I am conducting a study to evaluate the integration of records management into open government initiatives in Botswana. The purpose of the study is to investigate records management in open government with a view to providing a records management framework imbedded within open government that would facilitate openness in the public sector for improved service delivery. This study aims to collect information on the current records management practices, records management policies and guidelines, skills and competencies of records staff, level of awareness and attitude of staff towards good records management, open government, the integration of records management into open government initiatives, information communication technologies (ICT) uptake and use, and the status of e-records readiness in the public sector in Botswana.

This questionnaire is administered to specific government departments in Botswana. You are therefore, kindly invited to voluntarily participate in the study by completing this questionnaire. Let me take this opportunity to reassure you and your department that the information communicated will be used only for this study and academic purposes. Kindly fill out the questionnaire as honestly as possible. If the space provided is not sufficient please feel free to use additional sheets of paper.

I would be grateful if you could complete and return the questionnaire by **30th November, 2019**. Should you have any queries about the study, please do not hesitate to contact the student at **Telephone: (+267) 72263080.**

Thank you,

Nna Y.C. Motlhasedi

APPENDIX 4: SURVEY QUESTIONNAIRE PRE-TEST CHECKLIST

"Integrating Records Management into Open Government Initiatives in Botswana"

Dear respondent,

I am a PhD candidate of student No. 58554122 at the University of South Africa (UNISA) in the Department of Information Science. As part of the requirements for the award of this degree, I am conducting a study to evaluate the integration of records management into open government initiatives in Botswana. The purpose of the study is to investigate records management in open government with a view to providing a records management framework imbedded within open government that would facilitate openness in the public sector for improved service delivery. This study aims to collect information on the current records management practices, records management policies and guidelines, skills and competencies of records staff, level of awareness and attitude of staff towards good records management, open government, the integration of records management into open government initiatives, information communication technologies (ICT) uptake and use, and the status of e-records readiness in the public sector in Botswana.

This questionnaire is administered to specific government departments in Botswana. Therefore your participation on this pre-test questionnaire will be exceedingly valued to successfully achieve the study objectives. Please examine the overall quality and relevance of the questionnaire administered specifically using the checklist below. Please show whether each of the following items on the checklist are accurate or inaccurate within the questionnaire by making a Tick (√**)** next to each item.

Item Assessed	Correct Choose (√)	Incorrect Choose (√)	Suggestions For Improvements
Vocabulary			
Spelling & Grammar			
Layout			
Questions numbering			
Font & size			
Survey format flow			

The researcher would like to thank you for taking time to assess the validity and reliability of this survey questionnaire. I would also be grateful if you could complete and return the pre test questionnaire by **30th October, 2019**. Should you have any queries about the study, please do not hesitate to contact the student at **Telephone: (+267) 72263080.**

Thank you,

Nna Y.C. Motlhasedi

APPENDIX 5: UNISA'S ETHICAL REVIEW COMMITTEE CLEARANCE LETTER

UNISA | university of south africa

DEPARTMENT OF INFORMATION SCIENCE ETHICS REVIEW COMMITTEE

25 September 2019

Dear Mr Nna Yves Caesar Motlhasedi

DIS Registration #: Rec-250919
References #: 2019-DIS-0036
Name: NYC Motlhasedi
Student #: 58554122

Decision:

Ethics Approval from 25 September 2019 to 25 September 2024

Researcher(s): Mr Nna Yves Caesar Motlhasedi
58554122@mylife.unisa.ac.za
+267 722 630 080

Supervisor(s): Prof David A Wallance
Davwal.davwal@gmail.com
27 66 062 9463

&

Prof MS Ngoepe
ngoepms@unisa.ac.za
012 429 6792

Integrating records management into Open Government Initiatives in Botswana.

Qualifications: Doctoral Study
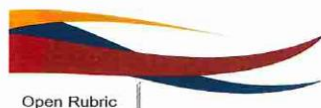
Open Rubric

Thank you for the application for research ethics clearance by the Unisa Department of Information Science Research Ethics Committee for the above-mentioned research. Ethics approval is granted for five years.

The **low risk application** was reviewed and expedited by the Department of Information Science Research Ethics Committee on 20 September 2019 in compliance with the Unisa Policy on Research Ethics and the Standards Operating Procedure on Research Ethics Risk Assessment. The proposed research may now commence with the provisions that:

1. The researcher(s) will ensure that the research project adheres to the values and principles expressed in the UNISA Policy of Research Ethics.

2. Any adverse circumstances arising in the undertaking of the research project that is relevant to the ethicality of the study should be communicated in writing to the Department of Information Science Ethics Review Committee.

3. The researcher(s) will conduct the study according to the methods and procedures set out in the approved application.

4. Any changes that can affect the study-related risks for the research participants, particularly in terms of assurances made with regards the protection of participants' privacy and the confidentiality of the data should be reported to the Committee in writing, accompanied by a progress report.

5. The researcher will ensure that the research project adheres to any applicable national legislation, professional codes of conduct, institutional guidelines and scientific standards relevant to the field of study. Adherence to the following South African legislation is important, if applicable: Protection of Personal Information Act, no. 4 of 2013; Children's Act no. 38 of 2005 and the National Health Act, no. 61 of 2003.

6. Only de-identified research data may be used for secondary research purposes in future on condition that the research objectives are similar to those of the original research. Secondary use of identifiable human research data requires additional ethics clearance.

7. No field work activities may continue after the expiry date of **25 September 2024**. Submission of a completed research ethics progress report will constitute an application for renewal of Ethics Research Committee approval.

Note:

The reference number **2019-DIS-0036** should be clearly indicated on all forms of communication with the intended research participants, as well as the Committee.

Yours sincerely

Dr Isabel Schellnack-Kelly
Department of Information Science: Ethics Committee

APPENDIX 6: QUESTIONNAIRE FOR HEAD OF DEPARTMENT

1. Records management

    a. What do you understand about records management?----------------------------------
    ----

    ----

    b. How is records management beneficial to organizations? -------------------------------
    ----

    ----

    c. Within your Ministry/department, does records management have the
    recognition from the top?--

    ----

    d. Where in the structure of the ministry/department is records management
    positioned?---
    ----

    e. What do you understand about open government?--------------------------------------
    ----
    ----

    f. What role does records management play to open government??---------------------
    ----

    ----

    g. Does good records management practices enhance open government? ------------
    ----

    ----

    h. What is your assessment on the quality of records management in your
    ministry/department?---

    ----

2. Records management policies

a. What policies regulates the management of records in your ministry/department-- -- -- --

b. Is the legislation inclusive of electronic records that enable e-government?--------- -- -- --

c. Do you suppose a lack of freedom of information law is a hindrance to open government? Please explain--- -- -- -- --

d. Does your organization have a records management policy specifically an e-records management policy?-- -- --

e. Is the enacted records management policy adequate to address issues of records management and open government?--- -- -- -- --

f. Who is responsible for records management policy formulation in the Ministry?--- -- --

g. Does the records management policy form part of a strategic management plan for open government?--- -- --

Information Communication Technologies

a. What do you understand about Information Communication Technologies (ICTs)?-- --

b. What is the current state of technology in your organization?--------------------- -- -- --

c.Is the hardware and software found in your organization enablers of open government? Please explain---
----

----

d. Can the public sector provide wide access to information without the use of ICTs?

----

3. Records management staff competencies and skills

a. What role do you suppose skilled records personnel play to open government?---
----

----

b. Looking at the records management staff within your ministry/department, would you say that they are well trained in records management?-----------------------------
----
-- --
----

c. What is the criteria you use in hiring records management personnel?---------------
----
----

d. At present, what are the qualifications of records management officers in your ministry/department?--
----
----

e. What kind of training policy does your ministry/department utilize?--------------------
----

----

f. How often and beneficial is in house training conducted to meet new dynamics to records management and enable open government?----------------------------------
----
----

4. Strategies used in order to achieve openness

a. With the current state of records management practices found in your ministry/department, in your opinion, is the public sector equipped to fully utilize e-government to achieve open government? --
----
----

b. From all Botswana Open government initiatives, which initiatives are you aware of? *Please tick ALL that apply.*

[ ] Connecting Communities Programme

[ ] Botswana Innovation Hub

[ ] Kitsong Centres

[ ] Thuto Net

[ ] Government On-Line

[ ] All of them

[ ] Some of them

[ ] None of them

[ ] Other (specify)---

----

c. With the current open government initiatives. Do you suppose they are relevant and are enablers of openness by the public sector?---------------------------------------
----

----

d. What challenges face the public sector as it gears towards complete openness through the open government initiatives?---
----
----

e. Do you suppose open government is reliant on records management?---------------
----

----

f. What better ways should records management be integrated into open government?

----

g. What are the recommendations you would suggest for better openness and good records management?---
----

Thank you for your time

APPENDIX 7: QUESTIONNAIRE FOR ADMINISTRATION OFFICER & ACTION OFFICERS

1. Records management
a. What do you understand about records management?--

----

b. How is records management beneficial to organizations? ------------------------------------
----

----

c. Within your Ministry/department, does records management have the recognition from the top?--
----
----

d. Where in the structure of the ministry/department is records management positioned?---
----

e. What do you understand about open government?---

----

f. What role does records management play to open government??----------------------------
----

----

g. Is records management a crucial part of open government?

[ ] Yes
[ ] No

h. Please explain your answer provided in the above question (g) further
----

----

i. In what specific ways does records management contribute to the attainment of open government? *Please tick ALL that apply*.
[ ] Widespread accessibility to records

[ ] Accurate and reliable records
[ ] Long term access to records
[ ] Encourages transparency
[ ] Encourages accountability
[ ] Other (specify)---

----

j. Please explain how good records management practices enhance open government?

----

k. What is your assessment on the quality of records management in your
ministry/department?---

----

2. Information Communication Technologies
a. Does computer literacy affect the uptake and usage of open government initiatives?
Please tick ALL that apply.
[ ] Yes
[ ] No
[ ] Maybe
[ ] I don't know
[ ] Other (specify)---

----

b. Is the public sector ready to integrate open government with good records
management practices to enhance access to information and services?

[ ] Yes
[ ] No

***Depending on your answer to question (b) answer either one of the following
questions (c) & (d) which are appropriate to your answer above.***

c. If the answer to question (b) above is Yes, please explain further why you suggest the
public sector is ready to integrate open government with records management in
enhancing access to information

----

c. If the answer to question (b) above is No, how can open government be integrated into records management practices to enhance access to information?

----

e. What measures should be put in place to address privacy concerns? *Please elaborate on the space provided below.*

---

3. Skills and competencies of staff
a. What role does skilled records personnel play in open government?----------------------
----

----

b. Looking at the records management staff within your ministry/department, would you say that they are well trained in records management?---
----
--- --------------------
----

c. At present, what are the qualifications of records management officers in your ministry/department?--
----
----

d. Which training policy does your ministry/department utilize?---------------------------------
----
----

e. How can you rate the management of records in your ministry especially electronic records? *Please tick ALL that apply.*

[ ] Very good
[ ] Good
[ ] Fair
[ ] Poor
[ ] Very poor

f. What would you highlight as a problem to open government? *Please tick ALL that apply.*
[ ] Poor management of records
[ ] Inadequate records management staff
[ ] Lack of trained electronic records management staff
[ ] Lack of records management policies and guidelines
[ ] Lack of proper storage equipment
[ ] Over reliance on manual records management strategies
Other (specify)---

----

g. Which of the following factors contribute to the current state of records management in your ministry?

[ ] Lack of records management policy
[ ] Inadequate funding
[ ] Inadequate trained records staff
[ ] Other (specify)---

----

h. How does the current records management practices affect open government in the public sector?---
----
----

4. Staff awareness towards good records management practices and open government
a. Are good records management practices essential and key requirements for open government?

[ ] Yes
[ ] No
Other (specify)---

----

b. To what extent does good records management contribute to open government?
[ ] Entirely reliant on good records management
[ ] To some small extent
[ ] Not sure
[ ] I don't know
[ ] Other (specify)

----

5. Open government Strategies

a. Is the public sector ready to fully utilize e-government services as a means towards achieving an open government?

[ ] Yes
[ ] No
Other (specify)--
----

c. Please indicate the benefits of an open government. ***Select as many as may apply***
[ ] Improved transparency and accountability
[ ] Improved service delivery
[ ] Increased public participation in government
[ ] Improved collaboration of the public on government operations
[ ] Other (specify)---

----

d. Do you think there is a relationship between records management and open government?

[ ] Yes
[ ] No
Other (specify)---
----

e. What records management challenges is the public sector faced with that may hinder the implementation a successful of open government?

----

f. In improving open government, what role should records management play?-------------
----

----

  g. What are the recommendations you would suggest for better openness and sound records management?--
----

Thank you for your time

APPENDIX 8: QUESTIONNAIRE FOR RECORDS MANAGER & OFFICERS

1. Records creation

    a. What are the functions of your department?

    ----

    b. What records are mainly created by your department?-------------------------------------

    ----
    ----

    c. What format are records created online stored in?---

    ----

    d. To what extent does the legislation support the creation and maintenance of authentic records?

    ----

    e. Which legislation does Botswana use to inform the residents on the creation, maintenance and use of records?

    ----

2. Records access and use

    a.   Open government initiatives advocates for open access, is there a records access policy for the public sector? --

    ----
    ----

    b.   Within the policy, are there any access restrictions on other records? ----------

    ----

    ----

    c.   Are the restrictions promoting or undermining openness in the public sector in any way?--

    ----

    d.   What do you use in tracking records which have been issued out?----------------

    ----

    ----

3. Records maintenance and storage

    a.   Is there a filing system in place in storing online records?----------------------------

    ----

----

    b.   How are the records filed?---

----

    c.   In storing e-records created, is the ICT infrastructure relevant for the job?------
----

----

    d.   How are active, semi active and non-active/archival records stored?------------
----

----

    e.   What security measures are imposed to ensure the preservation of the integrity of the records?--
----

----

4. Records Appraisal and disposal

    a. Are records captured and produced online appraised by your ministry/department?--
----
----

    b. What criteria do you use to appraise these records?--------------------------------------
----
----

    c.   What measures are taken into consideration in ensuring the security of records during the disposal of appraised records?--
----
----

5. Records preservation

    a.   Which strategies are employed in preserving your ministry/department records?---
----

----

    b.   What are the most prevalent challenges your ministry/department faced with in the preservation of records in their custody?---
----

----

c.   What measures are in place to address the preservation challenges your ministry/department is faced with?-- --- --- ---

d.   Does your ministry/department have a disaster management programme in place?--- --- ---

6. Electronic records Management

a. What do you understand about an electronic record?------------------------------------- --- --- ---

b. Which system does your ministry/department use to manage e-records?------------ --- --- ---

c. In your opinion, do you suppose the system meets all the user requirements needs for records management?--- --- --- ---

d. What security measures are in place to ensure the security of e-records?----------- --- --- ---

e. What strategies are in place for the preservation of e-records?------------------------- --- --- ---

7. E-records management Policies

a. Do you have a policy that regulates e-records management in your ministry/department?--- --- ---

b. When was the last time your e-records policy was reviewed?--------------------------- --- ---

c. In terms of open government and e-records management, do you suppose policies are essential to guide on the management of e-records? If yes, please elaborate---
----
----

d. Do you suppose a lack of freedom of information law is a hindrance to open government? (Please explain)---
----

----

8. E-records management competencies and skills of staff

a. Are the records management staff trained in e-records management or have ICT skills in your ministry/department?---
----
----

b. Is there any in house or workshop training afforded the staff on e-records management?---
----
----

c. Is there any training plan for staff with regards to e-records management?----------
----

----

d. Has there been any training on e-records management thus far?---------------------
----
----

9. Information Communication Technologies

a. What do you understand about Information Communication Technologies (ICTs)?--
----

b. What is the current state of technology in your ministry?----------------------------
----

----

c. Is the hardware and software found in your ministry enablers of open government? Please explain--
----

----

10. Strategies used in order to achieve Open government

a. In your assessment, is the public sector ready to fully utilize e-government as a means towards achieving open government?
[ ] Yes
[ ] No
Other (specify)---
----

b. Does your ministry/department receive complaints about e-records management and open access issues?---
----

----

c. Do you suppose records management plays a vital role allowing for open government?---
----
----

d. What are the recommendations you would suggest for better openness and good records management?--
----

Thank you for your time

APPENDIX 9: QUESTIONNAIRE FOR INFORMATION TECHNOLOGY (IT) MANAGER & IT OFFICERS

ICTs Uptake and USE in the Public Sector

1. What type of ICTs below have been adopted and are being used in your Ministry? *Please tick all that may apply.*

a) Fax [ ]

b) Telephone [ ]

c) Cell phone [ ]

d) Internet [ ]

e) Web site [ ]

f) Face book [ ]

g) Instagram [ ]

h) YouTube [ ]

i) Twitter [ ]

j) WhatsApp [ ]

k) Other, please specify:

----

2. What contribution does ICTs identified and used assist in enhancing access to information and services?

----

3. Does your ministry have an electronic records management system in place that assists in managing digital records that enable open government?

a) Yes

b) No

4. Which system does your ministry use to manage electronic records?

----

5. Does the system identified support open government uptake by the general public?

----

6. If the answer to question 3 is Yes, does the system effectively manage electronic records throughout their life cycle? *Please explain thoroughly.*

----

7. If the answer to question 3 is No, what does your ministry use to provide widespread access to information and citizens' participation government? *Please explain thoroughly.*

Open Government and Access to Information

8. What is open government?

----

9. How does Information Communication Technologies contribute to the attainment of open government?

----

10. Records Management contributes to access to information. How does ICTs enhance open government?

----

11. What is the role of Information Technology in integrating good records management practices into open government?

Legal and Regulatory Framework

13. Are there any policies that are within the ministry that inform you on electronic records management?

a) Yes

b) No

14. If the answer to question 13 is Yes, what policies does your ministry have in place?

----

15. If the answer to question 13 is No, what prospects do you have of formulating policies?

----

16. What are the challenges that manifest when administering systems that manage digital records?

----

17. What suggestions do you propose to solve challenges faced by your ministry in managing digital records?

Thank you for your time

APPENDIX10: INTERVIEW GUIDE FOR HEAD OF DEPARTMENT

UNIVERSITY OF SOUTH AFRICA
SCHOOL OF ARTS
DEPARTMENT OF INFORMATION SCIENCE

TITLE: Integrating Records Management into Open Government Initiatives in Botswana

1. Records management
   i. What do you understand about records management to be in terms of its goals and activities?
   _____
   _____
   _____

   j. Do you think records management is beneficial to organizations? Why/ Why not?
   _____
   _____
   _____

   k. Within your Ministry/department, does records management have recognition from the top?
   _____
   _____
   _____

   l. Where in the structure of the ministry/department is records management positioned?
   _____
   _____
   _____

   m. What do you understand about open government in terms of its goals and activities?
   _____
   _____
   _____

   n. Do you think there is a role for records management in open government? Why/ Why not?

o. _____
_____
_____

p. Do you think records management can enhance open government?

1. Yes   [ ]
2. No   [ ]
3. Not Sure   [ ]
4. No opinion   [ ]

   Why/ Why not?
   _____
   _____
   _____

q. What is your assessment on the quality of records management in your ministry/department?
   _____
   _____
   _____

2. Records management policies
h. What policies regulates the management of records in your ministry/department?
   _____
   _____
   _____

i. Are you aware of any legislation on records and/or electronic records that benefits e-government initiatives? Explain them.
   _____
   _____
   _____

j. What impact do you think a lack of freedom of information law has on open government? Please explain
   _____
   _____
   _____

k. Does your organization have a specific records management policy? Does it cover e-records?

_____
_____
_____

l. Do you think your organization's records management policy is adequate to address issues of records management and open government?

_____
_____
_____

m. Who is responsible for records management policy formulation in your organization?

_____
_____
_____

n. Does the records management policy form part of a strategic management plan for open government?

_____
_____
_____

3. Information Communication Technologies

a. Can you tell me what information and Communication Technologies (ICTs) are and what they do?

_____
_____
_____

b. What is the current state of ICTs in your organization in terms of hardware, software, networks, etc?

_____
_____
_____

c. Do you think that the hardware and software I your organization helps or hinders open government? Please explain

_____
_____
_____

d. Do you think that the records and information management practices and processes in your organization helps or hinders open government?

_____

_____

_____

e. Do you think that the public sector can provide wide access to information without the use of ICTs? Why/ Why not?

_____

_____

4. Records management staff competencies and skills

g. What role do you think that skilled records personnel can contribute to open government?

_____

_____

h. Looking at the records management staff within your ministry/department, would you say that they are well trained in records management?

_____

_____

_____

i. What is the criteria you use in hiring records management personnel?

_____

_____

_____

j. At present, what are the qualifications of records management officers in your ministry/department?

_____

_____

_____

k. Does your ministry/department have a records management training policy for upskilling records officers?

_____

_____

_____

l. How often are staff provided records management training?

_____

_____

_____

m. How useful is this training for facilitating open government?

_____

_____

_____

5. Strategies used in order to achieve openness

a. What is the state of records management practices in your organization.

1. Excellent   [ ]
2. Very Good   [ ]
3. Good   [ ]
4. Poor   [ ]
5. Very Poor   [ ]
6. Non-Existent [ ]

Other (specify)

_____

_____

f. Do you think the public sector is in a good position to use e-government initiatives to achieve open government?

_____

_____

g. What do you think the public sector can do through e-government initiatives to better promote open government?

_____

_____

h. From all Botswana Open government initiatives, which initiatives are you aware of? *Please tick ALL that apply.*

[ ] Connecting Communities Programme

[ ] Botswana Innovation Hub

[ ] Kitsong Centres

[ ] Thuto Net

[ ] Government On-Line

[ ] Other (specify)

i. DO you think current open government initiatives enable greater openness to and by government?

_____

_____

j. What challenges do you think the public sector faces as it strives to become more open through open government initiatives?

_____

_____

k. Do you think that effective open government requires good records management practices in the public sector?

    1. Yes   [ ]

    2. No   [ ]

    3. Not sure   [ ]

    4. No opinion [ ]

Why/ why not?

_____

_____

l. How do you think that records management should be integrated into open government initiatives?

_____

_____

m. What are the recommendations you would suggest for better openness and good records management?

_____

_____

End of Interview

Thank you for taking time from your busy schedule to grant me the interview.

APPENDIX 21: INTERVIEW GUIDE FOR RECORDS MANAGER & OFFICERS

UNIVERSITY OF SOUTH AFRICA
SCHOOL OF ARTS
DEPARTMENT OF INFORMATION SCIENCE

TITLE: Integrating Records Management into Open Government Initiatives in Botswana

1. Records creation

    f.   What are the functions of your department?

    _____
    _____
    _____

    g.   What records are mainly created by your department?

    _____
    _____
    _____

    h.   What format are records created online stored in?

    _____
    _____
    _____

    i.   To what extent does the legislation support the creation and maintenance of authentic records?

    _____
    _____
    _____

    j.   Which legislation does Botswana use to inform the residents on the creation, maintenance and use of records?

    _____
    _____
    _____

2. Records access and use

    e.   Open government initiatives advocates for open access, is there a records access policy for public sector open government initiatives?

1. Yes   [ ]
2. No   [ ]
3. Not sure   [ ]
4. Other (specify)

f.   What is the policy identified in the above question (a)?

_____
_____
_____

g.   If you responded "yes" for the question (a), within the policy are there any access restrictions on records?

_____
_____
_____

h.   Do you think the restrictions promote or undermine open access to public sector records? Why? Why not?

_____
_____
_____

i.   What do you use in tracking records which have been made available through the access policy?

_____
_____
_____

3. Records maintenance and storage

f.   Is there a filing system in place in storing e-records?

_____
_____
_____

g.   How are the records filed?

_____
_____
_____

h.   In storing e-records created, is the ICT infrastructure capable for the job?

_____

_____

_____

i.   How are active, semi active and non-active/archival records stored?

_____

_____

_____

j.   What security measures are imposed to ensure the preservation of the integrity of the records?

_____

_____

_____

k.   Which system does your ministry/department use to manage e-records?

_____

_____

_____

l.   In your opinion, does the system your ministry/dept uses meet all the user requirements needs for records management?

_____

_____

_____

m.   What security measures are in place to ensure the security of e-records?

_____

_____

_____

n.   What strategies are in place for the preservation of e-records?

_____

_____

_____

4. Records Appraisal and disposal

d. Are records captured and produced online appraised by your ministry/department?

_____
_____
_____

e. What criteria do you use to appraise these records?

_____
_____
_____

f. What measures are taken into consideration in ensuring the security of records during the disposal of appraised records?

_____
_____
_____

5. Records preservation

e. Which strategies technologies are employed in preserving your ministry/department e-records?

_____
_____
_____

f. What are the most prevalent challenges your ministry/department are faced with in the preservation of records in their custody?

_____
_____
_____

g. What measures are in place to address the preservation challenges your ministry/department is faced with?

_____
_____
_____

h. Does your ministry/department have a disaster management programme in place?

_____
_____
_____

6. Records management Policies

e. Do you have a policy that regulates e-records management in your ministry/department?

_____
_____
_____

f. When was the last time your e-records policy was reviewed?

_____
_____
_____

g. In terms of open government and e-records management, do you suppose policies are essential to guide on the management of e-records? If yes, please elaborate

_____
_____
_____

h. Do you suppose a lack of freedom of information law is a hindrance to open government? (Please explain)

_____
_____
_____

7. Records management competencies and skills of staff

e. Are the records management staff trained in e-records management or have ICT skills in your ministry/department?

    1. Yes   [ ]

    2. No   [ ]

    3. Other (specify)

f. If you said "yes" to question 8 (a) please elaborate

_____
_____
_____

g. Is there any in house or workshop training afforded the staff on e-records management? If yes, what types

_____
_____
_____

h. Is there any training plan for staff with regards to e-records management? If yes, what types?

_____
_____
_____

i. Has there been any training on e-records management thus far? If yes, what types?

_____
_____
_____

8. Information Communication Technologies

d. What is the current state of technology in your ministry?

_____
_____
_____

e. Is the hardware and software found in your ministry enablers of open government? Please explain

_____
_____
_____

9. Strategies used in order to achieve Open government

e. In your assessment, is the public sector ready to fully utilize e-government as a means towards achieving open government?
[ ] Yes
[ ] No
[ ] Not sure
[ ] No opinion
Other (specify)

f. From all Botswana Open government initiatives, which initiatives are you aware of?
[ ] Connecting Communities Programme
[ ] Botswana Innovation Hub
[ ] Kitsong Centres
[ ] Thuto Net
[ ] Government On-Line
[ ] None of them
[ ] Other (specify)

g. Does your ministry/department receive complaints about e-records management and open access issues? If yes, what kinds of complaints?

_____
_____
_____

h. Do you suppose records management plays a vital role allowing for open government? If yes, what is this vital role?

_____
_____
_____

i. What are the recommendations you would suggest for better openness and good records management?

_____
_____
_____

End of Interview

Thank you for taking time from your busy schedule to grant me the interview.

APPENDIX 12: LIST OF PARTICIPANTS PRE-TESTING DATA COLLECTION
INSTRUMENTS.

Designation	Department	Number of participants
Action officers	Department of Social Services	Two (2)
Records Officers	Department of corporate services	Two (2)
Action Officers	Department of tribal administration	Two (2)
Records Officers	Department of local governance and development planning	Two (2)